



Intermountain Forensics

SOP #

ADM-102

Revision #

05

Forensic DNA Technical Leader Approval

Issue Date

11/28/2022

Personnel

1. Purpose

To describe the personnel requirements and further define roles.

2. Summary

Provides clarification on technical staff duties, including Forensic DNA Technical Leader duties. Also details the Technical Leader and Minimum Analyst Staff Number contingency plans and defines ethical standards for all staff.

3. Procedure

Staff responsibilities and roles

1. Top Management
 - a. Director of Laboratory Development (DLD)
 - i. Is the ultimate authority responsible for **operational** oversight, management, and direction of the following aspects of the laboratory:
 1. IS/IT management
 2. Budgeting
 3. Purchasing
 4. Contract/Account Management
 - ii. The LD has the ultimate authority to shut down and subsequently restart laboratory operations as a result of budget causes
 - iii. The Director of Laboratory Development must be a full-time member of staff
 - b. **Director** of Laboratory Operations (DLO)
 - i. Is the ultimate authority responsible for all **operational** oversight, management, and direction of the following aspects of the laboratory:
 1. Personnel decisions
 2. Project management
 3. Process improvement
 4. Safety and Security
 - ii. The Director of Laboratory Operations is responsible for appropriate supervision of staff
 - iii. The Director of Laboratory Operations has the ultimate authority to shut down and subsequently restart laboratory operations as a result of personnel, safety and security causes
 - iv. The DLO must be a full-time member of staff
 - c. Forensic DNA Technical Leader (DNA TL)
 - i. Is the ultimate authority responsible for all **technical** oversight, management, and direction



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- ii. Where applicable to audit/assessment standards the DNA TL will act as the laboratory's Quality Manager Has the authority to initiate, suspend, and resume technical operations for the laboratory or an individual.
 - iii. Evaluates and approves all validations and new or modified methods used by the laboratory.
 - iv. Reviews the training records for newly qualified analysts, technicians and technical reviewers and approves their qualifications prior to independent casework analysis. Reviews, verifies, and approves the academic transcripts for newly qualified analysts and technical reviewers.
 - v. Approves the technical specifications for outsourcing agreements.
 - vi. Reviews internal and external DNA Audit documents and, if applicable, approve corrective action(s).
 - vii. Reviews the procedures of the laboratory annually.
 - viii. Review potential conflicts of interest when contract employees are employed by multiple NDIS participating and/or vendor laboratories.
 - ix. Approves any modification to analytical procedures must be approved by the DNA TL
 - x. The DNA TL has the ultimate authority to initiate, shut down and subsequently restart laboratory operations as a result of technical causes
 - xi. The DNA TL shall meet the minimum education, qualifications and experience required for the role, as documented by the Federal Bureau of Investigation Quality Assurance Standards (FBIQAS)
 - xii. DNA TL will be on site, at minimum, twice in a calendar year to oversee technical operations
 1. If multiple locations exist, this will apply to each and all laboratory locations that do technical work
 - xiii. The DNA TL must be a full-time member of staff
2. Laboratory Staff
- a. Laboratory Manager (LM)
 - i. is the leader of the on-site laboratory staff
 - ii. Must be a full-time member of staff and hold the same minimum qualifications as a Forensic Molecular Biologist
 - iii. 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
3. Analysis Staff
- a. Forensic DNA Supervisor (FS)
 - i. is the leader of the remote analysis staff
 - ii. Must be a full-time member of staff and hold the same minimum qualifications as a Forensic DNA Analyst as defined by the FBI QAS
 - iii. 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 FBI QAS
 - ii. Coordinates laboratory casework to analyze data generated by the laboratory staff



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- 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. Must hold minimum qualifications as a Forensic DNA Analyst as defined by the FBI QAS
 - ii. Analyzes data generated by the laboratory staff
- 4. Genetic Genealogy Staff
 - a. Genetic Genealogy Analyst (GGA)
 - i. Is responsible for on-site processing of libraries and library pools
 - ii. This role may also be fulfilled by Laboratory staff, if properly trained and authorized

Staff Overall Responsibilities

- 5. All staff will maintain the highest ethical standards when performing work
 - a. Staff will participate in Ethics training annually
 - b. Ethics training will include a documented review and accepted adherence to the ANAB Guiding Principles of Professional Responsibility for Forensic Service Providers and Forensic Personnel
 - c. No deviation from quality system and/or SOP's describing work is allowed without previous approval by the Forensic DNA Technical leader (or designee) per AD-116 Deviations
 - d. If staff notice deviation from that described in the quality management system these deviations should be reported to Forensic DNA Technical leader (or designee)
 - i. This may result in corrective and/or preventative action
- 6. All staff will maintain strict impartiality when performing work
 - a. If any undue pressure to bias occurs from clients, outside influence or internal staff, employees should contact their supervisor and/or the DLO
 - b. The laboratory will always strive to be "neutral observers of the evidence" and not display bias in laboratory work and/or interpretation, analysis and report writing
- 7. All staff will notify the DLO 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
- 8. Confidentiality will be strictly maintained
 - a. No laboratory casework details (even including submissions) will be discussed with any non-IMF personnel unless permitted by the submitting client
 - i. The permission must be documented in writing
 - 1. 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



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9. 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
10. Authorizations
 - a. The following laboratory activities are authorized to the position summaries listed below:
 - i. Development, Modification, Verification of Methods
 1. ORG-203 Forensic DNA Technical Leader
 - a. The DNA Technical Leader will review and approve all methods before use in the laboratory
 - i. This approval must be documented
 2. ORG-204 Forensic DNA Supervisor
 3. ORG-206 Senior Forensic DNA Analyst
 4. ORG-207 Forensic DNA Analyst
 5. ORG-205 Laboratory Manager
 6. ORG-208 Forensic Molecular Biologist
 7. ORG-209 Director of Laboratory Operations
 8. ORG-210 Director of Laboratory Development
 9. ORG-211 Genetic Genealogy Analyst
 - ii. Perform Testing activities
 1. ORG-203 Forensic DNA Technical Leader
 2. ORG-204 Forensic DNA Supervisor
 3. ORG-206 Senior Forensic DNA Analyst
 4. ORG-207 Forensic DNA Analyst
 5. ORG-205 Laboratory Manager
 6. ORG-208 Forensic Molecular Biologist
 7. ORG-209 Director of Laboratory Operations
 8. ORG-210 Director of Laboratory Development
 9. ORG-211 Genetic Genealogy Analyst
 - iii. Validation of Methods
 1. ORG-203 Forensic DNA Technical Leader
 - a. The DNA Technical Leader will review and approve all validations (and performance checks) before use in the laboratory
 - i. This approval must be documented
 2. ORG-204 Forensic DNA Supervisor
 3. ORG-206 Senior Forensic DNA Analyst
 4. ORG-207 Forensic DNA Analyst
 5. ORG-205 Laboratory Manager
 6. ORG-208 Forensic Molecular Biologist
 7. ORG-209 Director of Laboratory Operations
 8. ORG-210 Director of Laboratory Development
 - iv. Analysis of Results
 1. ORG-203 Forensic DNA Technical Leader



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2. ORG-204 Forensic DNA Supervisor
3. ORG-206 Senior Forensic DNA Analyst
4. ORG-207 Forensic DNA Analyst
5. ORG-209 Director of Laboratory Operations
6. ORG-210 Director of Laboratory Development
- v. Authorize Results
 1. ORG-203 Forensic DNA Technical Leader
 2. ORG-204 Forensic DNA Supervisor
 3. ORG-206 Senior Forensic DNA Analyst
 4. ORG-207 Forensic DNA Analyst
 5. ORG-209 Director of Laboratory Operations
 6. ORG-210 Director of Laboratory Development
- vi. Technical Review
 1. ORG-203 Forensic DNA Technical Leader
 2. ORG-204 Forensic DNA Supervisor
 3. ORG-206 Senior Forensic DNA Analyst
 4. ORG-207 Forensic DNA Analyst
 5. ORG-209 Director of Laboratory Operations
 6. ORG-210 Director of Laboratory Development
- vii. Interpretation
 1. ORG-203 Forensic DNA Technical Leader
 2. ORG-204 Forensic DNA Supervisor
 3. ORG-206 Senior Forensic DNA Analyst
 4. ORG-207 Forensic DNA Analyst
 5. ORG-209 Director of Laboratory Operations
 6. ORG-210 Director of Laboratory Development
- viii. Report Results/Authorize Report
 1. ORG-203 Forensic DNA Technical Leader
 2. ORG-204 Forensic DNA Supervisor
 3. ORG-206 Senior Forensic DNA Analyst
 4. ORG-207 Forensic DNA Analyst
 5. ORG-209 Director of Laboratory Operations
 6. ORG-210 Director of Laboratory Development
- b. Where applicable, The DNA Technical Leader will review and approve authorization before applicable to forensic casework.
 - i. This approval must be documented in the authorizations tab of DOC-312 Team Competency Summary
 - ii. An e-mail will be generated and sent to all vested parties, including the authorized individual, by the DNA technical leader when authorization is granted
 1. This e-mail will be stored in the individual's personnel folder
- c. The date of hire/appointment/promotion has been identified as the date to determine the applicable version of the FBI QAS for individuals' qualifications.

Contingency Plans

1. Forensic DNA Technical Leader Contingency Plan
 - a. In the event that the DNA TL is vacated, the following positions will (in order) fulfill the role and responsibilities of the DNA TL until the position can be re-filled
 - i. Director of Laboratory Development or Director of Laboratory Operations



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- 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 succession does not satisfy FBI QAS requirements for a DNA TL, the next qualified individual within the structure provided above will be appointed
 - i. Note: if the individual is appointed as the **interim** DNA TL, then the requirements for DNA auditor training and review of personnel documentation, validations, and SOPs as required by the FBI QAS and IMF job description does not go into effect until that individual or another individual is appointed as the **permanent** DNA TL.
 - c. If no qualified individual is identified, all active casework can be completed but all new casework will cease until a suitable candidate is identified.
 - d. The FBI must be notified of the plan within 14 calendar days of the DNA TL position change
2. Minimum Analyst Number Contingency Plan
- a. In the event that the minimum number of qualified analysts falls below two, all casework will immediately cease until an existing staff member can become qualified, or a qualified individual is hired.
 - b. The FBI must be notified of the change in staffing within 14 calendar days of the change

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