

Monitoring Performance

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Monitoring Performance

1 SCOPE

- A. These procedures apply to any FBI Laboratory personnel who want to retain 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 Photographers and Case Flow 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 who want to retain 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 who want to retain only processing authorization will complete one open proficiency test annually in the area of latent print processing.

2.3 Friction Ridge Discipline Personnel Individuals - Comparison Authorization Only

Individuals who want to retain 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 personnel in the Friction Ridge Discipline of the Scientific and Biometric Analysis Unit

- A. Latent Print Support Unit Photographers and Case Flow personnel in the Friction Ridge Discipline of the Scientific and Biometric Analysis Unit will be monitored through general performance feedback from their management.
- B. The observation audit will also serve as monitoring of relevant tasks via sampling.

2.5 Non-Friction Ridge Discipline Personnel

- A. 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 AND INTRALABORATORY TESTING

- A. All proficiency tests will be external and obtained from an approved vendor.
- B. If a proficiency test is not available in the FBI Laboratory, an intralaboratory test may be substituted.
 - 1. Intralaboratory test information, results and evaluations will be tracked using the *Performance Monitoring Other Than Proficiency Testing (7-290a-c)* form.

3.1 Verification of Comparison Proficiency Tests and Intralaboratory Tests

- A. A verification (as defined in *Verification and Blind Verification (FRD-501)*) of all conclusions reached will be completed for comparison proficiency tests and intralaboratory 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 or intralaboratory tests.

3.2 Review of Proficiency Tests and Intralaboratory Tests

- A. The test records of the participant will be technically and administratively reviewed after completion of the test to ensure the conclusions are fully supported by test records and the records comply with Laboratory and discipline policies, practices, and procedures, as applicable.
- B. The technical and administrative reviews for all tests will be recorded.

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 known 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. This review does not replace the verification or blind verification 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 Physical Scientists/Forensic Examiners 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 periods for any other positions will be decided by the Technical Leader and individual's Unit Chief and included in the training file.

5 TECHNICAL AND ADMINISTRATIVE REVIEWERS

- A. Reviewer performance and adherence to the Laboratory quality system is monitored through audit(s).
 - 1. Updates to training are communicated as needed.
- B. A reviewer may require retraining if reviews are found to be unsatisfactory.
- C. Retraining will be provided in deficient areas and reviews will be monitored until the individual's reviews are found to be satisfactory.
- D. 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.

6 ERRORS IN TECHNICAL WORK

- A. In situations where a technical error has occurred, review of work and/or training may be required.
- B. A corrective action or preventive action can be issued as needed.
- C. All incidents will be recorded, reviewed for trends, and available to appropriate personnel for tracking.

6.1 Proficiency Testing

- A. Actions to address technical errors during a proficiency test will follow the *FBI Laboratory Quality Manual* ([LAB-100](#)).
- B. The Technical Leader will make the determination if a corrective action or preventive action is warranted.

6.2 Other Technical Errors

- A. Types of technical errors 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),

- conducting a process incorrectly,
 - failure to capture or digitally process a print correctly, or
 - incorrect use of an automated system, such as poor encoding.
- B. After an incident 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 incident, to include any relevant images, markups, or notes, as well as surrounding factors, will be retained.
- D. Technical management will determine what actions should be taken, such as additional review or a corrective or preventive action.
1. All information will be retained for trend analysis by relevant personnel.

7 REMOVAL OF AUTHORIZATION TO CONDUCT WORK

- A. Various circumstances may lead to the permanent removal of authorization to conduct specific tasks or for the overall discipline.
- 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.

8 REVISION HISTORY

Revision	Issue Date	Changes
07	04/01/21	Replace Latent Print Units with Friction Ridge Discipline or equivalent. Minor wording changes. Section 1 removed and remaining renumbered. Scope modified to remove category of testing reference and added the ANAB specific duties to each. Section 2, specified discipline and clarified representative. Section 2.1, clarified location. Section 2.1.4, aligned with Laboratory and specific to comparison. Section 2.2, removed designated. Section 2.3, moved first paragraph from further down in section. Removed last sentence of Section 2.3.2. Section 2.3.3, clarified. Section 2.3.4 distinguishes between external or not. Section 2.5 and Section 2.6, updated and reorganized. Section 2.7, removed category of testing. Appendix A and Appendix B modified.
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.