

10/28/06 CC to: Smetana & Auvdel

DNA Incident Report--Casework Section

Report #: 06-101

Date & Time of Discovery of Incident: 11 Oct 06

- (A) analyst Contamination
- (L) lab Personnel Contamination
- (M) mechanical Incident
- (S) samples switched
- (T) tube to tube contamination
- (U) unknown source contamination
- (O) other

Initials of Examiner: CSK

Date & Time of Notification of Technical Leader

Co-signer D. Glidewell notified 11 Oct 06 DGR 15 Oct 06 (by Email)

[Signature]

Date and Time CODIS Manager Notified (if applicable) N/A

Case Number(s) (include cases batched with this case) 2006.1091

Description of Incident:

low level profile in F2 fraction of reagent blank. All alleles were under 150 rfu. Profile was determined to be similar to a sample, 3 tubes before it. F1 fraction appeared to also contain alleles but at a much lower rfu. The negative control was clean & there was no indication of the reagent blank profile other than those mentioned above in samples

Sample(s) Affected:

F1, F2/F3 fractions extracted on 28 Sep 06.

Corrective Action Taken:

Samples re-extracted, reagents discarded, work space decontaminated/bleached down, gloves changed often.

Technical Leader Review and Comments:

Samples that were re-extracted were ^{mt} and the reagent blank all obtained expected results. Decontamination of lab areas & extra precautionary measures used should minimize any future incidents.

Date Action Completed: 27 Oct 06

DNA Incident Report--Casework Section

Report #: 07-102

Date & Time of Discovery of Incident: ~10:30am 30 Apr 07

- (A)nalyst Contamination
- (L)ab Personnel Contamination
- (M)echanical Incident
- (S)amples switched
- (T)ube to tube contamination
- (U)nkown source contamination
- (O)ther

Initials of Examiner: CBJ

Date & Time of Notification of Technical Leader 1100 4/30/07 mk

Date and Time CODIS Manager Notified (if applicable) N/A

Case Number(s) 07-0702
(include cases batched with this case) (07-0431) - extracted separately

Description of Incident:
Different male profile (partial) in F2 fraction than F1 & F3 fractions of affected sample (subject's shorts). The F2 fraction profile was similar to the F1, F2, F3 profile from the tube(s) beside it during the initial phase of the differential extraction procedure. Due to suspected tube contamination this sample was re-extracted.
AB, BA, Pos & Neg controls all produced expected results.

Sample(s) Affected:
07-0702 Ex. 9 F2 extracted on 24 Apr 07

Corrective Action Taken: mk
Sample re-extracted to show little/no DNA - sperm present. (No sperm present during 1st extraction)
discussed being more careful with sample handling

Technical Leader Review and Comments: mk
Re-extracted sample F2 fraction dropped out at quant (no DNA as expected (No sperm seen). At analyst feels she knows what? how contamination occurred and re-extraction showed DNA, corrective action is complete.

Date Action Completed: 02 May 2007

DNA Incident Report--Casework Section

Report #: 07-T05

Date & Time of Discovery of Incident: Fri 11/30/07 4:30pm

- (A) analyst Contamination
- (L) Lab Personnel Contamination
- (M) Mechanical Incident
- (S) samples switched
- (T) tube to tube contamination
- (U) unknown source contamination
- (O) other

Initials of Examiner: [Signature]

Date & Time of Notification of Technical Leader 12/3/07 0845 ML

Date and Time CODIS Manager Notified (if applicable) N/A

Case Number(s) (include cases batched with this case) 07-2269, 07-1497

Description of Incident: Sample C10655.2 (RB F2) was found to contain detectable alleles below the 100rfu threshold. These alleles were consistent with a profile from the known extraction set (C10658-07-1497 Ex. 1(S)). It is possible that DNA was transferred into the RB F2 when I attempted to securely close the tube top (it was discovered partially open) after I had handled evidence from 07-1497 Ex. 1(S).

Sample(s) Affected: C10652.1-C10655.2 (07-2269 Ex 2-4) (QA & RB)

Corrective Action Taken: Samples were re-extracted. No contamination was observed in the reagent blank or apparent in any of the samples. Analyst area was cleaned/bleached and reagents replaced.

Technical Leader Review and Comments: As reagent blank and re-extracted samples showed no contamination. No further corrective action is necessary.

Date Action Completed: 5 Dec 07 [Signature]

DNA Incident Report--Casework Section

Report #: ORT 1

Date & Time of Discovery of Incident: 2/20/08 1100

- (A) Analyst Contamination
- (L) Lab Personnel Contamination
- (M) Mechanical Incident
- (S) Samples switched
- (T) Tube to tube contamination
- (U) Unknown source contamination
- (O) Other

Initials of Examiner: CBJ

Date & Time of Notification of Technical Leader 2/20/08 ≈ 0900

Date and Time CODIS Manager Notified (if applicable) N/A

Case Number(s) 07-2332 (no other cases batched)
(include cases batched with this case)

Description of Incident:
Very low levels of DNA (≈ 15rfu) observed in RBFI for this case. DNA analyzed 10rfu to determine possible source. Source is victim in case. RB re-amplified, and only one allele @ TPOX is same as previous amplification.

Sample(s) Affected:
E1 fractions of samples.

Corrective Action Taken:
No other samples in the case illustrate possible contamination. RB was re-amplified. Only ^{two} possible alleles detected at 10rfu.
Per SOP, if alleles are not over threshold, no re-extraction needed. As no alleles were over threshold, source was identified, re-amp of sample yielded only ^{two} possible alleles, no further action needed. mk

Technical Leader Review and Comments:
No re-extraction is necessary of corresponding samples. Analyst will start changing gloves more often, and between samples during extraction.

Date Action Completed: 26 Feb 08 mk

DNA Incident Report--Casework Section

Report #: 29-005

Date & Time of Discovery of Incident: 27 FEB09

Initials of Examiner: CB

Date & Time of Notification of Technical Leader
11 MAR09

Date and Time CODIS Manager Notified (if applicable)
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Case Number(s)
(include cases batched with this case) 08-2314

Description of Incident:
See memo dated 12 MAR09 regarding 08-2314.

Sample(s) Affected:
See memo dated 12 MAR09 regarding 08-2314

Corrective Action Taken:
The CODIS Disposition Form and profile data from 08-2314 were reviewed by Debbie Haller and Clint Buchanan. The analyst was contacted on 12 MAR09 and the Codis Disposition form was reviewed with the analyst on 16 MAR09. As a result of the discussion, the analyst amended the codis Disposition Form and updated statistical calculations on the report to reflect changes on the codis Disposition Form. Guidelines outlined in 04.7.2. in the DNA Branch SOP for Forensic casework were reviewed during the DNA staff meeting on 12 MAR09.

Technical Leader Review and Comments:
Case files/reports containing statistical calculations from Jan-Feb-March 2009 were reviewed by Clint Buchanan. Statistical analysis of mixture samples in reviewed cases was appropriate. No further corrective action needed.

Date Action Completed: 26 MAR09 / CB

- (A) analyst Contamination
- (L) lab Personnel Contamination
- (M) mechanical Incident
- (S) amples switched
- (T) tube to tube contamination
- (U) nknown source contamination
- (O) ther

10 August 2006

CORRECTIVE ACTION REQUEST

Submitted by: Clint Buchanan Date: 26 MAR 09

Situation to be addressed: See Attached

This Section to be completed by Quality Manager

Date Received _____ Corrective Action # _____

The Corrective Action Request Form will be given to either Chief of Operation Support Division or Chief of Forensic Analysis Division as applicable.

Root cause of problem(s) as determined:

No Action Needed

Initial recommendation(s):

Categories of failures and violations:

Class I	Class II	Class III	External/Internal
			Complaints
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Class I & II contacted Director Date: _____

Description of action(s) to be taken by Branch Chief(s):

This Section to be completed by Branch Chief and returned to Quality Manager upon completion of action(s)

Implementation of Corrective Action Date: _____

Completion of Corrective Action Date: _____

This Section to be completed by Quality Manager

Date received: _____

Date Reviewed: _____ Closed on: _____

Figure 1-1

Case reports containing stats during months of Jan-March 2009. *by 26 Mar 09*

2008-2067

2008-1796

2008-1717

2008-2407.

*CB 27 MAR 09 → reviewed and stats appropriate.
lcbj*

DNA Incident Report--Casework Section

Report #: 09-015,

Date & Time of Discovery of Incident: 31 AUG 09, AM

- (A)nalyst Contamination
- (L)ab Personnel Contamination
- (M)echanical Incident
- (S)amples switched
- (T)ube to tube contamination
- (U)nknown source contamination
- (O)ther

Initials of Examiner: CBJ

Date & Time of Notification of Technical Leader
31 AUG 09, AM

Date and Time CODIS Manager Notified (if applicable)
3-Sep-09

Case Number(s)
(include cases batched with this case) 09-1054

Description of Incident:
Analytical Error: Expired reagents were used in PCR amplification reaction. Reaction mix Lot # 0804130-14 and Primer Lot # 0805060-14 are associated with ID Kit Lot 0805060 (expiration date 21 May09). These two tubes were found in ID PCR box labeled "Kit Lot # 0902074 Exp 18 FEB 10". It is unclear how these tubes (from a different kit lot number) could have been placed in this box.

Sample(s) Affected:
CJ 1631 - CJ 1637

Corrective Action Taken:
The remaining portions of the tubes were discarded and all remaining tubes in the ID PCR box were evaluated to confirm they were associated with Kit Lot # 0902074. All controls (QA, RB, Amplification Positive and amplification negative) gave accurate typing results with the amplification consumables used; therefore the samples will not be reamplified in this case.

Technical Leader Review and Comments:
In the future, all PCR boxes will be inventoried during QC procedures to insure all tubes have the same lot numbers associated with a specific Kit lot number. No further corrective action required.

Date Action Completed: 03 Sep 09 / CBJ

DNA Incident Report--Casework Section

Report #: 09-T01

Date & Time of Discovery of Incident: 7 Jan 09 12:30pm

Initials of Examiner: CBj

Date & Time of Notification of Technical Leader
7 JAN 09

Date and Time CODIS Manager Notified (if applicable)
NA

Case Number(s)
(include cases batched with this case) 08-2067, 08-2314

Description of Incident:
low levels of DNA (< 35 rfu) observed in RBE1-DNA sample analyzed @ 10 rfu to determine possible source; source is consistent with 08-2067 F1/F3 samples (victim).

Sample(s) Affected:
CJ1272 - CJ1274 (08-2314 Ex. 13(8-9) & 08-2067 Ex. 3(2)1) CJ1275 - CJ1276 QAZ & RB

Corrective Action Taken:
Christie will re-extract the affected samples. Re-extraction is ok. We discussed where this could have happened. Christie will begin handling the spin baskets w/ tweezers. ~~instead of gloved hands~~ In the past she would have handled them w/ gloved hands and then bleached her gloves. She will continue to practice good lab practices

Technical Leader Review and Comments:
no further corrective action @ this time.

Date Action Completed: 14 Jan 09 DKH

- (A)nalyst Contamination
- (L)ab Personnel Contamination
- (M)echanical Incident
- (S)amples switched
- (T)ube to tube contamination
- (U)ncertain source contamination
- (O)ther

DNA Incident Report--Casework Section

Report #: 10-T03

Date & Time of Discovery of Incident: 30 Mar 10

Initials of Examiner: CB

Date & Time of Notification of Technical Leader: 30 MAR 10

- (A)nalyst Contamination
- (L)ab Personnel Contamination
- (M)echanical Incident
- (S)amples switched
- (T)ube to tube contamination
- (U)nkown source contamination
- (O)ther

Date and Time CODIS Manager Notified (if applicable)

Case Number(s) (include cases batched with this case): 09-2202²⁶⁹⁹ (to 0282)⁰⁹⁻²²⁰²

Description of Incident: CJ1982 contained a profile (female) that is associated with sample CJ1978 (cervix swabs). These samples were extracted at the same time & were close together during microcon. It is possible that liquid could have been deposited on analysts gloves & transferred to sample CJ1982 during the microcon process.

Sample(s) Affected: CJ1982

Corrective Action Taken:

Samples for case 09-2202²⁶⁹⁹ will be reswabbed & re-extracted. Analyst will make every effort to prevent similar incidents from recurring in the future.

Technical Leader Review and Comments:

No further corrective action required

Date Action Completed: CB 22 Apr 2010