



Intermountain Forensics

SOP #

ADM-102

Revision #

01

Forensic DNA Technical Leader Approval

Issue Date

6/2/20

Personnel

1. Purpose

To describe the personnel requirements and further define roles.

2. Summary

Provides clarification on Forensic DNA Technical Leader duties, including Technical Leader contingency plan. Defines ethical standards for all staff.

3. Procedure

Staff responsibilities and roles

1. Top Management
 - a. The **Laboratory Director** (LD) will be the ultimate authority responsible for all **operational** oversight, management and direction.
 - b. This includes the following:
 - i. Personnel decisions
 - ii. Purchasing
 1. Any purchase over \$5,000 must be approved by the board of directors or their designee
 - iii. Project management
 - iv. IS/IT management
 - v. Process improvement
 1. Including validation operations
 - vi. Budgeting
 - vii. Safety and Security
 - c. The LD is responsible for appropriate supervision of staff
 - d. The LD has the ultimate authority to shut down and subsequently restart laboratory operations as a result of personnel, budget, safety and security causes
 - e. The LD must be a full-time member of staff
 - f. The **Forensic DNA Technical Leader** (DNA TL) will be the ultimate authority responsible for all **technical** oversight, management and direction
 - i. Where applicable to audit/assessment standards the DNA TL will act as the laboratory's Quality Manager
 - g. This includes the following:
 - i. Standard Operating Procedures (SOPs)
 - ii. Validation
 1. Technical oversight and approval
 - iii. Corrective and Preventative Actions
 - iv. Audits and Assessments
 - v. Training and Competency Program
 - h. Where applicable (see specific SOPs), the DNA TL will sign off/approve of technical specifications, SOPs and training and this approval will be documented before final implementation
 - i. Any modification to analytical procedures must be approved by the DNA TL
 - i. The DNA TL has the ultimate authority to initiate, shut down and subsequently restart laboratory operations as a result of technical causes
 - j. The DNA TL shall meet required role minimum education, qualifications and experience as documented by the Federal Bureau of Investigation Quality Assurance Standards (FBIQAS)
 - k. DNA TL will be on site, at minimum, twice in a calendar year to oversee technical operations
 - i. If multiple locations exist, this will apply to each and all laboratory locations that do technical work
 - l. The DNA TL must be a full-time member of staff
2. Forensic DNA Technical Leader contingency plan
 - a. In the event that the DNA TL is vacant, the following positions will (in order) step in to fulfill all of the roles and responsibilities of the DNA TL until the position can be re-filled



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- i. Laboratory Director
 - ii. Forensic DNA Supervisor
 - iii. Sr. Forensic DNA Analyst (most senior staff member)
 - iv. Forensic DNA Analyst (most senior staff member)
 - v. Laboratory Manager
 - vi. Forensic Molecular Biologist (most senior staff member)
 - b. If the individual within the contingency plan does not satisfy FBIQAS requirements for a DNA TL, it will move to the next qualified individual within the structure provided above
 - i. Note: requirement for FBIQAS auditor training can be satisfied within a year of the DNA TL filling the position, this would apply to the contingency plan staff member
 - c. If no qualified individual is identified, the role will go to the most senior staff member as outlined above
 - i. A documented plan must be identified to fill the role with a qualified individual as soon as possible
 - ii. The FBI must be notified of the plan within 14 calendar days of the event that vacated the DNA TL position
 - iii. Technical operations must halt until the FBI approves this plan
3. Lab Staff
 - a. The **Laboratory Manager (LM)** is the leader of the on-site laboratory staff
 - i. Must be a full-time member of staff and hold the same minimum qualifications as a Forensic Molecular Biologist
 - ii. Is responsible for coordination of laboratory casework to generate data for analysis
 - b. The **Forensic Molecular Biologist (FMB)** is responsible for on-site laboratory assays
4. Analysis Staff
 - a. The **Forensic DNA Supervisor (FS)** is the leader of the remote analysis staff
 - i. Must be a full-time member of staff and hold the same minimum qualifications as a Forensic DNA Analyst as defined by the FBIQAS
 - ii. Has supervisory responsibilities for the Analyst staff members (SFA, FA)
 - b. The **Sr. Forensic DNA Analyst (SFA)**
 - i. Must hold the same minimum qualifications as a Forensic DNA Analyst as defined by the FBIQAS
 - ii. Coordinates laboratory casework to analyze data generated by the laboratory staff
 - iii. Acts as a technical inquiry staff member to help forensic DNA analysts with day-to-day technical questions
 1. This includes relaying appropriate inquiries to the DNA TL as the ultimate technical authority
 - c. The **Forensic DNA Analyst (FA)**
 - i. FA must hold minimum qualifications as a Forensic DNA Analyst as defined by the FBIQAS

Staff Overall Responsibilities

5. All staff will maintain the highest ethical standards when doing work
 - a. At minimum, yearly, staff will participate in Ethics training
 - b. This Ethics training will include documented review and accepted adherence to the ANAB Guiding Principles of Professional Responsibility for Forensic Service Providers and Forensic Personnel
6. All staff will notify the LD and DNA TL of any conflicts of interest or employment with other public or private entities
 - a. The DNA TL will have the authority to disallow the employment if any conflict of interest is identified
 - b. DNA TL approval documentation will be stored within the training records of the staff member
7. Confidentiality will be strictly maintained
 - a. No laboratory casework details (even including submissions) will be discussed with any non-IMF personnel unless allowed by the submitting client and documented in writing
 - i. E-mail may be utilized for approval.
 - b. Case consultations should be limited and approval of attendees is required if entities outside of IMF and/or the submitting client are included
8. Internet Security will be strictly enforced
 - a. No access is allowed to the cloud server unless utilizing a private network
 - b. Passwords should be secure and never written down or given out to other individuals
 - c. Secure or confidential files should not be transmitted via e-mail
 - i. Casefiles should only be delivered via JusticeTrax portal
 - ii. E-mail can be used if the client specifically directs it and approves of each single use of delivery



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A handwritten signature in black ink, appearing to read "D. Smith".

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4. References

ANAB Guiding Principles of Professional Responsibility for Forensic Service Providers and Forensic Personnel

<https://www.fbi.gov/file-repository/qas-audit-for-forensic-dna-testing-laboratories.pdf/view>

5. Definitions

N/A