



# Intermountain Forensics

SOP # ADM-125

Revision # 01

Forensic DNA Technical Leader Approval

Issue Date

05/30/2024

## Personnel Performance Monitoring

### 1. Purpose

Describes the requirements for personnel performance monitoring using proficiency tests, inter-laboratory comparisons, intra-laboratory comparisons, and direct observation.

### 2. Summary

This document describes the extent to which staff are required to participate in personnel performance monitoring, to include the time frame, requirements for documentation and approval, evaluation of the test results, steps taken for unexpected results, and communication to staff of the outcome of monitoring activities.

### 3. Procedure

1. Intermountain Forensics will demonstrate successful performance in at least one proficiency test, or an approved alternative means of an inter-laboratory comparison for each accredited discipline and at each location per calendar year.
  - a. All proficiency tests are administered by an external, 17043-accredited proficiency test provider where one is available. The results must be submitted to the proficiency test provider so that they are included in the PT provider's external summary report and the release of the results to ANAB has been authorized.
  - b. In the event an external 17043-accredited proficiency test provider is not available to meet the requirements discussed above, approval for an alternative means of interlaboratory comparison must be obtained from ANAB. In such cases the *FM 3041 Request for an Alternative Means of Interlaboratory Comparison* (available on the ANAB website) must be completed and submitted to ANAB for approval.
2. In each accredited discipline in which they are authorized to conduct casework, all individuals authorized to perform testing activities are required to participate in at least one monitoring activity annually.
  - a. Individuals performing casework associated with FBI QAS accreditation are required to meet the semi-annual cycle outlined in the QAS.
    - i. The first proficiency test for newly qualified individuals will be completed within eight months of their approval date.
    - ii. The first proficiency test (PT1) of the calendar year shall be completed between January 1 to June 30.
    - iii. The second proficiency test (PT2) of the calendar year shall be completed between July 1 to December 31.
    - iv. The timeframe between PT1 and PT2 completion will be at least 4 and not more than 8 months.





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## 5. Test Documentation

- a. In addition to the technical records generated as part of casework, the following records shall be retained for all performance monitoring activities:
  - i. Date of test receipt
  - ii. Date of proficiency test result submission, if applicable.
  - iii. If applicable, the results obtained and/or submitted to the proficiency test provider.
  - iv. Documentation of submission to the proficiency test provider and proof of authorization to release results to ANAB, if applicable.
  - v. Documentation of results evaluation.
  - vi. Documentation of feedback on individual performance provided to the participant(s).
  - vii. Any discrepancies noted and any corrective actions taken due to unexpected results.
  
- b. *DOC-319 Proficiency Test Log* will be utilized to document the following relevant information as well as maintain schedules for future planned proficiency tests.
  - i. The discipline monitored.
  - ii. The test set identifiers to include both the internal IMF case number and the external provider identifier, if applicable.
  - iii. The identity of the analyst, and other participants, if applicable.
  - iv. Kits, technologies, and job functions assessed in the activity.
  - v. The dates of:
    1. Test receipt
    2. Due date
    3. Date of proficiency test result submission, if applicable.
  - vi. Outcome of the personnel performance monitoring (Satisfactory/Unsatisfactory).
  - vii. Associated corrective action number, if applicable.

## 6. Evaluation of Personnel Performance Monitoring Results

- a. All personnel performance monitoring activities shall be evaluated as satisfactory or unsatisfactory.
  - i. All discrepancies, errors, and subsequent corrective actions, as applicable, shall be documented.
  - ii. Proficiency tests designated as unsatisfactory must initiate a corrective action plan.
  
- b. DNA test results are also evaluated for:
  - i. Correctly reported genotypes, phenotypes, and/or sequences according to consensus results that are consistent with the laboratory's interpretation guidelines.
  - ii. Correct inclusions and exclusions, if applicable.



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- iii. All reported uninterpretable and/or inconclusive results are reviewed and approved by the DNA Technical Leader consistent with written laboratory guidelines.
- iv. Unexpected results
  - 1. If the unexpected results are approved as acceptable by the DNA Technical Leader, the reason must be documented.
  - 2. All unexpected results, regardless of test outcome, must be reported to ANAB within 30 days of when the unexpected result identified.
    - a. For consensus-based proficiency tests, the consensus result is the expected result. For all other forms of monitoring, the expected result is established at the time the test is designed and is documented on *DOC-330 Directions for Alternative Proficiency Test* or its equivalent.
  - c. The completion of the evaluation will be documented on *DOC-345 Personnel Performance Monitoring Results Evaluation Form*. A copy of the completed form will be stored in the Case Documents folder of the proficiency test file folder.
- 7. The proficiency test participant(s) and the DNA Technical Leader must be informed of the results of the test.
  - a. The notification will be documented on *DOC-345 Personnel Performance Monitoring Results Evaluation Form*. A copy of the completed form will be stored in the proficiency test file folder.

#### 4. References

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N/A

#### 5. Definitions

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**Method:** A combination of procedural steps used to perform a specific technical process. The method includes the validated steps, reagents, and critical instruments needed to perform the process or portion of a process. The same method may be conducted using different equipment (e.g. automated vs. manual) when appropriately validated.

**Methodology:** The categories of methods used to perform a DNA typing technology or technologies. For example, methodologies for STR technology can include extraction, quantification, amplification, and detection.

**Technology:** The type of forensic DNA analysis performed in the laboratory (STR, Y-STR, X-STR, SNP, microhaplotypes and/or mitochondrial DNA).

**Completion Date:** A proficiency test is completed upon 1) Completion of the technical and administrative review of the case and report and 2) successful submission to the proficiency test provider.

**Received Date:** The date that the test is received in the laboratory and entered into the LIMS.

**Consensus-Based Proficiency Test:** A proficiency test whose expected result is determined by the consensus values submitted by the laboratories participating in the test.