

Monitoring Performance

Table of Contents

| | | |
|----------|--|----------|
| 1 | SCOPE | 2 |
| 2 | PARTICIPATION IN PERFORMANCE MONITORING | 2 |
| 2.1 | Friction Ridge Discipline Personnel - Processing and Comparison Authorization | 2 |
| 2.2 | Friction Ridge Discipline Personnel - Processing Authorization Only | 2 |
| 2.3 | Friction Ridge Discipline Personnel - Comparison Authorization Only..... | 2 |
| 2.4 | Latent Print Support Unit Forensic Photographers and Case Flow support personnel in the Friction Ridge Discipline of the Scientific and Biometric Analysis Unit..... | 2 |
| 2.5 | Non-Friction Ridge Discipline Personnel..... | 3 |
| 3 | PROFICIENCY TESTING | 3 |
| 3.1 | Verification of Comparison Proficiency Tests | 3 |
| 4 | POST QUALIFICATION OBSERVATION FOR PERSONNEL CONDUCTING COMPARISONS AND AUTOMATED SEARCHES | 3 |
| 4.1 | Time Frame..... | 4 |
| 5 | POST QUALIFICATION OBSERVATION FOR PERSONNEL CONDUCTING PROCESSING EXAMINATIONS | 4 |
| 5.1 | Time Frame..... | 4 |
| 6 | TECHNICAL AND ADMINISTRATIVE REVIEWERS | 4 |
| 7 | NON-CONSENSUS EVENTS IN TECHNICAL WORK | 5 |
| 7.1 | Proficiency Testing | 5 |
| 7.2 | Other Non-Consensus Technical Events | 5 |
| 8 | REMOVAL OF AUTHORIZATION TO CONDUCT WORK | 5 |
| 9 | REVISION HISTORY | 6 |

Monitoring Performance

1 SCOPE

- A. These procedures apply to any FBI Laboratory personnel with authorization in processing (enhancement) and/or comparisons (physical comparison and individual characteristic databases) in the Friction Ridge Discipline.
- B. These procedures apply to Latent Print Support Unit Forensic Photographers and Case Flow support personnel in the Friction Ridge Discipline of the Scientific and Biometric Analysis Unit.
- C. The Standards and Practices Program Manager will ensure the performance monitoring plan for Friction Ridge Discipline personnel is accurate.

2 PARTICIPATION IN PERFORMANCE MONITORING

2.1 Friction Ridge Discipline Personnel - Processing and Comparison Authorization

- A. Individuals with both processing and comparison authorizations will complete one open proficiency test annually in the area of latent print comparison.
- B. Additionally, individuals will complete one open proficiency test per accreditation cycle in the area of latent print processing.

2.2 Friction Ridge Discipline Personnel - Processing Authorization Only

Individuals with only processing authorization will complete one open proficiency test annually in the area of latent print processing.

2.3 Friction Ridge Discipline Personnel - Comparison Authorization Only

Individuals with only comparison authorization will complete one open proficiency test annually in the area of latent print comparison.

2.4 Latent Print Support Unit Forensic Photographers and Case Flow support personnel in the Friction Ridge Discipline of the Scientific and Biometric Analysis Unit

- A. Latent Print Support Unit Forensic Photographers and Case Flow support personnel in the Friction Ridge Discipline of the Scientific and Biometric Analysis Unit will be monitored annually through performance evaluations.
- B. Once per accreditation cycle, Latent Print Support Unit Forensic Photographers and Case Flow support personnel will be monitored through observation (e.g., observation audit).
- C. Management will retain the performance evaluations and the Standards and Practices Program Manager will retain records on the observation event.

2.5 Non-Friction Ridge Discipline Personnel

- A. Previously qualified and authorized Laboratory personnel who no longer work in the FBI Laboratory Friction Ridge Discipline may continue participation in proficiency testing through the Latent Print Support Unit.
 - 1. Approval is required from the Technical Leader.
 - 2. Approval will include area of authorization retained in addition to any limitations.

3 PROFICIENCY TESTING

All proficiency tests will be external and obtained from an ANSI National Accreditation Board approved vendor.

3.1 Verification of Comparison Proficiency Tests

- A. A verification (as defined in *Verification and Blind Verification (FRD-501)*) of all conclusions reached will be completed for comparison proficiency tests.
- B. The verification(s) will not be recorded on a separate photograph(s) and blind verification(s) will not be conducted on proficiency tests.

4 POST QUALIFICATION OBSERVATION FOR PERSONNEL CONDUCTING COMPARISONS AND AUTOMATED SEARCHES

- A. The observation period begins upon the qualification and authorization of Friction Ridge Discipline personnel and is intended to provide additional oversight of an individual's casework.
- B. A newly qualified individual conducting comparisons will have all Analysis, Comparison, and/or Evaluation examinations reviewed by a Supervisor or other authorized examiner.
 - 1. The review will also include a determination if all suitable prints were searched in the automated system, if applicable to the case.
 - 2. These reviews are referred to as Analysis, Comparison, and Evaluation checks.
- C. The FBI Laboratory file will clearly designate what the individual reviewed as well as their name and the date(s) of review.
- D. The Supervisor or other examiner must retain any additional records they generate in the FBI Laboratory file.
- E. The Analysis, Comparison, and Evaluation check does not replace the verification or blind verification process, which is recorded per the *Verification and Blind Verification (FRD-501)* document.
 - 1. A verifier or blind verifier will not record an Analysis, Comparison, and Evaluation check in the FBI Laboratory File.
 - 2. Any prints verified or blind verified do not need to go through the additional Analysis, Comparison, and Evaluation check process.
- F. The individual under the observation period will be advised of the results of the observation check and appropriate measures taken to correct any issues.

- G. The completion of the period will be recorded by the Supervisor and acknowledged by the Technical Leader and appropriate Unit Chief.
 - 1. The acknowledgement will be retained permanently in the training file for the individual.

4.1 Time Frame

- A. The length of the observation period for a newly qualified and authorized Physical Scientist/Forensic Examiner will be a minimum of six months of comparison casework upon completion of the full training plan.
 - 1. Modifications to the scope or timeline of the observation period can be made by the Technical Leader.
- B. The length of observation period for any other positions will be decided by the Technical Leader and individual's Unit Chief and included in the training file.

5 POST QUALIFICATION OBSERVATION FOR PERSONNEL CONDUCTING PROCESSING EXAMINATIONS

- A. The requirement applies to only Scientific and Biometrics Analysis Friction Ridge Discipline Physical Scientist (Non-Examiner) and Contractor Technicians.
- B. A newly qualified individual conducting processing examinations will have completed examinations reviewed by a qualified individual
 - 1. The review is referred to as a "Processing Check".
- C. The check will include the evaluation of the processing case records as well as supporting case information to ensure all examinations were conducted properly and recorded accurately.
- D. The case record will clearly designate what the individual reviewed as well as their name and the date(s) of review.
- E. The completion of the period will be recorded and the outcome provided to the supervisor for approval to end the observation period for the individual.
 - 1. The notice of completion and the approval will be retained permanently in the training file for the individual.

5.1 Time Frame

- A. The length of the observation period for a newly qualified and authorized Physical Scientist (Non-Examiner) or Contractor Technician will be a minimum of ten cases upon completion of the full training plan.

6 TECHNICAL AND ADMINISTRATIVE REVIEWERS

- A. Reviewer performance and adherence to the Laboratory quality system is monitored through audit(s).
- B. A reviewer may require retraining if reviews are found to be unsatisfactory.
 - 1. Retraining will be provided in deficient areas and reviews will be monitored until the individual's reviews are found to be satisfactory.
 - 2. Records of the actions taken will be retained.

- C. Authorization to conduct technical and/or administrative reviews can be revoked by the Technical Leader or affected Unit Chief(s).
 - 1. An updated Electronic Communication will be issued to remove the authorization.

7 NON-CONSENSUS EVENTS IN TECHNICAL WORK

All non-consensus events will be addressed, recorded, reviewed for trends, and available to appropriate personnel for tracking.

7.1 Proficiency Testing

- A. Actions to address non-consensus technical events during a proficiency test will follow the *FBI Laboratory Quality Manual (LAB-100)*.
- B. The Technical Leader, in conjunction with the associated Unit Chief, will determine any actions that will be taken.

7.2 Other Non-Consensus Technical Events

- A. Types of non-consensus technical events include, but are not limited to,
 - o incorrect association of a print(s) with a source,
 - o failure to claim friction ridge prints,
 - o failure to identify,
 - o failure to exclude,
 - o false exclusions,
 - o failure to use the appropriate processing technique(s),
 - o conducting a process incorrectly,
 - o failure to capture or digitally process a print correctly, or
 - o incorrect use of an automated system, such as poor encoding.
- B. After an event is noted, personnel in the discipline will research surrounding factors (e.g., difficulty of examination, issuance of a conclusion, previous similar incidents).
- C. The particulars of the event (e.g., any relevant images, markups, notes, surrounding factors) will be retained.
- D. Technical management will determine if actions will be taken and what they will be (e.g., additional review).
 - 1. All information will be retained for trend analysis by relevant personnel.

8 REMOVAL OF AUTHORIZATION TO CONDUCT WORK

- A. Various circumstances may lead to the permanent removal of authorization to conduct specific tasks.
- B. Any individual who has left the FBI Laboratory no longer retains any prior authorization(s).
- C. Any individual employed in the FBI Laboratory who will no longer retain any friction ridge discipline authorizations must have an Electronic Communication serialized recording the retraction of the authorization and when it occurred.

1. The requirement does not apply to personnel undergoing corrective action or other activities to retain authorization.
- D. Any individual may regain the authorization upon approval by the Technical Leader and affected Unit Chief and successful completion of any requirements as directed.

9 REVISION HISTORY

| Revision | Issued | Changes |
|----------|------------|---|
| 08 | 2/22/2022 | Combination of Procedures for Open Proficiency Testing Revision 7 and Post Qualification Training and Monitoring Revision 2 with appropriate updated information to meet LAB-100 requirements. Removed Processing Post-Qualification Observation. |
| 09 | 06/01/2023 | Removed references to intralaboratory testing and internal tests from document throughout. Section 2.4 – Modified monitoring to match Laboratory document. Section 3.2 – Removed. Section 4 – Clarified record of results for verification or blind verification. Section 5 and Section 5.1 – Added. Section 6 – Removed communication and added record retention. Section 7 – Changed term to non-consensus event and removed extraneous information. Also added Unit Chief input for proficiency test determination. Section 7.2 – Added allowance for no actions to be taken. |