

Department of Forensic Science

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**FORENSIC BIOLOGY
PROCEDURES MANUAL
OF
QUALITY ASSURANCE PROGRAM**

TABLE OF CONTENTS

1 Quality Assurance Program

- 1.1 Goals and Objectives
- 1.2 Organization and Management Structure
- 1.3 Personnel Qualifications and Training
- 1.4 Facilities
- 1.5 Evidence Control
- 1.6 Validation
- 1.7 Analytical Procedures
- 1.8 Calibration and Maintenance
- 1.9 Proficiency Testing
- 1.10 Corrective Action
- 1.11 Reports
- 1.12 Review
- 1.13 Safety
- 1.14 Audits
- 1.15 Outsourcing
- 1.16 Document Retention
- 1.17 Case File Documentation and Storage of Electronic Data

2 Equipment, Reagents and Supplies

- 2.1 Instruments and Equipment
- 2.2 Reagents, Chemicals and Supplies

3 Quality Control of Critical Reagents and Supplies

- 3.1 PCR-Based System Kits
- 3.2 PunchSolution™ Kit
- 3.3 AmpliTaq™ Gold DNA Polymerase
- 3.4 Plexor® HY Kits
- 3.5 Standard Reference Material (SRM) Kit
- 3.6 p30 ABACARD®
- 3.7 GeneScan™ 600 LIZ® Size Standard
- 3.8 WEN Internal Lane Standard 500

4 Validation of PCR-Based Analytical Procedures

- 4.1 Developmental Validation
- 4.2 Internal Validation of Established Procedures

5 Internal Controls and Standards – Polymerase Chain Reaction (PCR) Procedures

- 5.1 Reagent Blanks
- 5.2 Random Sample (Used During Analysis of Convicted Offender and Arrestee Samples)
- 5.3 Procedures for Estimating DNA recovery
- 5.4 Negative Amplification Control (Negative Control)
- 5.5 Positive Amplification Control (Positive Control)

6 Dedicated Work Areas

- 6.1 DNA Extraction Work Area
- 6.2 PCR Setup Work Area
- 6.3 Amplified DNA Work Area

Appendix A [Autoclave Quality Control](#)

Appendix B [Calibration of the Biomek® NX^P Automation Workstation](#)

Appendix C [Centrifuge Speed Check by Tachometer](#)

Appendix D [Care and Maintenance of Pipettes](#)

Appendix E [Performing the Stratagene MX3005P™ Instrument Qualification Test](#)

Appendix F [Thermometer Temperature Calibration](#)

Appendix G [Thermal Cycler 9700 Temperature Calibration, Temperature Non-Uniformity, and System Performance Diagnostic Tests](#)

Appendix H [Maintenance of the Casework 3130xl Genetic Analyzers](#)

Appendix I [Maintenance of the Casework 3500xl Genetic Analyzers](#)

Appendix J [Preparing NIST Traceable Samples](#)

Appendix K [Guide for Review of Autosomal DNA Data](#)

Appendix L [Guide for Review of Y-STR DNA Data](#)

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1 QUALITY ASSURANCE PROGRAM

1.1 Goals and Objectives

1.1.1 Goals

- To support criminal justice agencies in the Commonwealth with DNA typing of selected biological materials associated with criminal investigations using polymerase chain reaction (PCR) based testing.
- To maintain a DNA Data Bank of convicted offenders and arrestees.
- To ensure the quality, integrity, and accuracy of the DNA typing data through the implementation of a detailed quality control program.

1.1.2 Objectives

- Establish and monitor quality requirements for reagents, supplies, equipment, and analytical procedures.
- Ensure that the entire DNA typing procedure is operating within the established performance criteria and that the quality and validity of the analytical data is maintained.
- Ensure that problems are noted and that the appropriate corrective action is taken and documented in a Memorandum of Record or case file documentation for the affected case file(s) and, if necessary, for the Quality Control records.

1.2 Organization and Management Structure

The organization and management of the Virginia Department of Forensic Science is addressed in the Department Quality Manual.

The management structure for the Department is set forth in the Department Organizational Chart.

1.3 Personnel Qualifications and Training

The procedure for the qualification and training of personnel is addressed in the Department Quality Manual.

The policy that addresses attending meetings and seminars is addressed in the Department Quality Manual, Continuing Education and Training.

Each laboratory will maintain the training record for each assigned person.

All analyst(s), the technical leader and casework CODIS administrator(s) must receive 8 hours of continuing education on a yearly basis. The technical leader shall approve the continuing education program which will be documented on the Department's Report of Training /Conference Attendance Form. Records of attendance shall be maintained by the laboratory.

A review of scientific literature will be conducted through the use of a reading list. The technical leader will approve the articles on the list. Documentation of the completion of the required reading shall be maintained by the section supervisor or their designee(s).

1.4 Facilities

The Facilities of the Department are addressed in the Department Quality Manual.

1.5 Evidence Control

The procedure for the assignment of laboratory numbers to submission of physical evidence, and item [sub-item] numbers to evidence contained in the submission of physical evidence is addressed in the Department Quality Manual.

The procedure for the handling of physical evidence is addressed in the Department Quality Manual. Work product is defined as the material that is generated by the laboratory as a function of analysis, which includes microscope slides, DNA extracts, amplified product and amplification tubes or plates.

- 1.5.1 All DNA extracts and cuttings to be returned to the submitting agency (refer to FB PM Extraction of DNA) for possible future testing are securely maintained in the Forensic Biology laboratory in which they were created during the normal workflow process until they are placed into the applicable associated container for return.
- 1.5.1.1 Exceptions are specifically addressed in 1.5.2.3.
- 1.5.2 A chain of custody will be maintained for DNA extracts and/or cuttings that will be returned to the submitting agency for possible future testing.
- 1.5.2.1 Creation of a sub-item in the LIMS is not typically required.
- 1.5.2.2 The chain of custody will be documented in the case notes and will minimally include:
- Date of creation and initials of the creator
 - Date placed into the applicable associated container for return to the submitting agency and initials of person performing this task
- 1.5.2.2.1 Movement within the Forensic Biology laboratory during the normal workflow process (e.g., storage after robotic extraction and normalization, reamplification of an extract, drying down of extracts, storage after drying, etc.) occurs in a controlled access environment and need not be documented.
- 1.5.2.2.2 The creation of a cutting can be captured in the casefile notes (i.e., the date and initials for the notes page will suffice) and is defined as:
- the placement of a cutting taken directly from an item of evidence into a tube for possible extraction
- OR
- or the placement of a cutting from a swabbing taken directly from an item of evidence into a tube for possible extraction
- 1.5.2.2.3 The creation of an extract is the placement of the first extraction reagent into the tube in which the extraction is to take place.
- 1.5.2.2.3.1 For a batch composed of samples from more than one examiner, handwritten initials of each person performing each type of extraction next to the date of extraction already documented on the batch paperwork will suffice.
- 1.5.2.2.3.2 For a batch composed of samples from a single examiner, the handwritten initials at the top of the page required for all casework documentation will suffice.
- 1.5.2.2.3.3 Sperm and non-sperm fractions are considered to have been created on the date on which the extraction begins, even if the tube is incubated overnight at 37°C prior to transfer of the non-sperm portion into a separate tube.
- 1.5.2.3 Internal transfers of DNA extracts and/or cuttings outside of their applicable associated container to a member of another section, to a different examiner of the same section for the

purposes of performing a type of testing in which the originating examiner is not qualified, or to another VA DFS laboratory via lockbox will be documented in the LIMS.

- 1.5.2.3.1 This type of transfer will require that the affected extracts and/or cuttings be sub-itemized in the LIMS and the transfers tracked electronically.

EXAMPLES: A DNA extract is created by a mitochondrial DNA examiner who is not qualified to perform Y-STR analysis. The extract is later referred for Y-STR analysis. This extract must be sub-itemized in the LIMS and the associated transfers to and from the nuclear DNA section/examiner and the mitochondrial DNA examiner tracked electronically.

A DNA extract is created by a nuclear DNA examiner in the Central Laboratory who is not qualified to perform Y-STR analysis. The extract is later referred for Y-STR analysis and transferred to a different examiner in the Central Laboratory for the Y-STR analysis. This extract must be sub-itemized in the LIMS and the associated transfers to and from the nuclear DNA section/examiners tracked electronically.

A DNA extract is created by a nuclear DNA examiner in the Western Laboratory. The extract is later referred to an examiner in the Central Laboratory for Y-STR analysis. This extract must be sub-itemized in the LIMS and the associated transfers to and from the Western DNA section/examiner and the Central DNA section/examiner tracked electronically.

A DNA extract is created by a nuclear DNA examiner in the Central Laboratory. This extract is amplified as a part of the normal workflow of a batch of samples from multiple examiners. The amplification positive control fails and requires a reamplification of the entire batch of samples. One examiner with samples in the batch offers to reamplify the entire batch manually. This is defined as movement during the normal workflow process that will be documented through the use of the manual amplification set up worksheet. Therefore, it need not be documented in the notes or in the LIMS.

- 1.5.2.4 Once placed into the applicable associated container for return to the submitting agency, the chain of custody of the parent container encompasses the chain of custody of the extract(s) and/or cutting(s). Any transfers after this point do not require sub-itemization of an affected extract and/or cutting that was not previously sub-itemized.

1.6 Validation

The validation of new DNA technologies/methodologies by the Forensic Biology Section is addressed in this manual. In addition, a summary of each validation study is maintained with the data. The summary and data are maintained by the Biology Program Manager as directed by the Department Quality Manual.

1.7 Analytical Procedures

The analytical procedures used by the Section are set forth in the Forensic Biology Procedures Manuals. Establishment of these procedures is guided by the Department Quality Manual.

- 1.7.1 Estimation of the uncertainty of measurement: no critical measurements are taken during the analytical process in the Section; therefore, no estimation of uncertainty of measurement is necessary.

1.8 Calibration and Maintenance

Procedures for the calibration and maintenance of laboratory equipment are set forth in this manual. Establishment of these procedures is guided by the Department Quality Manual.

1.9 Proficiency Testing

The proficiency testing program for the Department is referenced in the Department Quality Manual.

1.10 Corrective Action

The procedure for corrective action is set forth in the Department Quality Manual.

1.11 Reports

The procedure for generating a Certificate of Analysis is addressed in the Department Quality Manual.

The procedure for the preparation, storage and disposition of case file records is addressed in the Department Quality Manual.

The procedure for the expungement of records is addressed in the Department Quality Manual.

1.12 Review

The Department procedure for the administrative and technical review of case files is addressed in the Department Quality Manual. To aid the Section examiner during the review of the documentation found in the case file, the "Guide for Review of Autosomal DNA Data" found in Appendix K and the "Guide for Review of Y-STR DNA Data" found in Appendix L may each be used as a guide and are not intended to supercede or replace the official technical review form addressed in the Department Quality Manual.

The administrative review also includes a review of the chain of custody and the disposition of the evidence. The chain of custody review includes the written chain of custody on the RFLE and the electronic chain information maintained for the item/container.

The technical review also includes a review of the raw data for reagent blanks and negative controls to ensure amplification product was indeed loaded into the plate for the Genetic Analyzer. A review of the raw data associated with evidence samples for which no typing results are obtained may be indicated if the quantitation value for the sample indicated a profile should have been obtained.

On occasion, there can be initial disparities between the conclusions drawn by qualified examiners in the technical review process. The first step towards achieving a unified scientific conclusion should be a discussion between the examiner and technical reviewer. In this discussion, each party should provide details supporting the basis of his/her conclusions. If consensus cannot be achieved, a supervisor should be consulted. The Biology Program Manager (Technical Leader) or Assistant Technical Leader can be contacted for further technical discussions between the examiner and technical reviewer/supervisor or examiners in other laboratories, if necessary. An inconclusive result should be reported in the rare instance where a scientific consensus cannot be reached.

The procedure for the monitoring of the testimony of casework examiners is addressed in the Department Quality Manual.

1.13 Safety

The policies and procedures for safety in the laboratory are addressed in the Department Safety Manual.

1.14 Audits

The procedure for audits of the Department is addressed in the Department Quality Manual.

A FBI Quality Assurance Audit of the Section is conducted by an external agency at a minimum of every other year.

The official record and response to prior audits is maintained by the Department Quality Assurance Coordinator in the Department's headquarters laboratory.

1.15 Outsourcing

Outsourcing is addressed in the Department Quality Manual.

Technical specifications of the outsourcing agreement are approved by the technical leader prior to the outsourcing agreement being awarded.

A technical review of the vendor's data is conducted prior to uploading sample profiles into SDIS. The following elements are included in the technical review:

- DNA types to ensure they are supported by the analytical data
- Associated controls, ILS and ladder
- A review of the final report if provided by the vendor
- Verification of the DNA types, eligibility and correct specimen categories for entry to CODIS

On-site visits are conducted prior to the beginning of casework analysis. Annual on-site visits are conducted as required. The on-site visit will be documented and maintained by the laboratory.

The on-site visit will assess the following elements:

- Evaluate training and credentials of new personnel involved in the project
- Evaluate any new validation which will be implemented on contract samples
- Review procedures
- Inspect facilities

1.16 Document Retention

The document retention policy of the Department is addressed in the Department Quality Manual and is summarized below:

- Proficiency tests are maintained for at least 4 years
- Corrective actions are maintained for at least 4 years
- Audit records are maintained for at least 5 years
- Training records are maintained for at least 10 years after separation
- Continuing education is a permanent record
- Case files are retained for 75 years
- Court testimony monitoring is maintained for at least 4 years

1.17 Case File Documentation and Storage of Electronic Data

Electronic sample files (.fsa, .hid, etc.) and project files (.ser) generated using the 3130xl or 3500xl Genetic Analyzers and analyzed using the GeneMapper® ID or GeneMapper® ID-X software will be saved onto a storage medium (disk or other suitable media) and stored in each case file. The sample files to be saved include any/all sample files generated for the case, whether they are the data used for reporting or not (reinjections, etc.) and all associated reagent blank, negative control, and positive control sample files as well as any ladder(s) used in the sizing of samples in projects. The project file(s) (.ser) saved will be those that contain reported data. If, for example, a new project is created due to no passing ladders in the first project, the original project need not be saved.

Technical records that are generated electronically and printed are considered complete after the document is printed and the print session is closed. Changes to these records after this time must be tracked and made in accordance with the Department Quality Manual.

Technical records that are generated electronically and saved for printing upon completion are considered complete when the last analytical procedure documented on that record (e.g., worksheet) has been completed. Changes to these records after this time must be tracked and made in accordance with the Department Quality Manual.

EXAMPLE: Within the Excel workbooks used for DNA analysis, each individual worksheet will be considered complete once the last procedure documented on that worksheet has been completed.

Examination documentation that is saved electronically and not printed is considered complete when saved to a disk (or other suitable media) which is then initialed, dated and uniquely identified by the examiner prior to the technical review. Changes to this documentation after it is complete will need to be regenerated electronically and saved to the original disk or to a new disk which is then initialed, dated and uniquely identified by the examiner. The original and/or subsequent disks are saved as part of the case record.

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2 EQUIPMENT, REAGENTS AND SUPPLIES

The purpose of the procedures in this section is to ensure that the parameters of the testing process are routinely monitored in the manner necessary to maintain the success and reliability of the testing procedures. Upon the completion of the quality control testing of critical reagents the supervisor or designee will review, initial and date the quality control documentation prior to the critical reagent being used to conduct casework or Data Bank analyses.

Controls utilized during each phase of the testing procedure are designed to signal potential problems in the analysis. If acceptable results are obtained for these controls, it is reasonable to assume that the results for other samples analyzed using the same equipment, reagents, and supplies will be accurate and acceptable. If the controls indicate a problem with the analysis, it may be possible to determine the source of the problem and correct for it. Depending on the nature of the problem, re-analysis of the samples may be required.

Where the samples are irreplaceable and/or limited in amount (as in most casework), it is highly desirable to minimize the need for repeat analysis due to failure of equipment, materials or reagents. To that end, quality control (QC) procedures should focus as much as possible on preventing problems before they occur rather than on dealing with them after they happen.

2.1 Instruments and Equipment

2.1.1 Inventory

The section will maintain an equipment inventory.

2.1.2 Operating Manuals

Warranty information and operating manuals will be filed in the laboratory and will be readily available to all operators of instruments and equipment.

2.1.3 Calibration/Maintenance/Repair Records

Anytime an instrument or piece of equipment requires calibration, service or maintenance, that fact will be documented on an "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form. Additionally, instruments/equipment on routine service contracts will have routine service calls documented. These forms will be maintained in a ring binder or properly labeled file.

2.1.4 Calibration and Maintenance Schedules

Routine maintenance and/or calibration will be performed on each instrument/piece of equipment listed, based upon the following schedule.

Critical equipment is defined as:

- NIST traceable thermometer
- Balance
- Thermal cycler temperature verification system
- Thermal cycler
- qPCR system
- 3130*xl*
- 3500*xl*
- Pipettes
- BIOMEK®
- QIAGEN® Universal robot

NOTE: If an instrument/equipment is out of calibration with the manufacturers or the Section's specifications, the instrument/equipment will immediately be taken off line for repair and the maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form". If an instrument/equipment is out of calibration and cannot be repaired it will be taken off line and the attempted repair will be documented on the "Equipment Calibration/Maintenance/Repair Form". Subsequently, the instrument/equipment will be removed from the Section's inventory and will be documented.

- **ANALYTICAL BALANCES:**

Annually - Serviced and calibrated by outside vendor. Record the service call on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

If the balance is taken off line for repair/maintenance, prior to being put back in service, the annual calibration will be conducted or the calibration check will be conducted as a performance check.

Calibration check - Because there are many different analytical balances used throughout the Section the weights used to verify the calibration of the analytical balance should include at least 3 data points covering the range for which the analytical balance is used.

PASS/FAIL RANGES FOR EACH DATA POINT (WEIGHT)

0.1 g	± 0.005 g
1.0 g	± 0.01 g
10 g	± 0.1 g
50 g	± 0.1 g
100 g	± 0.5 g
400 g	± 1.0 g
500 g	± 1.0 g
1.0 kg	± 1.0 g

If the analytical balance is outside of the acceptable range perform the calibration check a second time prior to making a service call.

- **AUTOCLAVE:**

6 Months - Verify and record operating temperature and pressure using a biological indicator. (Refer to Appendix A for the procedure.)

Each Use - Check the temperature and pressure gauges to ensure the autoclave is working properly. Monitor autoclave tape indicator.

As Needed - Clean. Have authorized vendor service.

If the autoclave is taken off line for repair/maintenance, prior to being put back in service, the biological indicator test will be conducted as a performance check.

- **BIOMEK^P® NX^P WORKSTATION:**

Annually - Have authorized vendor evaluate and perform necessary maintenance and repair. Record the service call on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

Annually - The syringes and or pipettes on the instrument will be calibrated by an authorized vendor. Record the service call on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

Quarterly - Calibration of the Biomek® NX^P Automation Workstation – Refer to Appendix B for this procedure.

If the BIOMEK® NX^P is taken off line for repair/maintenance, prior to being put back in service, the home all axes and framing the deck functions will be conducted as well as extracting samples and blanks as a performance check. The number of samples and blanks may vary depending on the repair/maintenance performed. Most situations will be covered by extracting 2 samples and 2 blanks and taking these samples all the way through the DNA typing process. If a pipette probe is out of calibration and repaired a sample and a blank should be processed in this affected row. This will dictate if additional samples and blanks are processed. For example, if 4 pipette probes are out of calibration then 4 samples and 4 blanks will be required for the performance check.

- **CENTRIFUGES:**

Annually - Using a photoelectric tachometer check and record the speed of the rotor. (Refer to Appendix C for the procedure.)

If a centrifuge is only used to pulse spin samples it is not necessary to quality control check the centrifuge rotor speed using a tachometer.

Each use or as needed - Wipe out the inside of the centrifuge with 70% ethanol or isopropanol.

As Needed - Clean and replace brushes. Have authorized vendor service and calibrate. Document the authorized vendor's service or the in-house maintenance on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

If a centrifuge is taken off line for repair/maintenance, prior to being put back in service, the annual tachometer check will be conducted as a performance check. This performance check is not required for centrifuges that are used for pulse spins only.

- **DNA CONCENTRATOR/EVAPORATOR:**

Each use or as needed - Wipe out the inside of the DNA concentrator/evaporator with 70% ethanol or isopropanol.

As Needed - Clean solvent collection trap.

- **FREEZERS (- 20°C):**

Weekly (and prior to putting into service) - Check and record temperatures each Monday. If the temperature checks cannot be performed on Monday, they will be made on the first regularly scheduled work day. If the temperature is greater than -10°C the thermostat will be adjusted to lower the temperature. Afterward the temperature will be monitored to ensure that the temperature does not increase. If the temperature continues to rise above -10°C the freezer will be removed from service until it can be repaired. The maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

- **HEAT BLOCKS:**

Weekly (and prior to putting into service) - Check and record temperature. If the temperature on the thermometer while in the hole of the block designed to hold the thermometer is greater than $\pm 2.0^{\circ}\text{C}$ from the specified temperature (e.g., 37°C, 56°C, or 95°C) the thermostat will be adjusted to obtain the correct temperature. The heat block temperature will be re-read and documented. If the correct temperature cannot be achieved the heat block will be removed from service until it can be repaired. The maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

Each Use - Check temperature.

- **HOODS:**

- **BIOLOGICAL SAFETY CABINETS (EVIDENCE HANDLING AND PCR SETUP) and FUME HOODS**

Annually - Have authorized vendor evaluate and perform necessary maintenance and repair. Record the service call on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

Each Use - Wipe down the inside of the hood with 10% bleach (or a solution that will degrade DNA) followed by cleaning with isopropyl alcohol and/or ethanol before each use. If the hood is equipped with an alarm and the alarm sounds when the hood is in use, and will not reset, the hood will be taken off line until it can be repaired. An authorized vendor will be contacted to repair the hood. The maintenance/repair will be documented.

- **BENCH TOP AIRCLEAN WORKSTATIONS (EVIDENCE HANDLING, PCR SETUP and EXTRACTION) and DRYING CABINETS (EVIDENCE HANDLING)**

Annually - Have authorized vendor evaluate and perform necessary maintenance and repair. Record the service call on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

As Needed - Change pre-filter and HEPA filter.

Each Use - Wipe down inside of the hood with 10% bleach. Do not use isopropanol or ethanol in the workstation.

- **INCUBATORS (OVENS):**

If the incubator is used only to dry glassware it is not necessary to verify the temperature as specified below.

Weekly - Check and record temperatures. If the temperature is greater than $\pm 2.0^{\circ}\text{C}$ from the specified temperature (e.g., 37°C , 56°C , or 95°C) the thermostat will be adjusted to obtain the correct temperature. The incubator temperature will be re-read and documented. If the correct temperature cannot be achieved the incubator will be removed from service until it can be repaired. The maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

Each Use - Check temperature.

- **NIST TRACEABLE THERMOMETER:**

Purchase a new NIST traceable thermometer when the unit needs to be re-calibrated. Maintain documentation of the calibration of the NIST traceable thermometer. Prior to use or yearly check documentation to ensure thermometer is within calibration.

- **pH METER:**

Each Day of Use or Per Manufacturer's Instruction, whichever comes last - Check and record the calibration at two set points.

As Needed - Check solution in probe and replace. Document the maintenance on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

If a pH meter is taken off line for repair/maintenance, prior to being put back in service, the each day of use check will be conducted as a performance check.

- **PHOTOELECTRIC TACHOMETER:**

Follow manufacturer's requirements for recalibration – If required have an authorized vendor evaluate and recalibrate or recertify the tachometer. Document the maintenance on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

- **PIPETTES:**

Annually - Have an authorized vendor evaluate and perform necessary maintenance and repair. Record this service on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form and retain the calibration certificate generated by the vendor. This serves to demonstrate that the pipette has passed QC prior to being put back into service.

As Needed - Clean inside/outside with isopropyl alcohol and check the seal. (Refer to Appendix D for the procedure.) Once the pipette has been reassembled conduct a quick calibration check using the graduated Rainin Pipette Tips discussed in Appendix D. If a pipette appears to be out of calibration, it will be sent to an authorized vendor for repair. Record this service on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form and retain the calibration certificate generated by the vendor.

As Needed - If a pipette appears to be out of calibration between normally scheduled performance/calibration checks, the pipette will be sent to an authorized vendor for repair. The maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form and retain the calibration certificate generated by the vendor which will serve as the pipette's performance check.

- **MULTI-CHANNEL PIPETTES:**

Annually (if used for precision measurements) - Have an authorized vendor evaluate and perform necessary maintenance and repair. Record this service on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form and retain the calibration certificate generated by the vendor.

If a multi-channel pipette appears to be out of calibration between normally scheduled performance/calibration checks, the pipette will be sent to an authorized vendor for repair. The maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form and retain the calibration certificate generated by the vendor which will serve as the pipette's performance check.

- **QIAGEN® UNIVERSAL ROBOT**

Annually - Have authorized vendor evaluate and perform necessary maintenance and repair. Record the service call on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

Refer to the Procedures Manual, Qiagen Biorobot Universal System Procedures Manual, Appendix B, Maintenance of the QIAGEN® BIOROBOT® UNIVERSAL SYSTEM, for the procedure on performing these calibration and maintenance checks.

If the Universal Robot is taken off line for repair/maintenance, prior to being put back in service, the monthly calibration and maintenance will be conducted as a performance check.

- **REFRIGERATORS (4°C):**

Weekly - Check and record temperatures each Monday. If the temperature checks cannot be performed on Monday, they will be made on the first regularly scheduled work day. The temperature should fall between 1-6°C. If not, the thermostat will be adjusted accordingly to bring the temperature into this range. Afterward the temperature will be monitored to ensure that the temperature does not fall outside of this range. If the temperature continues to fall outside of this range the refrigerator will be removed from service until it can be repaired. The maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

- **STRATAGENE® MX3005P™ qPCR SYSTEM:**

Semi-Annually – Instrument qualification Test – Refer to Appendix E for this procedure.

NOTE: The filter/gain settings need to be changed back to the instrument default prior to conducting the test.

Semi-Annually – While the block is at room temperature, the wells of the thermal block should be cleaned with cotton swabs and ethanol or isopropyl alcohol to eliminate any block contamination that can cause signal noise. The hot top that lifts up may be cleaned with Type I water and a lint-free lab wipe or cotton swab (the top, underside and openings) – being sure not to drip any liquid inside the instrument while cleaning.

If the qPCR system is taken off line for repair/maintenance, prior to being put back in service, the instrument qualification test run will be conducted as a performance check.

- **THERMAL CYCLER VERIFICATION UNIT:**

Annually - Send the thermal cyclers verification unit to an authorized vendor for calibration. Record the calibration/maintenance check on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

- **THERMAL CYCLER:**

9700 Thermal Cycler: Quarterly - Perform and record the results of the temperature calibration, temperature non-uniformity and the system performance diagnostic tests. If any of the tests fail, contact an authorized vendor. The maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form. Record the results of the verification test on the appropriate worksheet provided in Document 210-F601. Refer to Appendix G for the procedure.

If a thermal cyclers is taken off line for repair/maintenance, prior to being put back in service, the quarterly calibration tests will be conducted as a performance check.

- **THERMOMETERS:**

Annually - Check calibration of each thermometer (excluding thermometers used to verify refrigerator and freezer temperatures) in use against a NIST or NIST traceable thermometer. Refer to Appendix F for procedure. If the temperature is greater than $\pm 1.0^{\circ}\text{C}$ from the temperature of intended use (e.g., 37°C , 56°C , or 95°C) the thermometer will not be used to monitor temperatures at that range. If the thermometer is greater than $\pm 1.0^{\circ}\text{C}$ for more than one temperature range the thermometer will be removed from service and documented.

Check the calibration of all new thermometers (excluding thermometers that are to be used to verify refrigerator and freezer temperatures) against a NIST or NIST traceable thermometer prior to putting into service.

As Needed - Clean with mild detergent.

- **TYPE 1 WATER SYSTEM:**

As Needed - Change filters/cartridges, sanitize, and/or have an authorized vendor clean and check unit. Record the replacement/maintenance check on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

- **UV CROSSLINKER:**

Quarterly – Determine the amount of time required to irradiate laboratory tube racks, disposables and ultra-pure water in order to achieve a sterilizing effect. (Refer to Appendix F in the 212-D100 Mitochondrial DNA Section Procedures Manual for the procedure.)

All UV bulbs in a crosslinker will be replaced when the amount of time required to deliver 1 joule/cm² exceeds six minutes, or as necessary for individual bulbs due to outage.

- **WATER BATH:**

Each Day of Use - Check and record temperature. Ensure the water level is at the correct height. If the temperature is greater than $\pm 2.0^{\circ}\text{C}$ from the specified temperature the thermostat will be adjusted to obtain the correct temperature. The water bath temperature will be re-read and documented. If the correct temperature cannot be achieved the water bath will be removed from service until it can be repaired. The maintenance/repair will be documented on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

As Needed - Clean and replace water.

- **3130xl GENETIC ANALYZER:**

Annually - Have authorized vendor evaluate and perform necessary maintenance and repair. Record the service call on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

Refer to the Procedures Manual, Data Bank PowerPlex 16 Procedures Manual, Appendix C for the maintenance of the Data Bank 3130xl Genetic Analyzers.

Refer to the Mitochondrial DNA Section Procedures Manual for the maintenance of the Mitochondrial DNA Section's 3130xl Genetic Analyzers.

Refer to Appendix H for the maintenance of the Casework 3130xl Genetic Analyzers.

If a 3130xl is taken off line for repair/maintenance, prior to being put back in service, a performance check will be performed. This check will consist of injecting a minimum of 2 ladders and 2 DNA samples of a known genotype.

- **3500xl GENETIC ANALYZER:**

Annually - Have authorized vendor evaluate and perform necessary maintenance and repair. Record the service call on the "Equipment Calibration/Maintenance/Repair Form" found in Document 210-F600 or comparable log form.

Refer to the Data Bank PowerPlex Fusion Procedures Manual, Appendix C for the maintenance of the Data Bank 3500xl Genetic Analyzers.

Refer to the Mitochondrial DNA Section Procedures Manual for the maintenance of the Mitochondrial DNA Section's 3500xl Genetic Analyzers.

Refer to Appendix I for the maintenance of the Casework 3500xl Genetic Analyzers.

If a 3500xl is taken off line for repair/maintenance, prior to being put back in service, a performance check will be performed. This check will consist of injecting a minimum of 2 ladders and 2 DNA samples of a known genotype.

2.2 Reagents, Chemicals and Supplies

A listing of commercial reagents, chemicals, supplies and laboratory prepared reagents needed for each procedure is found in the applicable Forensic Biology Procedures Manual containing that procedure.

Reagents and supplies which have passed the expiration date will not be used on casework or Data Bank samples. However, these reagents/supplies may be used on non-critical samples (i.e., training samples, research, etc.) and will be appropriately labeled as such.

When a reagent is diluted and used by a number of examiners and retained, a lot number must be created and the reagent must be traceable to the reagent log. The container with the diluted reagent must contain:

- The identity and concentration of the reagent
- the lot number (date of preparation followed by initials of preparer – see 2.2.3)
- the expiration date: Twelve months from date of preparation or reagent manufacturer's expiration date, whichever comes first

If a stock solution is diluted and used once and discarded or the dilution is used only by the examiner preparing the dilution, a new lot number does not need to be assigned or recorded in the reagent log. The original reagent stock lot number will be used; however, the dilution will expire twelve months from date of preparation or on the stock solution's expiration date, whichever comes first.

2.2.1 Sources of Reagents, Chemicals, and Supplies

All reagents and chemicals will be purchased from a manufacturer/vendor/supplier approved of by the Forensic Biology Program Manager or designee. Any changes in manufacturers/vendors/suppliers will be carefully checked by the Section Supervisor, Program Manager or designee to ensure the chemical being provided meets the specifications necessary for the reagent. Any changes in manufacturers/vendors/suppliers will be brought to the Forensic Biology Program manager's (Technical Leader's) or Assistant Technical Leader's attention so the following list can be updated as necessary.

The following is a list of pre-approved manufacturers/vendors/suppliers:

- Abacus Diagnostics
- Activate (bleach refills)
- Agilent
- Alfa-Aesor
- Applied Biosystems
- Beckman Coulter
- BT Sure
- Fisher
- Gilson
- Government Scientific Source
- Invitrogen
- Merck Millipore
- Molecular Bio Products
- Nalgene
- Orion
- Promega
- QIAGEN®

- Rainin
- RICCA
- Sarstedt
- Sigma-Aldrich (and its subsidiaries)
- Thermo-Fisher Scientific/Thermo Scientific
- USA Scientific
- VWR

2.2.2 Commercial Reagents, Chemicals and Supply Inventory

Upon receipt of all purchased reagents, chemicals and supplies, the packing slip will be checked for agreement with the items received. A copy of each packing slip initialed and dated by the receiver will be maintained. If the packing slip does not contain the lot number of the reagent or chemical, the individual inventorying the item will add the lot number to the packing slip. The date of receipt, date opened, date of verification (if appropriate) and initials of the person performing the verification and/or opening the reagent/standard will be marked on all incoming reagents/chemicals/supplies as well as the expiration date.

For commercial reagents without a supplied expiration date, a date of 3 years from the date of receipt will be used.

All chemicals and reagents will be stored according to the manufacturers' specifications and/or in a manner conforming to established safety requirements for each chemical/reagent. All chemicals containing biologicals will be disposed of in biohazard bags. Waste organic reagents will be placed in designated waste containers in a hood and removed from the laboratory by an appropriate means of disposal. All other reagents can be disposed of in the laboratory sink.

2.2.3 Laboratory Prepared Reagents and Solutions

All laboratory prepared reagents and solutions will be made with great care and using good laboratory practices.

All laboratory prepared reagents will be made with Type I water unless otherwise stated.

All chemicals containing biologicals will be disposed of in biohazard bags. Waste organic reagents will be placed in designated waste containers in a hood and removed from the laboratory by an appropriate means of disposal.

Concentrations preceding reagent components reflect the final concentrations of that specific component in the resulting mixture.

The lot number assigned to laboratory prepared reagents/solutions will consist of the date prepared (two digit numerical representation of month, day and year) and the initials of the preparer.

EXAMPLE: Lot number 100806TM represents a reagent/solution prepared on October 8, 2006 by Teresa Mathis.

All laboratory prepared reagents/solutions will be clearly labeled with the following:

- reagent/solution identity
- date of preparation
- expiration date (as specified in the Procedures Manual or labeled “no expiration”)
- the initials of preparer
- lot number

- storage requirements, if applicable
- date of autoclaving, if applicable

A log will be maintained for each laboratory prepared reagent/solution, including dilutions of laboratory concentrates except for personal use dilutions as outlined above. Each reagent/solution prepared will have the following information recorded in the log book:

- chemicals used
- commercial sources of chemicals
- lot numbers of chemicals
- date prepared
- initials of individual preparing reagent/solution
- expiration date
- other pertinent data, such as pH
- lot number

Extraction reagents used for nuclear DNA extractions are routinely checked for reliability concurrent with testing. A quantitation result greater than N/A obtained for at least one sample associated with each type of extraction performed verifies that the reagents successfully released DNA. See FB PM Extraction of DNA, FB PM Interpretation of Fusion Data, and FB PM Interpretation of Yfiler™ Data for reagent blank requirements.

If all quantitation values for a particular extraction type are N/A, the sample types will be considered prior to deeming the verification of reliability to have failed. For example, a DNA IQ™ extraction set comprised solely of trace DNA samples with all quantitation values of N/A is not necessarily indication of failure of the reagents used. If an extraction set using the same lot numbers of reagents was or is shown to be successful, the reagents are reliable and no further action need be taken.

In the case of a failure of the reagents to successfully release DNA (i.e., all quantitation values are N/A for a set of samples expected to give a quantitation result), re-extraction with different lot numbers will be performed, if possible.

2.2.4 Safety Data Sheets - SDS (formerly Material Safety Data Sheets – MSDS)

The SDS received from the manufacturer for each chemical used in the laboratory can be found in the designated SDS book or online. These data sheets will be kept current and readily available to all laboratory personnel.

2.2.5 Critical Reagents and Supplies

All critical reagents and supplies must be quality control tested for accurate, reliable performance prior to being used in the Section on casework or Data Bank samples. Refer to Section 3, Quality Control Of Critical Reagents and Supplies. The results of all quality control tests will be maintained in a ring binder or properly labeled file.

3 QUALITY CONTROL OF CRITICAL REAGENTS AND SUPPLIES

The following reagents/kits/supplies will be quality control tested as indicated below when a new lot is received into the laboratory. The successful completion of the quality control test is documented by the initials of the analyst reviewing the QC data on the paperwork and the placement of the quality control date on the reagent or packaging.

3.1 PCR-Based System Kits

- 3.1.1 Upon receipt and before use, each new lot of PCR-based kits will be quality control tested to ensure the integrity of the PCR reagents that are provided with the kit. **If the same lot of the PCR-based system kits is received for several shipments, it is not necessary to quality control test the kits again until a new lot is received into the laboratory.**
- 3.1.2 Amplify and type two samples that have been extracted of known DNA type, one negative amplification blank, and one positive amplification control per lot of new kits. For the AmpFISTR® Yfiler™ Kit, the 9947A female positive control provided in the kit must also be amplified and typed. Follow the amplification and typing procedures outlined in the applicable Forensic Biology Procedures Manuals or the Data Bank PowerPlex® Fusion Procedures Manual. **Record the loading position of the samples on the worksheets used for casework analysis or on the worksheets used for Data Bank analysis if the kit will be used on Data Bank samples only.**
- NOTE:** In the Data Bank, the PowerPlex® Fusion kit may be utilized in a direct amplification protocol and the kit may also be utilized to amplify QIAGEN extracted DNA. Quality control verification must be performed for each protocol that the kit will be used for but not necessarily both protocols. For example, if the new lot of PowerPlex® Fusion kits will be used solely for direct amplification protocols, then it does not need to have a quality control verification performed with the extraction based protocol and vice versa.
- 3.1.3 Once the electropherograms have been analyzed, provided the expected types are obtained (i.e., known samples and positive amplification control) and the negative amplification blank does not produce results, the new lot of PCR- based kits will be considered to have passed the quality control verification and may be put on-line for routine use.
- 3.1.4 Once the new lot of PCR-based kits has passed the quality control verification, the kits will be labeled with the quality control date. Kits used for Data Bank samples will also be labeled with the protocol(s) that was used during the quality control verification. All worksheets and paperwork associated with the quality control test will be maintained in a ring binder or properly labeled file.

NOTE: This quality control test can be done in conjunction with the quality control testing of AmpliTaq™ Gold DNA polymerase and/or GeneScan™ 600 LIZ® Size Standard, as applicable.

3.2 PunchSolution™ Kit

- 3.2.1 Each new lot of PunchSolution™ Kit will be quality control tested before use for the direct amplification of Data Bank samples. **If the same lot of PunchSolution™ Kit is received for several shipments, it is not necessary to quality control test the kit components again until a new lot number is received into the laboratory.**
- 3.2.2 Two previously typed samples, a reagent blank, a negative amplification control, and positive amplification control must be processed through the direct amplification method per lot of PunchSolution™ Kit. Follow the direct amplification and typing procedures outlined in the Data Bank PowerPlex® Fusion Procedures Manual. **Record the loading position of the samples on the worksheets used for Data Bank analysis.**
- 3.2.3 Once the electropherograms have been analyzed, provided the expected types are obtained for the known samples and positive control, and the reagent blank and negative amplification control do not produce

results, the new lot of PunchSolution™ Kit will be considered to have passed the quality control verification and may be put on-line for routine use.

NOTE: This quality control test can be done in conjunction with the quality control testing of PCR based kits.

3.3 AmpliTaq™ Gold DNA Polymerase

- 3.3.1 Each new lot of AmpliTaq™ Gold DNA polymerase will be quality control tested before used on casework to verify the activity of the enzyme. **If the same lot of AmpliTaq™ Gold DNA polymerase is received for several shipments, it is not necessary to quality control test the AmpliTaq™ Gold DNA polymerase again until a new lot is received into the laboratory.**
- 3.3.2 Amplify and type two samples that have been extracted of known DNA type, one negative amplification blank, and one positive amplification control per lot of new AmpliTaq™ Gold DNA polymerase. Follow the amplification and typing procedures outlined in the applicable Forensic Biology Procedures Manuals. **Record the loading position of the samples on the worksheets used for casework analysis.**
- 3.3.3 Once the electropherograms have been analyzed, provided the expected types are obtained for the known samples and positive control and the amplification blank does not produce results, the new lot of AmpliTaq™ Gold DNA polymerase will be considered to have passed the quality control verification and may be put on-line for routine use.
- 3.3.4 Once the new lot of AmpliTaq™ Gold DNA polymerase has passed the quality control verification, the AmpliTaq™ Gold DNA polymerase stock box will be labeled with the quality control date. All worksheets and paperwork associated with the quality control test will be maintained in a ring binder or properly labeled file.

NOTE: This quality control test can be done in conjunction with the quality control testing of the PCR based kits.

3.4 Plexor® HY Kits

- 3.4.1 When a new lot number of the Plexor® HY System kit is received, it must be tested to determine if it conforms to the performance parameters defined by internal testing and the manufacturer's specifications prior to its use on casework.
- 3.4.2 A Plexor® HY System run will be performed, but it only needs to include two columns of the genomic standard; no additional DNA samples are required.
- 3.4.3 The slope, Y-intercept, R² and melt temperatures will all be assessed. Data points may be deselected, as described in the Forensic Biology Procedures Manual, Quantitation to improve the standard curve if necessary.
- 3.4.4 The data for the parameters listed above will be compared to the chart below to determine if they conform to within the indicated ranges.

	Auto Average	Y Average
Slope	-3.81 ± 1.02	-3.56 ± 0.76
Y-intercept	24.92 ± 3.39	24.73 ± 2.84
R²	0.99 ± 0.01	0.99 ± 0.01
Melt temperature	81.23 ± 1.5°C	82.59 ± 1.5°C

- 3.4.5 If the data conform, then the quality control test is complete and the stock box or bag will be labeled with the quality control date. If not, the test will be repeated. If the data do not conform after the second attempt, then the manufacturer will be contacted to determine if that lot number should be replaced with

a new lot, if additional testing needs to be performed, or if other corrective action needs to be implemented.

3.5 Standard Reference Material (SRM) Kit

The Standard Reference Material (SRM) kit or in-house traceable standards are designed to assure that the procedure for the DNA polymerase chain reaction (PCR) methodology is functioning properly and can be calibrated to the national standard provided by the National Institute of Standards and Technology (NIST). The SRM kit will be used to generate typing results for each technology (STR, Y STR or mitochondrial DNA) in use for Casework and the Data Bank.

- 3.5.1 Each laboratory conducting PCR analysis will verify its procedure using the SRM kit or samples traceable to an SRM kit annually or when substantial method changes/new validation has occurred. At a minimum 2 samples (2 male samples for Y STRs) will be carried from amplification through DNA typing for each technology. When substantial method changes/new validation has occurred for procedures that occur prior to amplification at a minimum 2 traceable samples will be extracted and taken through DNA typing.
- 3.5.2 Refer to Appendix J for information on how to prepare NIST traceable samples.
- 3.5.3 Once the electropherograms have been analyzed, the expected types obtained and the controls typed appropriately, the laboratory's procedure will be considered to be functioning properly and calibrated to the national standard.
- 3.5.4 All worksheets and paperwork associated with the quality control test will be maintained in a ring binder or properly labeled file.

3.6 p30 ABACARD®

- 3.6.1 Before using a new lot number of the ABACard® p30 Test, its specificity must be tested and appropriately documented in the laboratory's quality control records.
- 3.6.2 The ABACards® ("test devices") must be tested against human blood, vaginal fluid, saliva, feces, urine, a positive control (semen), and a negative control (buffer) to ensure that the test is working properly.
 - 3.6.2.1 Samples of human blood, vaginal fluid, saliva, feces, urine, and semen will be prepared in-house. Samples should be air dried onto a swab or similar material prior to testing.
 - 3.6.2.2 Label the known samples with the name of the substance (i.e., human semen, etc.) and the lot number (the date of preparation followed by the initials of the preparer).
 - 3.6.2.3 Store known samples in the freezer.
 - 3.6.2.4 It is also desirable to test dilutions of semen to determine the sensitivity of the test.
- 3.6.3 The quality control documentation will include (Refer to Document 210-F615):
 - The lot number, receipt date, expiration date and manufacturer of the test devices
 - The date of testing
 - Initials of the person conducting the testing
 - Results of the testing
- 3.6.4 Follow the testing procedure outlined in the Forensic Biology Procedures Manual, Evidence Screening and Collection of DNA Analysis for each of the QC samples being tested.

- 3.6.5 Once the appropriate tests have been performed on a lot number of the ABACard® p30 Test, they need not be repeated for each case. If another shipment of the same lot number is received on a different date, they are also considered QC'd.
- 3.6.6 The test devices and buffer included in the kit are to be stored below 82° F (28° C). They are not to be frozen.

3.7 GeneScan™ 600 LIZ® Size Standard

- 3.7.1 Each new lot of GeneScan™ 600 LIZ® Size Standard will be quality control tested before use on casework. **If the same lot of GeneScan™ 600 LIZ® Size Standard is received for several shipments, it is not necessary to quality control test the GeneScan™ 600 LIZ® Size Standard again until a new lot is received into the laboratory.**
- 3.7.2 Amplify and type one negative amplification blank, and one positive amplification control per lot of new GeneScan™ 600 LIZ® Size Standard. Follow the amplification and typing procedures outlined in the applicable Forensic Biology Procedures Manuals. **Record the loading position of the samples on the worksheets used for casework analysis.**
- NOTE:** If previously amplified controls are available, they may be used in lieu of amplifying a new set of controls.
- 3.7.3 Once the electropherograms have been analyzed, provided the expected types are obtained for the positive control and the amplification blank does not produce results, the new lot of GeneScan™ 600 LIZ® Size Standard will be considered to have passed the quality control verification and may be put on-line for routine use.
- 3.7.4 Once the new lot of GeneScan™ 600 LIZ® Size Standard has passed the quality control verification, the GeneScan™ 600 LIZ® Size Standard box will be labeled with the quality control date. All worksheets and paperwork associated with the quality control test will be maintained in a ring binder or properly labeled file.
- NOTE:** This quality control test can be done in conjunction with the quality control testing of the PCR based kits.

3.8 WEN Internal Lane Standard 500

- 3.8.1 Each new lot of WEN Internal Lane Standard 500 will be quality control tested before use on casework if it is ordered and received as a separate component outside an amplification kit. **If the same lot of WEN Internal Lane Standard 500 is received for several shipments, it is not necessary to quality control test the WEN Internal Lane Standard 500 again until a new lot is received into the laboratory.**
- 3.8.2 Amplify and type one negative amplification blank, and one positive amplification control per lot of new WEN Internal Lane Standard 500. Follow the amplification and typing procedures outlined in the applicable Forensic Biology Procedures Manuals. **Record the loading position of the samples on the worksheets used for casework analysis or on the worksheets used for Data Bank analysis if the kit will be used on Data Bank samples only.**
- NOTE:** If previously amplified controls are available, they may be used in lieu of amplifying a new set of controls.
- 3.8.3 Once the electropherograms have been analyzed, provided the expected types are obtained for the positive control and the amplification blank does not produce results, the new lot of WEN Internal Lane Standard 500 will be considered to have passed the quality control verification and may be put on-line for routine use.

- 3.8.4 Once the new lot of WEN Internal Lane Standard 500 has passed the quality control verification, the WEN Internal Lane Standard 500 box will be labeled with the quality control date. All worksheets and paperwork associated with the quality control test will be maintained in a ring binder or properly labeled file.

NOTE: This quality control test can be done in conjunction with the quality control testing of the PCR based kits.

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4 VALIDATION OF PCR-BASED ANALYTICAL PROCEDURES

The validation of new DNA technologies/methodologies utilized by the Section is addressed in this section. In addition, a summary of each validation study is maintained with the data. The summary and data are maintained by the Biology Program Manager as directed by the Department Quality Manual, Technical Procedures and Manuals. Summaries of applicable validation data are also available at each regional laboratory.

4.1 Developmental Validation

During the development of a DNA procedure and prior to the adoption of the procedure by the DNA laboratory, validation studies must have been conducted by the scientific community. These validation studies form the basis for evaluating the validity, accuracy, precision and reproducibility of a particular DNA analytical procedure. The developmental validation and scientific literature should include the following where applicable:

- Characterization of the genetic marker
- Species specificity
- Sensitivity studies
- Stability studies
- Reproducibility
- Case type samples
- Population studies
- Mixture studies
- Precision and accuracy studies
- PCR based studies
 - PCR based studies include differential and preferential amplification, effects of multiplexing, assessment of appropriate controls and product detection studies.
- Peer reviewed publication of the underlying principles of a technology

4.2 Internal Validation of Established Procedures

Prior to implementing a new DNA procedure, or an existing DNA procedure developed by another laboratory that meets the developmental criteria, the Section will validate the new PCR-based procedure internally to demonstrate the reliability of the procedure. This same prerequisite applies to any existing procedure to which significant modifications have been made. This validation forms the basis for assessing the specificity, reproducibility, and limitations of the particular PCR-based procedure. Prior to implementation the technical leader shall approve the internal validation studies. The internal validation shall include as appropriate the following:

- Known and non-probative evidence samples or mock evidence samples
- Reproducibility and precision studies
- Sensitivity and stochastic studies
- Mixture studies
- Contamination assessment

Regional labs may rely on internal validation conducted at another DFS lab but will need to complete the following validation studies:

- Precision
- Sensitivity
- Contamination assessment

Internal validation shall define quality assurance parameters and interpretation guidelines.

Before the PCR-based procedure is used by a casework examiner and/or Data Bank analyst, he/she will successfully complete a qualifying test.

A performance check shall be required if modifications are made to an instrument/software or if an additional critical instrument is received prior to implementation.

Significant software or instrument changes that may impact interpretation or the analytical process will require validation prior to implementation.

If a significant modification has been made to an analytical procedure, the modified procedure must be compared to the original using similar types of samples.

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5 INTERNAL CONTROLS AND STANDARDS – POLYMERASE CHAIN REACTION (PCR) PROCEDURES

Analysis of evidence samples will be conducted to provide the maximum information with the least consumption of the sample. This requires the use of critical judgment and the use of standards and controls. At each step of the testing procedure standards and controls must be used to evaluate the effectiveness of the testing process and to assure that the procedure is being properly performed. Refer to the Procedures Manual for the interpretation guidelines of the following controls.

5.1 Reagent Blanks

The reagent blank is a check for possible contamination of the reagents by human DNA. Testing of the reagent blank is performed by carrying out the DNA extraction in a tube containing no DNA, just reagents. This blank extract is then amplified and analyzed. Reagent blanks should produce no results.

The reagent blank is extracted and amplified concurrently with each extraction set; therefore, there will be at least one reagent blank for each type of extraction performed, including at least one for each fraction of a differential when performed. For any cases in which more than 50% of an evidentiary stain has been consumed, a devoted reagent blank (case reagent blank) will be processed with the respective case samples and dried and returned with the evidence extracts.

The reagent blank is extracted, amplified and typed with the same instrument model and the most sensitive volume and injection conditions as the extraction set. If multiple tubes are required to extract a stain, as detailed in the FB PM, Extraction of DNA, multiple tubes of reagent blank will be created that mimic the process through which the evidence is extracted.

5.2 Random Sample (Used During Analysis of Convicted Offender and Arrestee Samples)

A random sample will be run with each set of convicted offender and arrestee samples to serve as a verification that the samples are successfully being entered into the Combined DNA Index System (CODIS) and the search algorithm is working properly. The random sample is a previously analyzed convicted offender sample for which the identity of the sample is known to the State CODIS Administrator or designee. This sample serves as an internal laboratory control must be verified prior to the sizing data being considered acceptable. If a sample must be re-analyzed, a new random sample must be analyzed along with the sample.

5.3 Procedures for Estimating DNA Recovery

A procedure must be used for estimating the quantity of human DNA recovered from the evidence sample.

Refer to the Forensic Biology Procedures Manual, Quantitation for this procedure.

5.4 Negative Amplification Control (Negative Control)

The negative amplification control is a check of the PCR amplification reagents for contamination or for contamination that may have occurred during the set up of the PCR reaction. It is subjected to the most sensitive conditions of the sample set.

The negative amplification control is amplified concurrently with the sample set and typed with the same instrument model and the most sensitive volume and injection conditions as the sample set.

5.5 Positive Amplification Control (Positive Control)

The positive control is DNA of a known profile and is used to monitor the reagents used during the PCR reaction and the accuracy of the thermal cyclers.

6 DEDICATED WORK AREAS

To minimize the potential for carry-over contamination, the laboratory is organized so that the area in which amplified DNA is handled is physically isolated in a separate room from the work areas for DNA extraction and PCR setup. The laboratory has designated work areas for evidence handling, DNA extraction, and PCR setup. (These areas may be in the same room, but must be clearly delineated). Another area is reserved strictly for PCR amplification and typing, of casework samples and other activities that require handling of amplified DNA.

All functions performed during the processing and analysis of Data Bank samples are conducted in areas totally separate from the analysis of evidence samples. The Data Bank work areas, as defined below, are separate from the casework work areas. In addition, separate refrigerators/freezers from those used by the casework examiners will be used for storage of reagents and samples used by the Data Bank.

If contamination is identified which is not isolated to a single case and could adversely affect all of the DNA analyses conducted in the section, a supervisor will be notified immediately. Subsequently, the supervisor will notify the Biology Program Manager (Technical Leader) or Assistant Technical Leader of the contamination so that assistance can be provided to correct the problem and to ensure that the incident is properly documented. Depending on the level of contamination and severity, if necessary, the Section in the affected laboratory will be shut down until the problem can be corrected. In order to prevent compromising evidence samples, if the Biology Program Manager (Technical Leader) or Assistant Technical Leader is not available and therefore the problem cannot be discussed, if the level of contamination is wide spread, the supervisor has the discretion to shut down the Section to correct the problem once he/she has notified the Laboratory Director.

6.1 DNA Extraction Work Area

This work area is used for evidence handling and for extraction and isolation of DNA. Microscopy, photography, and any other activities that involve the handling of evidence samples before amplification may also be performed in this work area.

If DNA extraction is performed robotically, refer to the Forensic Biology Procedures Manual, Biomek® NX^P Automation Workstation.

Equipment and supplies used in the DNA extraction work area may be exposed to relatively high concentrations of human genomic DNA. Therefore the dedicated equipment and supplies for this area should not be used in any other area except the DNA extraction work area.

6.2 PCR Setup Work Area

This work area is used for adding sample DNA to the PCR Reaction Mix.

If the PCR setup is performed robotically, refer to the appropriate Forensic Biology Procedures Manual.

To prevent transfer of exogenous human DNA into the PCR setup area, dedicated equipment and supplies used for PCR setup should not be taken out of the PCR setup work area.

6.3 Amplified DNA Work Area

This work area is a physically separate area used only for those activities that involve the handling of amplified DNA. This includes real-time qPCR quantitation and capillary electrophoresis of amplified DNA, waste disposal of amplified DNA solutions, and storage of amplified DNA.

Amplified DNA will be stored in a designated refrigerator or freezer in a separate box from the reagents used during the typing set up.

Amplified DNA or the dedicated equipment and supplies used to handle amplified DNA will not be removed from the amplified DNA work area. Exceptions for equipment needing service or calibration (pipettes, etc.) will be made only after a thorough cleaning/decontamination of the equipment.

Amplified DNA is handled carefully to reduce the possibility of dispersal. Gloves are always removed prior to leaving this area. A dedicated lab coat is worn whenever working with amplified DNA and removed prior to leaving this area.

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APPENDIX A – AUTOCLAVE QUALITY CONTROL

Due to the sensitive nature of DNA analysis, especially PCR applications, it is necessary to ensure adequate sterilization of glassware and solutions. Evaluation of the efficiency of sterilization is best accomplished by the utilization of a biological indicator. The spores of the thermophile *Bacillus Stearotherophilus ATCC 7953* grow during incubation at 56-60°C, but are inactivated if exposed to temperatures above 125°C. Acid production during the growth of the bacteria will cause a colorimetric change in the indicator solution from purple to yellow. It is necessary to use a positive control to show growth of the bacteria during normal incubation without inactivation by sterilization. The Barnstead/Thermolyne Ampules are to be stored at 15° to 30°C prior to use.

Precaution: The ampules contain live cultures. Handle with care to prevent breakage. Do not store in refrigerator with other biologicals. Ampules may not be used after expiration date. Use each ampule once and destroy by autoclaving or incineration after testing.

Biological Indicators for Steam Sterilization

Procedure:

- 1 Label ampule(s) “Test” and “Control”.
- 2 Carefully place one unopened purple ampule (Test) into the center of the autoclave.
- 3 Proceed with sterilization as indicated by the manufacturer for a liquid solution or empty glassware.
- 4 After the cycle has ended, allow the ampule to cool for 10 to 30 minutes until it is cool enough to handle. To activate the media, place the ampule in an upright position in a plastic crusher. Gently squeeze the crusher to break the glass ampule.
- 5 Break both the “Test” and “Control” ampules. Place "Test" and "Control" ampules into a 56-60°C incubator or oven.
- 6 Observe ampules at 24 and 48 hours for color change from purple to yellow.
 - 6.1 The "Control" ampule should change after approximately 24 hours of incubation. If the "Test" ampule changes within the 48 hour maximum, the sterilization cycle fails to meet the proper standard.
 - 6.2 The sterilization cycle passes the test if the "Test" ampule does not turn yellow within the 48 hour incubation period but the "Control" ampule changes color.
- 7 Repeat test with new ampules if the "Control" does not change color from purple to yellow.
- 8 Record the results of the test. If the test fails, remove the autoclave from service and contact an authorized vendor to service the autoclave.

APPENDIX B – CALIBRATION OF THE BIOMEK®NX^P AUTOMATION WORKSTATION

Calibration tests should be performed on a routine basis for the Biomek®NX^P Automation Workstation. Home All Axes should be performed each day prior to use or whenever the robot has been turned off. The deck, including the STB1 ALP, should be framed once every three months or when needed. The deck framing provides coordinates to the software for each of the deck positions. The Accuframe tool is used to help perform this function.

1 Homing All Axes

- 1.1 If the robot was turned off and then turned on and a Home All Axes function is not performed, the software will prompt the user that it needs to be performed and will not allow the user to initiate a method.
- 1.2 Section 4.4 of the Extraction of DNA procedures manual provides the procedure for Homing All Axes.

2 Framing the Deck

- 2.1 The deck should be framed once every three months or whenever needed.
- 2.2 Using the Instrument drop-down window, shown in Figure 1, select the Deck Editor.

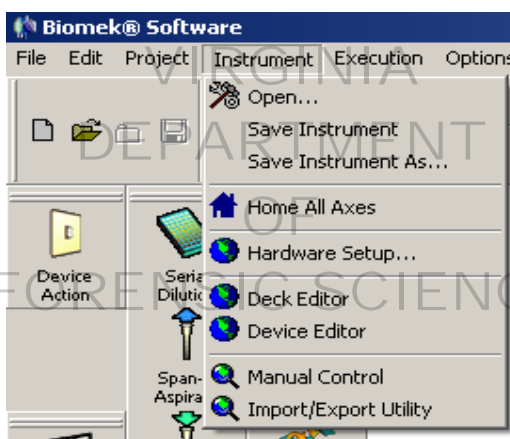


Figure 1. Selecting the Deck Editor from the Instrument drop-down window.

- 2.3 The Deck Editor window will open up showing deck all of the deck positions (Figure 2). Positions 1-12 will be framed for the 4X3 ALP in the center of the deck.

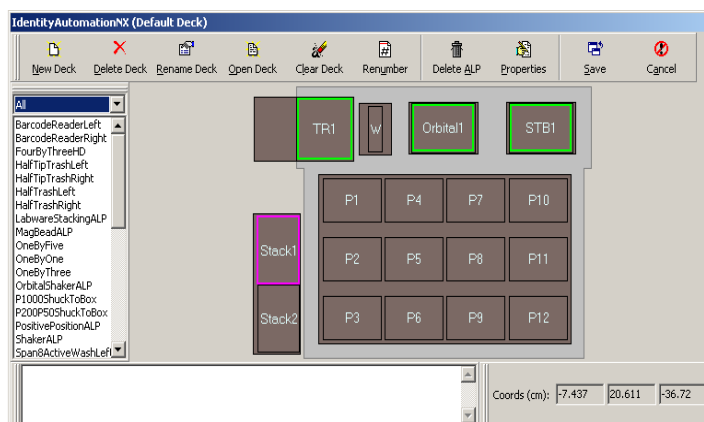


Figure 2. Deck positions.

- 2.4 Double-click on position P3 and the framing window will open (Figure 3). Depending on the position selected (e.g., P3 versus P10), the Auto Teach button will indicate which probe is to be used. The probe numbers begin at #1 in the back and end at #8 in the front-most position.

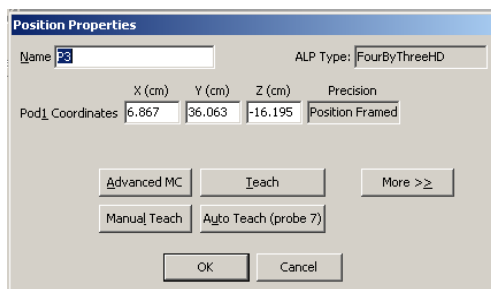


Figure 3. Position properties for framing.

- 2.5 To prepare the probe for framing, unscrew the black mandrel surrounding the #7 probe (2nd probe from the front) and remove it. Next unscrew the silver probe, disconnect it from the system fluid tubing and remove it. Push the tubing up so that it is flush with end of the piece from which it protrudes. Next screw on the silver framing piece. It is asymmetrical, so it will only screw on in one orientation.
- 2.6 Place the framing tool into the ALP position (#3), making sure that the Beckman Coulter and Accuframe logos are facing the front and the framing device is sitting flush in the ALP position.
- 2.7 Click on the Auto Teach button (shown in Figure 3).

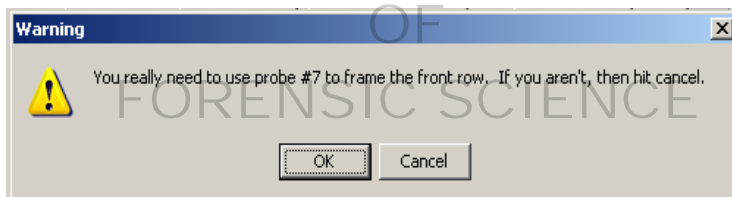


Figure 4. Warning about the proper probe to use.

- 2.8 A window will pop up warning the user to use probe #7 for the deck framing at this position (Figure 4). After checking that probe #7 is being used, click OK.
- 2.9 Another warning will pop up, shown in Figure 5. After confirming that the distance moved will be tolerated, click OK and the framing will be performed.

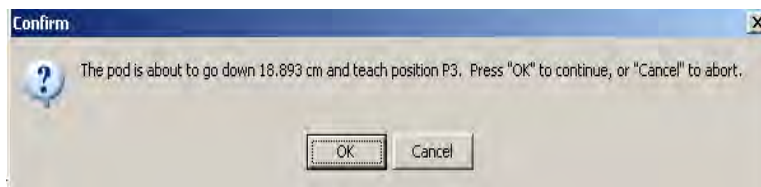


Figure 5. Confirm that the pod can move down in order to reach position P3.

- 2.10 After the framing is performed, another window will open up which provides the measured coordinates for the new framing as compared to the current coordinates (an example is shown in Figure 6).

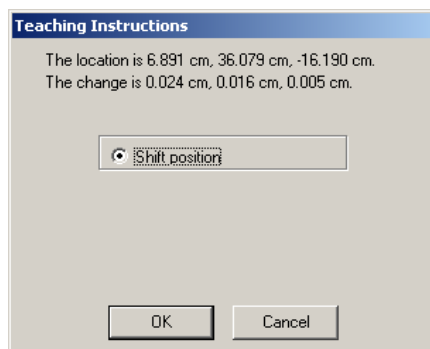


Figure 6. New framing coordinates.

- 2.11 Framing coordinates are listed in the x, y and z-axes. **Cancel the changes unless one of the axes has a change greater than 0.025 cm.** If one of the coordinates displays a change greater than 0.025 cm, click OK.
- 2.12 Move the framing tool to the P12 position and repeat the process.
- 2.13 For framing P10, the Orbital Shaker and the STB1, a different probe will be used. Remove the silver framing tool from the #7 probe position. Push the tubing back down so it protrudes and feed it onto the silver probe. Screw the probe into place and then screw the black mandrel back into position covering the probe. Remove the black mandrel from probe #1. Remove the silver probe and push the tubing back into the opening from which it protrudes. Screw the framing tool into the probe #1 position.
- 2.14 Repeat the process for framing but select the P10 position. Remove any device or piece of labware that might be placed into that ALP position prior to framing it. The window shown in Figure 7 will pop up. The Auto Teach button will now indicate that probe #1 should be used.

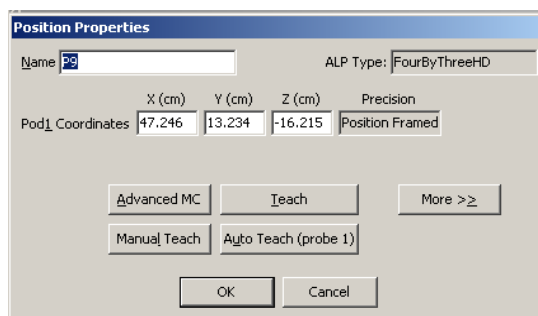


Figure 7. Position properties for framing.

- 2.15 Click on the Auto Teach button and follow the prompts as done previously for P3 and P12.
- 2.16 Click on Start. As directed in step 2.11 and in Figure 6, if the resulting values after framing are equal to or less than 0.025 at the x, y and z coordinates, then click Cancel. If one is greater than 0.025, then click OK.
- 2.17 Repeat the process for the STB1, going back to the deck screen shown in Figure 2 in order to double click on the STB1 ALP position.

- 2.18 Go through all of the same steps to frame the STB1 position. When the new coordinates have been measured, a window will pop up with the new coordinates, as shown in Figure 8.

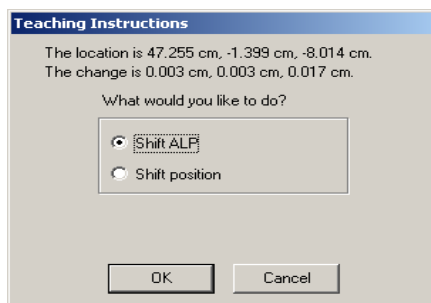


Figure 8. New framing coordinate for the STB1.

- 2.19 Again, unless the new coordinates are greater than 0.025 cm, then click cancel. If greater than 0.025, then either the Shift ALP or the Shift position can be checked before clicking OK.
- 2.20 Once the user returns to the deck layout, shown in Figures 2 and 9, the user will need to exit this prior to framing the orbital shaker. If any changes were made to the P1-12 or STB1 coordinates, then the user will need to click on the Save button otherwise the changes will not be saved. If no changes adopted for those deck positions, then click Cancel.

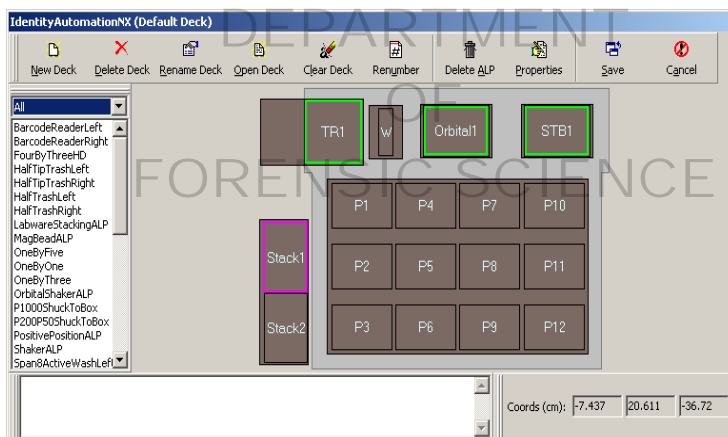


Figure 9. Deck layout.

- 2.21 The Orbital Shaker ALP should only be framed on an as needed basis (for e.g., if the Gripper is having trouble moving plates into it and this can't be remedied by adjusting the offsets). Move the Accuframe framing device to the Orbital Shaker ALP.
- 2.22 Under the Instrument drop-down window, select Deck Editor.
- 2.23 Double click on the Orbital Shaker ALP and follow the prompts as done previously for the other positions.

- 2.24 Frame the Orbital Shaker ALP. Once the window appears which provides the new coordinates, an example of which is shown in Figure 10, decide whether or not the new coordinates should be adopted. In the example shown in Figure 10, the y-coordinate is greater than 0.025 cm which would normally merit accepting the new coordinates, however, the y-axis coordinate was manually adjusted instead of adjusting an offset in order to accommodate plate movement onto the Orbital Shaker. Before accepting new coordinates for the Orbital Shaker, be certain that no manual adjustments to the framing coordinates were made.

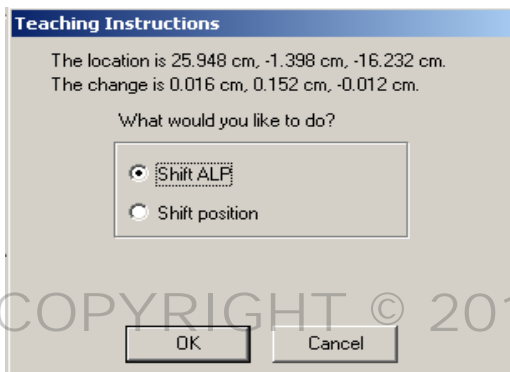


Figure 10. New coordinates for the Orbital Shaker ALP.

- 2.25 Click either OK to accept the new coordinates or Cancel. If new coordinates were accepted, then be certain to click Save when exiting the Deck Editor or the changes will be lost.

NOTE: A test of plate movement and pipettor function must be performed if the Orbital Shaker is framed and changes to any of the axes are retained. Adjustments to the x, y or z offsets for a specific piece of labware may need to be made in order to move the plate properly and to pipette from the plate when sitting on the Orbital Shaker.

Remove the silver framing tool from the probe #1 position, push the tubing back out, re-thread the silver probe #1 into the tubing and screw back into place. Follow that by screwing the mandrel back onto the probe.

APPENDIX C – CENTRIFUGE SPEED CHECK BY TACHOMETER

- 1 Upon receipt the calibration of each centrifuge will be checked by verifying the speed of the rotor. Once a year thereafter or following adjustments or repairs, the speed of the rotor will be checked.
- 2 The speed or number of rotations per minute (RPM) will be checked using a photoelectric tachometer. Use a high contrast label to mark a visibly accessible spot on the rotor. Follow the manufacturer's instructions provided with the tachometer to take the RPM readings. The speed of the centrifuge will be measured with the rotor installed and the cover closed. If the rotor speed is found to vary more than ± 1000 RPMs from the set speed of 10,000 RPMs, an authorized vendor will be called to recalibrate the speed of the centrifuge.

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APPENDIX D – CARE AND MAINTENANCE OF PIPETTES

1 Cleaning and Checking the Sealing System

Remove the tip ejector arm by pulling downward. Unscrew the shaft coupling slowly while holding the body and shaft firmly. The internal piston is spring loaded and will release when disengaged. Remove the white shaft from the piston assembly.

- 1.1 Shaft: Inspect the tip sealing end of the shaft for scratches, wear marks and splits.
- 1.2 Piston: Expose the piston surface. If the stainless steel surface is highly polished, the piston is in good condition and is not damaged. If the piston is highly stained or dirty, clean with isopropyl alcohol and a Kimwipe. Allow to air dry before reassembly. If the piston surface is scratched, heavily stained, corroded, or bent, the piston must be replaced.
- 1.3 Polyethylene Seal: Slide the white polyethylene seal up and down the piston. If the seal has resistance throughout the full length of the piston, it remains in good condition. If the resistance is spotty or non-existent, replace the seal. Seal replacement will not affect the pipette calibration.

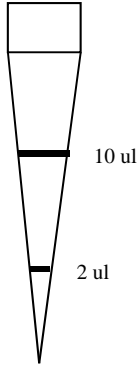
2 Routine In-House Verification of the Pipette Calibration

Once the pipette has been reassembled after cleaning, conduct a quick calibration check using graduated Rainin Pipette RT tips. Verify the pipetting volumes of the pipette as specified in the Pipette Verification Table below. The pipette tips are guaranteed to be accurate $\pm 3\%$ at the specified reference lines. Should the pipette be visibly incorrect according to the reference line, the pipette will be sent to the manufacturer for repair.

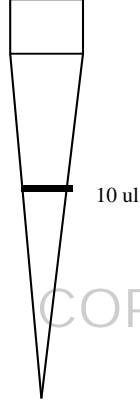
Pipette Verification Table

Pipette	Tip RT-10F		Tip RT-10F	Tip RT-20F	Tip RT-200F			Tip RT-200		
	2 μ L	10 μ L								
P-10	2 μ L	10 μ L								
P-20			2 μ L	10 μ L						
P-100					50 μ L	100 μ L				
P-200					50 μ L	100 μ L	200 μ L			
P-1000								100 μ L	500 μ L	1000 μ L

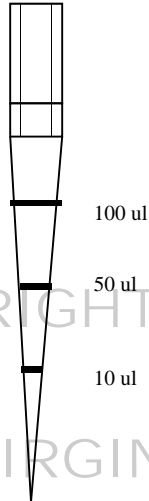
RT-10F
GP-10F



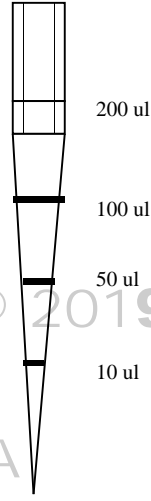
RT-20F
GP-20F



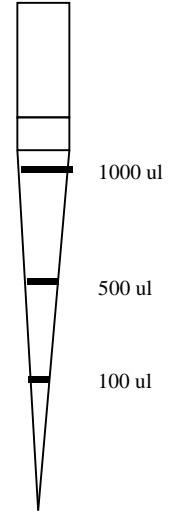
RT-100F
GP-100F



RT-200F
GP-200F



RT-200



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APPENDIX E – PERFORMING THE STRATAGENE MX3005P™ INSTRUMENT QUALIFICATION TEST

1 Technical Notes

- 1.1 These instructions are adapted from that provided by the manufacturer in the Setup and User's Guide to the Stratagene Mx3005P™ QPCR System.
- 1.2 This test is a quality assurance measure to verify that the performance of the instrument is within factory specifications. The run takes approximately 2.5 hours to complete.
- 1.3 This test uses a preconfigured plate setup and thermal profile setup. No additional software setup steps are required. Do not modify the qualification test experiment or analyze data during the Qualification Test run.
- 1.4 Always wear gloves when handling the Qualification test plate, so as to ensure that no fingertip oils or other debris is transferred to the optical seal.

2 Procedure for Performing the Stratagene Mx3005P™ Instrument Qualification Test

- 2.1 The qualification test plate can be obtained from Stratagene.
- 2.2 Prepare the qualification test plate just prior to starting the run. Thaw the plate at room temperature for 15-30 minutes, leaving the plate sealed in the foil wrapper while thawing.
- 2.3 After thawing, remove the foil wrapper and mix the contents of the wells by repeating this action five times:
 - 2.3.1 Invert the plate. Use a sharp, swift, downward motion to move the liquid to the seal on top of each well. Observe the liquid to verify that the liquid has moved from the bottoms to the tops of the tubes.
 - 2.3.2 Re-invert the plate, and use the same motion to return the liquid to the bottom of each well, again verifying liquid movement before proceeding.
- 2.4 After completing five mixing cycles, the liquid should be at the bottom of the wells. Briefly centrifuge the plate at 1000 rpm, if a plate centrifuge is available, to dislodge any bubbles and ensure all liquid is at the bottom of the wells. If no centrifuge is available, shake the liquid down to the bottom of the wells using the same motion described above. It is important to shake down any noticeable liquid on the tube seal. Small amounts of liquid spray retained on the tube sides should not affect test results.
- 2.5 Prior to loading the plate into the thermal cycler, ensure that no bubbles are present at the bottoms of the wells. Small bubbles near the liquid meniscus should not affect the test results, although bubbles at the bottom of the wells will interfere with the fluorescence readings.
- 2.6 Turn on the instrument and computer. Double click on the icon "Mx3005P Qualification Test" on the desktop of the computer controlling the Stratagene Mx3005P™ OR click the Instrument header, then Qualification Test within the MxPro software. Click "Next" (located in the bottom right corner of screen).

NOTES: When the MxPro software is started, if the "New Options" pop-up window appears, select Cancel.

Prior to starting the Qualification Test, select Filter Set Gain Settings under the instrument header and change the FAM setting to x8. Be sure to change this setting back to x2 when the Qualification Test run is complete.

- 2.7 Verify that the black “Perfect Fit” frame shipped with the instrument has been removed from the thermal block area. Load the plate in the thermal block, verifying the correct orientation (well A1 in the top, left corner).

NOTE: This opens much like a waffle iron – you should slide the black bar toward you and lift up. The plate should fit inside. The black top can then be placed over top of the plate and closed and latched to secure the plate.

- 2.8 Close the instrument door and click Start Run (located in the bottom right corner of the screen).
- 2.9 If the pre-run lamp warm-up dialog box appears, select Run Now. The system will begin the Instrument Qualification Test run.

NOTE: Do not open the instrument door during the run.

- 2.10 When the run is complete, the Instrument Qualification Test – Run complete dialog box will appear. Select Analyze. The software will open the Microsoft Excel software Instrument Qualification Validation template and will automatically export the Text Report data from the Instrument Qualification Test run into the Microsoft Excel software template, which has been preconfigured for data analysis.

NOTE: If a “Server Busy” error dialog box appears, click Retry until the data export succeeds.

- 2.10.1 If any Norton anti-virus dialog boxes appear, select “Notify Again in 1 Day”, if this option is available, and close the dialog box.
- 2.11 The Microsoft Excel software Validation template will open to the FAM analysis tab. First, verify that the data count cell reports the result “Good”, ensuring that all of the data has been correctly imported into Microsoft Excel. Next, verify that the Result cell reports a Pass result. A Pass result indicated that the instrument is working properly. In this case, it is not necessary to email the data to Stratagene Technical Services. If the test reports a Check result, it is important to call Stratagene Technical Services (1-800-894-1304) and send the three data files, including Customer Information.txt, into Stratagene technical Services by email for troubleshooting guidance.
- 2.12 After checking the results displayed on the Microsoft Excel software Validation template, go back into the MxPro software.
- 2.13 For a test report Check result only, the “Instrument Qualification Test – Email Experiment” dialog box will appear and present the option to automatically email the data or save the data to a disk to later email to Stratagene Technical Services (QPCR@stratagene.com). Include a contact name, Virginia Department of Forensic Science, and the instrument serial number when sending the data to Technical services.
- 2.14 The “Instrument Qualification Test – Complete” dialog box appears, indicating that the Instrument Qualification Test is complete. Click Finish to conclude the test.
- 2.15 Record the results of the test in the appropriate QC log book.

APPENDIX F – THERMOMETER TEMPERATURE CALIBRATION

Thermometers (excluding thermometers used to verify refrigerator and freezer temperatures) will be verified upon receipt for accuracy at the temperature of intended use. If available, a thermometer certified by the National Institute of Standards and Technology (NIST) should be used for comparison. However, a thermometer that is traceable to a NIST thermometer may also be used.

- 1 Tag each thermometer with an identifying number.
- 2 Place all of the thermometers in a vessel containing water at a temperature approximately 4°C below the temperature of intended use.
- 3 Record the temperature shown on each thermometer.
- 4 Next warm water to approximately 4°C above the temperature of intended use.
- 5 Place thermometers into the warmed water and record the temperature of each thermometer.
- 6 All thermometers should be within $\pm 1^\circ\text{C}$ of the NIST thermometer or a thermometer traceable to a NIST thermometer. Any thermometer that varies more than $\pm 1^\circ\text{C}$ in the range of intended use will not be used.

NOTE: If a thermometer is not acceptable at a specified temperature (e.g., 37°C, 56°C, or 95°C) this does not preclude the thermometer from being used at another temperature providing it has passed the quality control test.

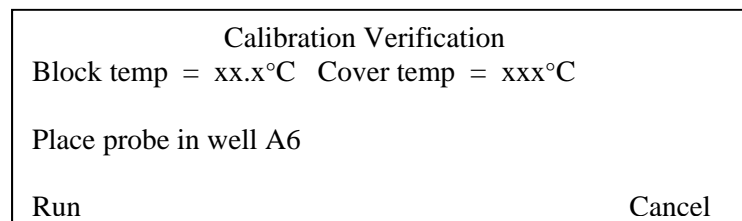
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APPENDIX G – THERMAL CYCLER 9700 TEMPERATURE CALIBRATION, TEMPERATURE NON-UNIFORMITY, AND SYSTEM PERFORMANCE DIAGNOSTIC TESTS

1 DNA Thermal Cycler 9700 Temperature Calibration Verification Test

1.1 Verifying the Temperature Calibration

- 1.1.1 If the sample block heated cover is in the forward position, lift the lever, then slide the heated cover back.
- 1.1.2 Place the 9700 Temperature Verification Frame on the sample block.
- 1.1.3 Coat well A6 with mineral oil using a cotton swab.
- 1.1.4 Place the 0.2 mL probe assembly into well A6. Carefully thread the probe wire through the channel in the 9700 temperature verification frame to prevent damage to the probe and lead wires.
- 1.1.5 Make sure the probe is connected to the digital thermometer and is seated properly. Close the cover carefully by sliding the heated cover forward, and pulling the lever down.
- 1.1.6 Turn on the digital thermometer and follow the instructions in the Temperature Verification Kit on how to operate the digital thermometer, Model 4500.
- 1.1.7 Turn on the GeneAmp PCR System 9700. The main menu appears.
 - 1.1.7.1 Select Utilities (F4)
 - 1.1.7.2 Select Diagnostics (F1)
 - 1.1.7.3 Select TmpVer (F3)
- 1.1.8 The Temperature Verification screen appears, select Temp (F1). This automatically configures the system 9700 for the Calibration Verification Test. The following screen appears:



F1 F2 F3 F4 F5

- 1.1.9 Use the digital thermometer to take temperature readings of the sample well connected to the 0.2 mL Probe Assembly. You will take a reading at two different setpoint temperatures.

- 1.1.10 Select Run (F1) to start the Calibration Verification Test. The following screen appears with the setpoint values displayed.

Calibration Verification	
Block temp = xx.x°C	Cover temp = xxx°C
Setpoint is 85°C	
Cover must be within 10°C of 85°C	
Cancel	

F1 F2 F3 F4 F5

The cover must be within 1°C of 105°C. It may take several minutes for the system to ramp up.

- 1.1.11 The Calibration Verification screen counts down the time until the setpoint is reached. When the “Stabilization at setpoint” value decrements to zero, read the digital thermometer.

- 1.1.12 Using the numeric keys, type the value displayed on the digital thermometer in the “Enter actual block temperature” field displayed on the screen.

The digital thermometer displays a four-digit value; round this off to three digits before typing it in the Calibration Verification screen.

- 1.1.13 Press Enter on the keypad. The system automatically begins the second reading (45°C setpoint). The Calibration Verification screen appears with the setpoint value displayed.

Calibration Verification	
Block temp = xx.x°C	Cover temp = xxx°C
Setpoint is 45°C	
Cover must be within 30°C of 45°C	
Cancel	

F1 F2 F3 F4 F5

The cover must be within 1°C of 105°C.

- 1.1.14 Repeat steps 1.1.11 and 1.1.12, then press Enter from the keypad.
- 1.1.15 The system 9700 evaluates the calibration of the sample block temperature for the setpoint values that were entered and displays the results. A summary screen appears at the conclusion of the test.

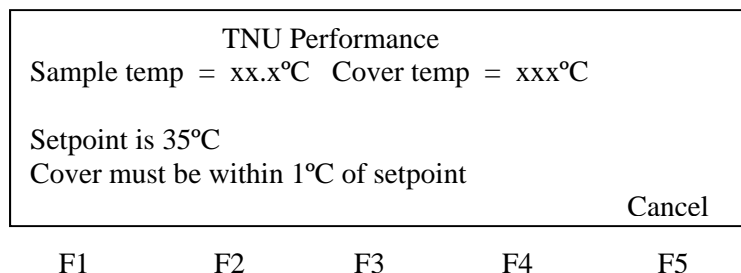
Calibration Verification	
Actual temperature at 85°C	xx.x°C
Actual temperature at 45°C	xx.x°C
Accept	Cancel

F1 F2 F3 F4 F5

- 1.1.16 Record the results on the Calibration Verification Test Data Sheet (Document 210-F601), then select Accept (F1).
- 1.1.17 If the sample block module is properly calibrated the Calibration Verification screen will display “Calibration is Good”
- 1.1.18 If the sample block module does not pass the Calibration Verification Test the screen will display “Instrument may require service. Contact Applied Biosystems Technical Support”.
 - 1.1.18.1 If the test fails, repeat the procedure to make sure the digital thermometer was not misread or that errors were not made entering data.
 - 1.1.18.2 If the test fails again, contact Applied Biosystems Technical Support.
- 1.1.19 End the test by selecting Exit (F5).

2 Temperature Non-Uniformity Test

- 2.1 Verify the temperature uniformity of the system 9700 with a 0.2 mL sample block module.
 - 2.1.1 If the sample block heated cover is in the forward position, lift the lever, then slide the heated cover back.
 - 2.1.2 Place the 9700 Temperature Verification Frame on the sample block.
 - 2.1.3 Coat wells A1, A12, C4, C9, F4, F9, H1, and H12 with mineral oil using a cotton swab.
 - 2.1.4 Place the 0.2mL probe assembly into well A1. Carefully thread the probe wire through the channel in the 9700 temperature verification frame to prevent damage to the probe and lead wires.
 - 2.1.5 Make sure the probe is connected to the digital thermometer and is seated properly. Close the cover carefully by sliding the heated cover forward, and pulling the lever down.
 - 2.1.6 Turn on the digital thermometer and follow the instructions in the Temperature Verification Kit on how to operate the digital thermometer, Model 4500.
 - 2.1.7 Turn on the GeneAmp PCR System 9700. The main menu appears:
 - 2.1.7.1 Select Utilities (F4)
 - 2.1.7.2 Select Diagnostics (F1)
 - 2.1.7.3 Select TmpVer (F3)
 - 2.1.8 The Temperature Verification screen appears, select TNU (F2). This automatically configures the system 9700 for the Temperature Non-Uniformity Test. The following screen appears:



It will take approximately 40 minutes for the cover temperature to reach the setpoint.

2.1.9 When the cover setpoint has been reached the following screen will appear:

TNU Performance				
Sample temp = xx.x°C Cover temp = xxx°C				
Place Probe in well A1				
Press Run				
Run				Cancel

F1 F2 F3 F4 F5

2.1.10 Press Run (F1) and the following screen appears with the setpoint value displayed.

TNU Performance				
Sample temp = xx.x°C Cover temp = xxx°C				
Setpoint is 37°C				
Sample must be within 1°C of setpoint				
				Cancel

F1 F2 F3 F4 F5

The sample block must be within 1.0°C of the setpoint and the cover must be within 1°C of 35°C. It may take a few minutes for the system to reach the setpoint temperature.

2.1.11 The TNU Performance screen counts down the time until the setpoint is stabilized. When the “Stabilization at setpoint” value decrements to zero, read the digital thermometer.

2.1.12 Using the numeric keys, type the value displayed on the digital thermometer in the “Enter actual block temperature” field displayed on the screen.

The digital thermometer displays a four-digit value; round this off to three digits before typing it in the Calibration Verification screen.

2.1.13 Press enter on the keypad. The TNU Performance screen appears with setpoint value displayed at 94°C. When the sample temp reaches 94°C the setpoint value changes to 37°C and the following screen appears.

TNU Performance				
Sample temp = xx.x°C Cover temp = xxx°C				
Place probe in well A12				
Press Run				
Run				Cancel

F1 F2 F3 F4 F5

During the 94°C setpoint test this will be reversed. The first setpoint value displayed is 37°C, when this sample temp setpoint is reached the setpoint value changes to 94°C and the TNU Performance screen appears.

- 2.1.14 Slide the heated cover back and place the probe in A12. Make sure the probe is seated properly. Close the cover carefully by sliding the heated cover forward, and pulling the lever down. Repeat steps 2.1.10 through 2.1.13. Complete the steps for all 8 wells: A1, A12, C4, C9, F4, F9, H1, and H12.
- 2.1.15 After reading the last well (H12) press Enter and the 9700 system will begin the second reading (94°C setpoint). The TNU Performance screen appears with the setpoint displayed at 94°C the cover temp will increase and must be within 1°C of 105°C. It may take a few minutes for the system to stabilize at the setpoint temperature.
- 2.1.16 When the system has stabilized the TNU Performance screen with the “place probe in well A1” prompt appears. Repeat steps 2.1.9 to 2.1.13.
- 2.1.17 After the last reading for setpoint 94°C is completed, the system 9700 evaluates the uniformity of the sample block temperature for the setpoint values that were entered and displays the results. A summary screen appears at the conclusion of the test.

Well	94°C	37°C	Well	94°C	37°C
A1	xx.x	xx.x	F4	xx.x	xx.x
A12	xx.x	xx.x	F9	xx.x	xx.x
C4	xx.x	xx.x	H1	xx.x	xx.x
C9	xx.x	xx.x	H12	xx.x	xx.x
Accept			More		Cancel

F1 F2 F3 F4 F5

- 2.1.18 Record the results on the Temperature Non-Uniformity Test Data Sheet (Document 210-F601), then select Accept (F1).
- 2.1.19 When the system completes the Temperature Non-uniformity test, the TNU Performance screen appears with either “Pass” or “Fail” after each setpoint.
 - 2.1.19.1 If the temperature of the sample block wells is uniform then the test has passed.
 - 2.1.19.2 If the temperature variation of the sample block wells exceeds performance expectations the test has failed.
 - 2.1.19.2.1 If the test fails, repeat the procedure to make sure the digital thermometer was not misread or that errors were not made entering data.
 - 2.1.19.2.2 If the test fails again, contact Applied Biosystems Technical Support.
- 2.1.20 End the test by selecting Cancel (F5).
- 2.1.21 If all measurements are completed, remove the probe and the Temperature Verification Frame from the sample block and turn off the digital thermometer.
- 2.1.22 Clean the wells of the sample block using cotton swabs.

3 System Performance Diagnostics: Rate Test and Cycle Test

3.1 Testing the integrity of the cooling and heating system

3.1.1 Before beginning the tests, an empty 96-well plate with full plate cover or caps must be in the sample block.

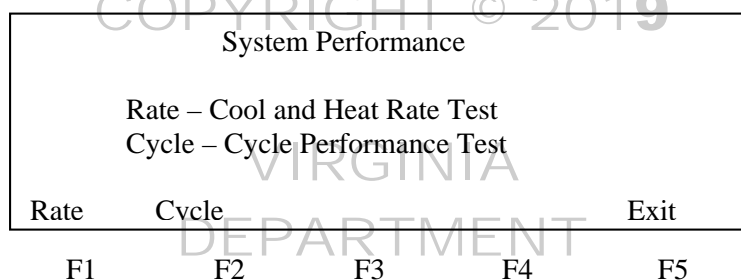
3.1.2 Turn on the GeneAmp PCR System 9700. The main menu appears.

3.1.2.1 Select Utilities (F4)

3.1.2.2 Select Diagnostics (F1)

3.1.2.3 Select System (F2)

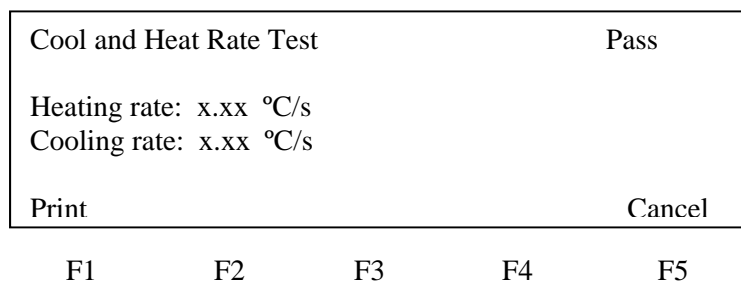
3.1.3 The System Performance Screen appears



3.1.4 Select Rate Test (F1) to verify that the Peltier units are operating correctly. The System Performance screen displays the following message: “WARNING!! Install the appropriate empty consumables into the sample block. Refer to System Performance Section of the Block User Manual.”

3.1.5 Select Cont. (F1) after the plate and cover has been installed and the Cool and Heat test screen appears.

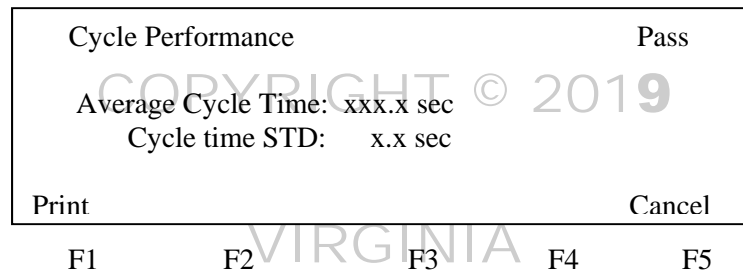
3.1.6 The instrument then runs through a series of tests where the sample block ramps to and stabilizes at 35°C, 94°C and 4°C, which is displayed on the screen. At the conclusion of the test, the Cool and Heat screen appears displaying the results and whether the test results passed or failed. Record this information in the Cool and Heat Rate Test area on the worksheet (Document 210-F601). If the test fails contact Applied Biosystems Technical Support.



3.1.7 The following table lists the passing ranges for the Rate test:

	Heating Rate	Cooling Rate
96-well	3.0 to 6.0 °C/second	3.0 to 6.0 °C/second

- 3.1.8 Return to the System Performance screen by selecting Cancel (F5) and select Cycle Test (F2) to verify that the PCR cycling function operates properly. The System Performance screen displays the following message: “WARNING!! Install the appropriate empty consumables into the sample block. Refer to System Performance Section of the Block User Manual.”
- 3.1.9 Select Cont. (F1) after the plate and cover has been installed.
- 3.1.10 The Cycle Test executes a standard PCR cycle reaction (6 cycles), measures, and reports the average cycle time, and the cycle to cycle variation. At the conclusion of the test, the Cycle Test screen will display the results and whether the test results passed or failed. Record this information in the Cycle Performance area on the worksheet (Document 210-F601). If the test fails contact Applied Biosystems Technical Support.



- 3.1.11 The following table lists the passing ranges for the Cycle Test.

Average Cycle Time \leq 160 sec
Cycle Time STD $<$ 5 sec

- 3.1.12 Select Cancel (F5) to exit the test.

APPENDIX H – MAINTENANCE OF THE CASEWORK 3130x/ GENETIC ANALYZERS

1 General Maintenance Schedule for the 3130x/

Table 1. Maintenance Tasks

Task	Frequency
Ensure adequate levels of buffer and water in reservoirs	Before each run
Ensure the level of buffer in the buffer jar reaches the red line. The overflow hole should not be occluded.	Before each run
Replace the water and 1X running buffer in the reservoirs and make sure the outside of the reservoirs are dry.	Every 48 hours or before each run, whichever comes last
Check for bubbles in the pump block, lower polymer block, interconnect tube, polymer supply tube, and channels. Remove all bubbles with the Bubble Remove wizard.	Before each run
Check the loading-end header to ensure the capillary tips are not crushed or damaged.	Before each run
Ensure that sufficient volume of polymer is present in the bottle for run.	Before each run
Ensure the pump block and lower polymer block are securely fit on the instrument.	Before each run or daily, whichever comes last
Clean the instrument surfaces.	As needed
Check for leaks around the array knob, interconnecting tube nuts, and check valve.	Before each run or as needed
Replace the polymer using the Replenish Polymer Wizard	Every two weeks or as needed.
Check the storage conditions of used arrays, if applicable.	Weekly
Restart the computer and instrument	Weekly
Run the Water wash wizard. Flush the array port during this wizard, whether or not bubbles are present in the array port.	Monthly or as needed
Flush the water trap.	Monthly or as needed
Defragment the PC's hard drive (only C and E).	Monthly or as needed
Clean the drip tray.	As needed
Change the array.	As needed
Remove any dried polymer from the capillary tips. Use a lint-free wipe moistened with deionized water.	As needed

2 Wizards

Wizards are automated instrument processes which allow the user to perform a variety of tasks. Each wizard has been designed with specific instructions to achieve the purpose of the wizard. The wizards are accessed by selecting the desired wizard from the “Wizards” menu and activated when the instrument name is selected in the tree pane. The wizards include:

- Install Array- used to install or replace capillary arrays
- Change Polymer Type- change to a different polymer type (ex., POP-4 to POP-6)
- Replenish Polymer – replace the polymer in the PDP with polymer with the same or different lot number.
- Bubble Remove – remove bubbles (>0.2mm) in the PDP chamber, channels, tubing, as well as the array port
- Water Wash – rinse the PDP chamber, lower polymer block, channels and tubing
- Instrument Shutdown – prepares the instrument for long term storage and removes the capillary array
- Autosampler Calibration – calibrates the positions on the Autosampler
- Update Cap Array Info – correct or update capillary array information

3 Replacing the Polymer using the Replenish Polymer Wizard

NOTE: Only use the replenish polymer wizard if the polymer type is not changing. If a different polymer type is desired, select the Change Polymer Type Wizard.

3.1 In the Data Collection Software select Wizards> Replenish Polymer Wizard

3.2 Follow the directions given in the wizard to load fresh polymer on the instrument.

3.3 Record the date, lot number, expiration date, and polymer type in the 3130x/ Instrument Log.

4 Flushing the Water Trap

4.1 The water trap in the polymer delivery pump creates a water barrier between the pump chamber seal and the actual pump. The water trap should be flushed with Type I H₂O on a monthly basis or as needed to wash out any polymer and to clear bubbles. The trap should be left filled with type I H₂O.

4.1.1 Fill a 20 mL luer lock syringe with type 1 H₂O. Remove any bubbles from the syringe.

4.1.2 Attach the syringe to the forward facing luer fitting at the top of the pump block, as shown in Figure 1. Hold the fitting with one hand while threading the syringe onto the fitting with the other hand.

4.1.3 Open the luer fitting by grasping the body of the fitting and turning it and the attached syringe approx. one-half turn counterclockwise.

4.1.4 Open the exit fitting at the top left side of the pump block by turning it approximately one-half turn counterclockwise.

4.1.5 Hold an empty beaker or tube under the exit fitting to catch approximately 5 mL of waste. Flush the trap by pushing steadily on the syringe plunger. Take approximately 30 seconds to flush 5 mL of type 1 H₂O through the trap.

- 4.1.6 Close the luer fitting then the exit fitting by turning each clockwise until the fittings seal against the block. Do not over-tighten the fittings.
- 4.1.7 Remove the syringe from the luer fitting. Hold the fitting with one hand while turning the syringes counterclockwise with the other hand.

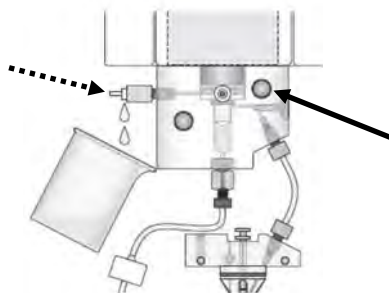


Figure 1. Diagram of the pump block for flushing the water trap. The solid arrow points to the luer fitting described in 4.1.2 above. The dashed arrow points to the exit fitting described in 4.1.4. *Figure reproduced from Applied Biosystems 3130/3130xl Genetic Analyzers (2004) Maintenance and Troubleshooting Guide.*

5 Rinsing and Filling Buffer and Water Reservoirs

- 5.1 Ensure the instrument doors are closed.
- 5.2 Press the TRAY button on the outside of the instrument to bring the autosampler to the forward position.
- 5.3 Wait until the autosampler has stopped moving and then open the instrument doors.
- 5.4 Remove the anode buffer reservoir by gently pulling down and twisting slightly.
- 5.5 Remove the cathode buffer reservoir and H₂O reservoirs.
- 5.6 Discard the solutions into the sink and rinse out the reservoirs with ddH₂O or Type 1 H₂O.
- 5.7 Dry with a lint-free wipe the cathode and anode reservoirs and then fill the reservoir to the fill line with 1X Genetic Analyzer buffer.
- 5.8 Fill the water reservoirs to the fill line with ddH₂O or Type 1 H₂O (approximately 17 mL).
- 5.9 Place a clean septa strip on each reservoir and dry the outside of the reservoirs using a lint-free wipe. Be sure that the septa are dry and fitted flush on the tops of the reservoirs in order to prevent damaging the capillary tips.
- 5.10 Place the reservoirs into position on the autosampler as shown in Figure 2.

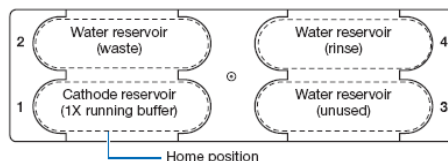


Figure 2. Position of water and buffer reservoirs on the 3130xl. *Figure reproduced from Applied Biosystems 3130/3130xl Genetic Analyzers (2004) Maintenance and Troubleshooting Guide.*

6 Changing the Capillary Array

- 6.1 The capillary array should last a minimum of 100 runs.
- 6.2 The capillary array may need to be replaced if poor sizing precision or allele calling results, or if poor resolution and/or decreased signal intensity is demonstrated.
- 6.3 Close the oven and instrument doors, and then press the “Tray” button.
- 6.4 In the Data Collection software, select Wizards>Install Array Wizard.
- 6.5 Open the instrument and oven doors
- 6.6 Follow the directions given in the wizard to install or replace an array.
- 6.7 Click Finish when done.
- 6.8 Close and lock the oven door.
- 6.9 Use the Update Capillary Array Info wizard (Wizard>Update Capillary Array Info) to identify the capillary array length and serial number information. The capillary serial number and date must also be added to the 3130xl instrument log.
- 6.10 A new spatial calibration must be completed. See 7 below for directions.

NOTE: If you have replaced the array with one of a different length, a new spectral calibration must be completed for the dye set and array length combination.

7 Performing a Spatial Calibration

- 7.1 A spatial calibration is used by the instrument to correlate the signal from each capillary with the signal detected by the CCD camera.
- 7.2 A spatial calibration must be performed when the capillary array is installed or replaced, any time the capillary array is removed from the detection block, and when the instrument is moved.
- 7.3 Creation of the spatial calibration file
 - 7.3.1 On the left side of the Data Collection Software, select GA Instruments>ga3130xl>3130xl>Spatial Run Scheduler, as shown in Figure 3.

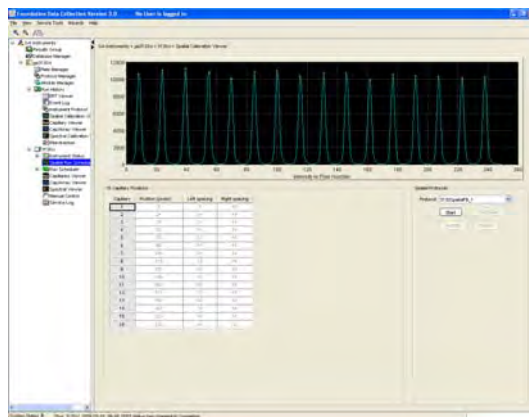


Figure 3. Spatial Run Scheduler

- 7.3.2 In the spatial protocols section on the right side of the screen, select either:
 - 7.3.2.1 Protocol>3130 SpatialFill_1, if the capillaries do not contain fresh polymer, or
 - 7.3.2.2 Protocol>3130 SpatialNoFill_1, if the capillaries do contain fresh polymer.
- 7.3.3 Click Start. The calibration run lasts approximately 2 min (6 min when filling the capillaries as well.)

7.4 Evaluation of the spatial calibration file

- 7.4.1 The spatial calibration profile should be evaluated according to:
 - Peak Height – Similar peak heights should be observed for all peaks.
 - Orange Crosses – One orange cross should mark the top of each peak.
 - Peak Shape – Each peak should be sharp. Small shoulders are acceptable.
 - Spacing – The difference between adjacent peaks should be approximately 15 pixels.
- 7.4.2 See Figure 4 for an example of an acceptable spatial calibration profile.

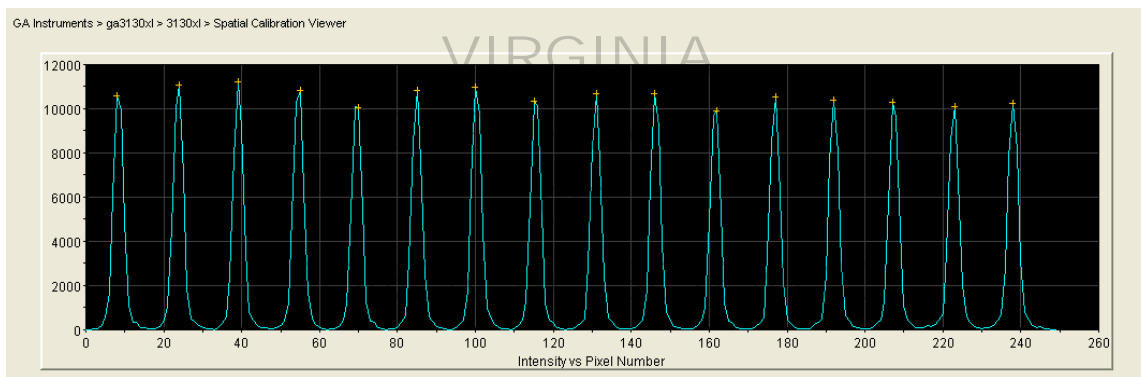


Figure 4. An example of an acceptable spatial calibration profile.

- 7.4.3 In the Capillary Positions table, ensure that the values in both the Left spacing and Right spacing columns range between 13 and 16 pixels.
 - 7.4.3.1 To move the cross, type in a new value in the Positions box for the capillary of interest and press Enter.
- 7.4.4 If the calibration passed, click Accept to write the calibration data to the database and the *.ini file. If the calibration failed, click Reject and repeat the spatial calibration.
 - 7.4.4.1 Poor spatial calibration is most often due to a dirty detection window or one or more broken capillaries. The capillary array detection cell should be removed from the instrument and the mirrored side cleaned with methanol (air dry) to clean the window. While the detection cell is off the instrument, ensure that the capillaries are not broken near the detection cell.

8 Performing a Spectral Calibration

- 8.1 The spectral calibration creates a matrix that is used during a run to reduce the raw (collected) data from the instrument to the 4-dye or 5-dye data stored in the sample files.
- 8.2 The spectral calibration is specific to each dye set.

8.3 The spectral calibration needs to be performed when using a new dye set on the instrument, when the capillary array length or polymer type is changed, after the laser or CCD camera have been serviced/replaced, or if you see extensive pull-up or pull-down peaks in the data.

NOTE: For each dye set, a spectral calibration for each capillary array length and polymer type combination must be created.

NOTE: A new spectral cannot be associated with previously-collected data. For example, if a new kit (with a new dye set) is used on the instrument, it is necessary to perform a spectral calibration before running the samples with that new kit.

8.4 For Fragment analysis, two common dye sets are:

- Dye Set F – used with PowerPlex® 16, AmpFlSTR® COfiler® Kit, AmpFlSTR® Profiler Plus® Kit, etc.
- Dye Set G5 – used with AmpFlSTR® Yfiler™ Kit, AmpFlSTR® Identifier® Kit, AmpFlSTR® Minifiler® Kit, etc.

8.5 For Dye Set F in conjunction with the PowerPlex® 16 kit, the Promega PowerPlex® Matrix 3100/3130 should be used. (For the AmpFlSTR® COfiler® Kit or AmpFlSTR® Profiler Plus® Kit, the DS-32 Matrix Standards should be used.)

8.6 For Dye Set G5, the DS-33 Matrix Standards should be used.

8.7 Preparing the matrix standard for PowerPlex® 16

8.7.1 Remove the matrix standards from the freezer for first use and thaw. After the first use, the components will be stored in the refrigerator, vortex 10-15 seconds to mix thoroughly, but do NOT centrifuge.

8.7.2 Add 10 µL of the 4C Matrix Mix to one tube of Matrix Dilution Buffer. Vortex 10-15 seconds. This diluted mixture may be stored refrigerated for up to one week. Add 10 µL of the diluted 4C Matrix Mix to 500 µL Hi-Di™ formamide.

8.7.3 Vortex the formamide/matrix standard mixture thoroughly for 10-15 seconds. Do not centrifuge the mixture.

8.8 Loading the matrix standard samples for PowerPlex® 16

8.8.1 Add 15 µL of the formamide/dye mix to each well of two columns of a 96-well plate.

8.8.2 Seal the plate by laying the septum flat on the plate.

8.8.3 Inspect the plate and septum to ensure that the septum fits snugly and flush on the plate.

8.8.4 Inspect the plate to ensure no bubbles are located at the bottom of a well. If so, either briefly centrifuge the plate or use a pipet tip to remove the bubbles.

8.8.5 DO NOT HEAT DENATURE!

8.8.6 Assemble the plate assembly by placing the sample plate into the black plate base. Snap the white plate retainer onto the plate and plate base. Note: Verify that the holes of the plate retainer and the septum are aligned. If not, reassemble the plate assembly.

8.9 Preparing the matrix standard for Yfiler™

8.9.1 Remove a tube of the matrix standard from the refrigerator, vortex to mix thoroughly and spin briefly in a microcentrifuge.

- 8.9.2 Follow the package insert for Hi-Di™ formamide and matrix standard ratios.
- 8.9.3 Vortex the formamide/matrix standard mixture thoroughly. Briefly centrifuge the mixture.
- 8.10 Loading the matrix standard samples for Yfiler™
 - 8.10.1 Add 10 µL of the formamide/dye mix to each well of two columns of a 96-well plate.
 - 8.10.2 Seal the plate by laying the septum flat on the plate.
 - 8.10.3 Inspect the plate and septum to ensure that the septum fits snugly and flush on the plate.
 - 8.10.4 Denature the samples at 95 °C for 3 minutes then immediately chill the plate in a freezer block for 3 minutes.
 - 8.10.5 Leave the plate in the freezer block until ready to prepare the plate assembly and place it on the autosampler.
 - 8.10.6 Inspect the plate to be sure there are no visible bubbles. If bubbles are present, either spin the plate briefly or remove the bubbles with a pipet tip.
 - 8.10.7 Assemble the plate assembly and place on the autosampler.
- 8.11 Creating a Spectral Instrument protocol
 - 8.11.1 Before creating the protocol, go into the Module Manager and select “New”. Select “Spectral” in the “Type” drop-down list and select “Spec36_POP4” in the “Template” drop-down list. Confirm or change the following settings:

Inj. kV:	3 (Yfiler™)	OR	2 (PP16)
Inj. Secs:	5 (Yfiler™)	OR	10 (PP16)
Data Delay Time:	1 (Yfiler)	OR	100 (PP16)
Run time:	2200 sec (Yfiler)	OR	800 sec (PP16)

- 8.11.2 On the left side of the Data Collection software window, choose GA Instruments>ga3130x>Protocol Manager to open the Protocol Manager, as shown in Figure 5.

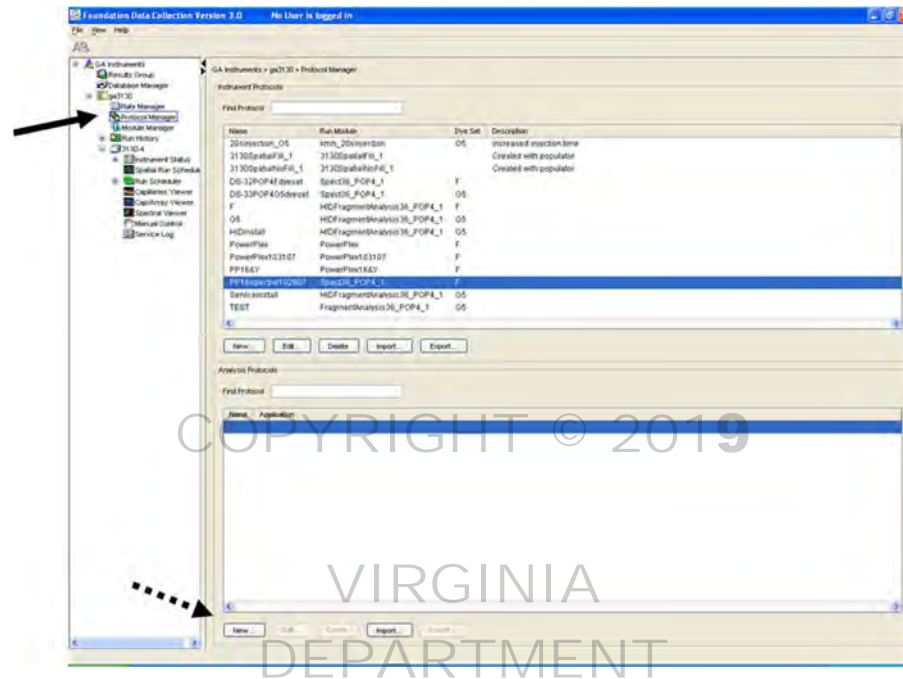


Figure 5. Creation of a protocol for a spectral calibration. The solid arrow points to the appropriate selection on the menu at the left side of the screen. The dashed arrow (near bottom) points to the “New” button for creating a new instrument protocol, as described in 8.9.2 below.

- 8.11.3 In the Instrument Protocols box, click “New...”, which opens the Protocol Editor dialog box.
- 8.11.4 Complete the Protocol editor dialog box:

- Type a name for the protocol, typically including “Spectral” and the dye set utilized in the title.
- Select Spectral in the Type drop-down list.
- Select the correct dye set (F for PP16, G5 for Yfiler) for your run.
- Select the polymer and array length from the drop-down lists
- Select your chemistry file (Matrix Standard or Sequencing Standard) in the Chemistry drop-down list.
- In the Run Module drop-down list, select the run module you created in step 8.9.1.
- These modules are named with the array length and polymer type in the title. For example, Spect36_POP4 is the name of the run module that should be used when the array length is 36 cm and the polymer type used is POP-4.
- Select “Edit Parameters”.
 - **For PP16:** Change the lower condition bound to 4.0 and change the upper condition bound to 12.0.
 - **For Yfiler™:** Change the lower condition bound to 7.0 and change the upper condition bound to 12.0.
- Select OK in the Edit Parameters window and select OK in the Protocol Manager.

8.12 Performing the Spectral Calibration Plate Record

8.12.1 On the left side of the Data Collection software window, choose GA Instruments>ga3130x/ 3130x/Plate Manager to open the Plate Manager, as shown in Figure 6.

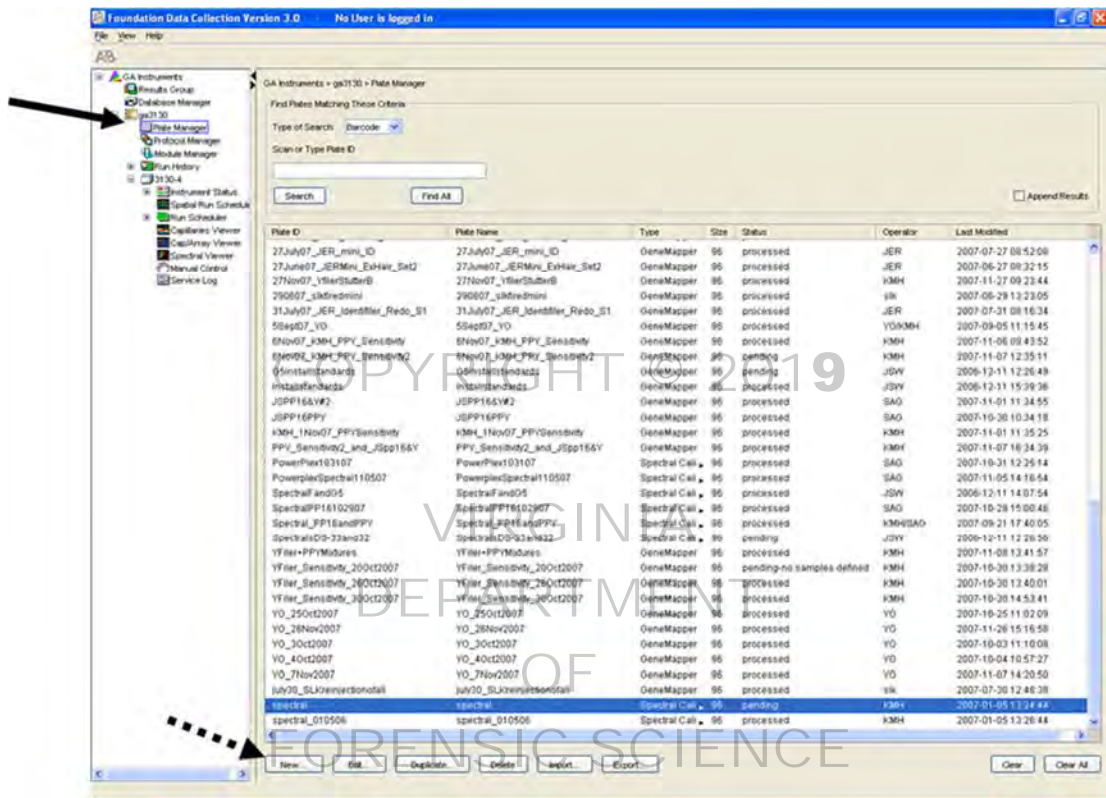


Figure 6. Plate Manager for creation of plate for spectral calibration. The solid arrow points to the appropriate selection on the menu at the left side of the screen. The dashed arrow (near bottom) points to the “New” button for creating a new plate record, as described in 8.10.2 below.

8.12.2 Click “New” to open the New Plate dialog box and fill out as indicated:

- 8.12.2.1 Type a name for the plate – typically a combination of the date, “Spectral”, and kit type.
- 8.12.2.2 In the Application field, select “Spectral Calibration”
- 8.12.2.3 In the Plate Type field, select “96-well”
- 8.12.2.4 Enter “DFS” for the Owner Name field.
- 8.12.2.5 Enter your initials in the Operator Name field.
- 8.12.2.6 Click OK.

8.12.3 The Spectral Calibration Plate Editor dialog box will appear, as shown in Figure 7.

Well	Sample Name	Comment	Priority	Instrument Protocol 1
A01	PP16		100	PowerPlex16
B01	PP16		100	PowerPlex16
C01	PP16		100	PowerPlex16
D01	PP16		100	PowerPlex16
E01	PP16		100	PowerPlex16
F01	PP16		100	PowerPlex16
G01	PP16		100	PowerPlex16
H01	PP16		100	PowerPlex16
A02	PP16		100	PowerPlex16
B02	PP16		100	PowerPlex16
C02	PP16		100	PowerPlex16
D02	PP16		100	PowerPlex16
E02	PP16		100	PowerPlex16
F02	PP16		100	PowerPlex16
G02	PP16		100	PowerPlex16
H02	PP16		100	PowerPlex16
A03				
B03				
C03				
D03				
E03				
F03				
G03				
H03				

Figure 7. Spectral Calibration Plate Editor

8.12.4 In the row corresponding to the location of your first sample, select:

8.12.4.1 A sample name in the “Sample Name” column. The value “100” automatically appears in the Priority column. There is no need to change this value.

8.12.4.2 Comments may be entered in the “Comment” column, but are not necessary.

8.12.4.3 In the “Instrument Protocol 1” select the protocol name created in 8.11, above.

8.12.5 Select the entire row by clicking on the sample well number, such as A01. Select Edit>Fill Down Special. This will populate the rows corresponding to your run.

8.12.6 Click “OK”. The Plate record is now complete and the spectral calibration can be completed after loading the plate onto the instrument and final preparation of the instrument.

8.13 Running the Spectral Calibration Plate

8.13.1 The plate assembly should be placed in the instrument if not already placed there.

8.13.2 On the left side of the Data Collection software window, choose GA Instruments>ga3130xl/> 3130xl>Run scheduler>Plate View to see the listing of prepared plates, as shown in Figure 8.

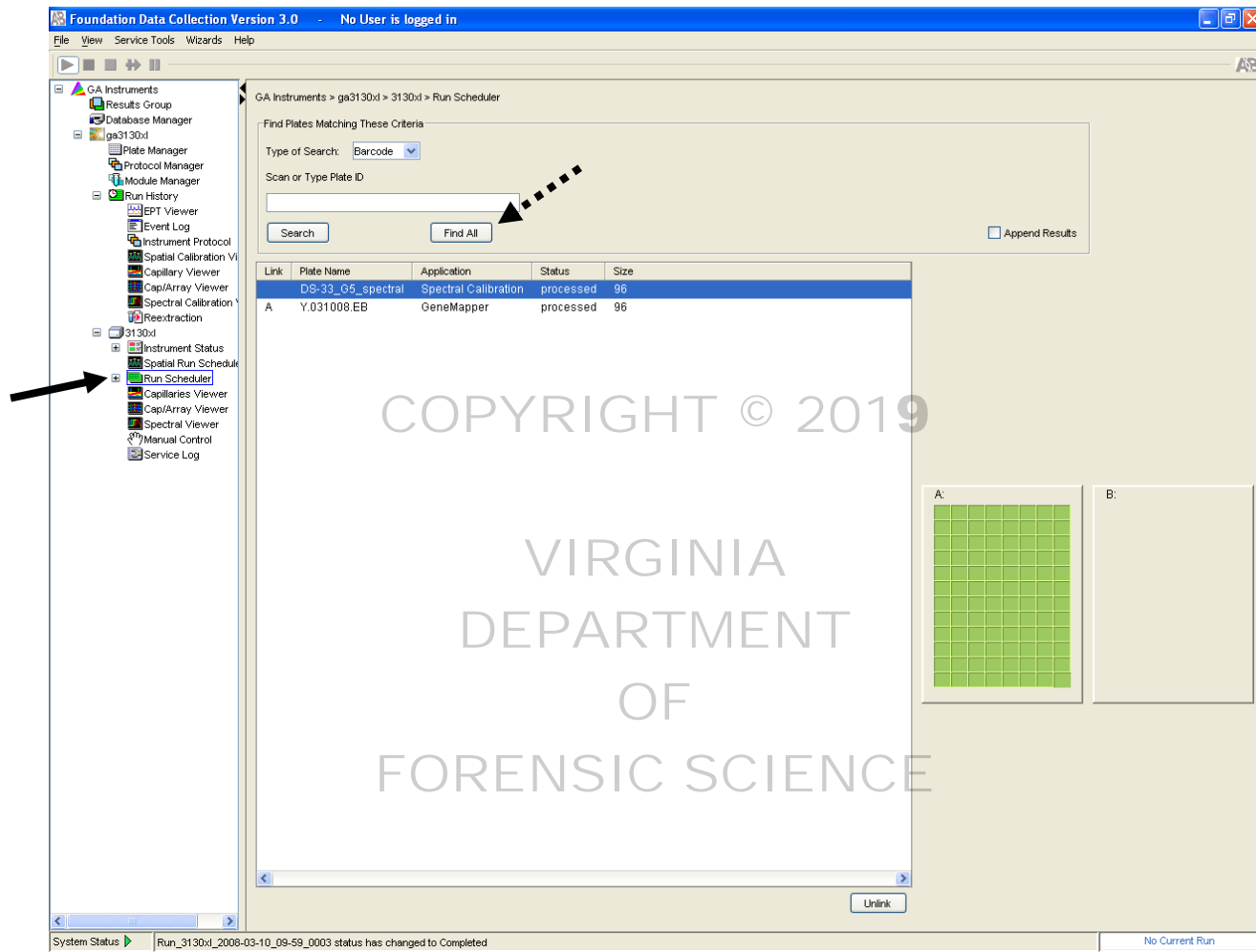


Figure 8. Run scheduler for spectral calibration plate. The solid arrow points to the appropriate selection on the menu at the left side of the screen. The dashed arrow points to the “Find All” button for finding the plate record.

8.13.3 Choose “Find All” to see a listing of all plate records.

8.13.4 Once the plate of interest is found, select the plate record by clicking on the plate name. Click on the plate position indicator (grid) which corresponds to the location in which the plate resides. The plate map color will change from yellow to green to indicate that the plate is successfully linked. In the toolbar or the Data Collection software, click the green arrow near the top of the screen to begin the run. Click OK when the dialog box appears (“You are about to start processing plates...”).

8.14 Evaluating the Spectral Calibration Data

8.14.1 Viewing the Pass/Fail Status after the run

8.14.1.1 On the left side of the Data Collection software window, choose GA Instruments>ga3130xl/> 3130xl>Instrument Status>Event Log to see the event messages.

8.14.1.2 In the “Event Messages” section of the window, view the pass/fail status of each capillary. Each capillary (1-16, for the 3130x/) should have a Q-value (q) and a condition number (c) in the range shown in Table 1.

Table 1. Acceptable condition number range and Q-values for analysis of spectral calibration data.

Dye Set	Acceptable Condition Number Range (c)	Acceptable Q-value (q)
Fragment Analysis		
D	4 – 8.5	above 0.95
F	4 – 12	above 0.95
E5	2.5 – 4	above 0.95
G5	7 – 12	above 0.95
Any other 4- or 5-dye set	1 – 20	above 0.80

8.14.2 Assessment of the Spectral Profiles and Raw Data

8.14.2.1 After assessing the pass/fail status of the capillaries, the spectral calibration profile for each capillary must be assessed.

8.14.2.2 On the left side of the Data Collection software window, choose GA Instruments>ga3130x/> 3130x1>Spectral Viewer to see the spectral data, as shown in Figure 9.

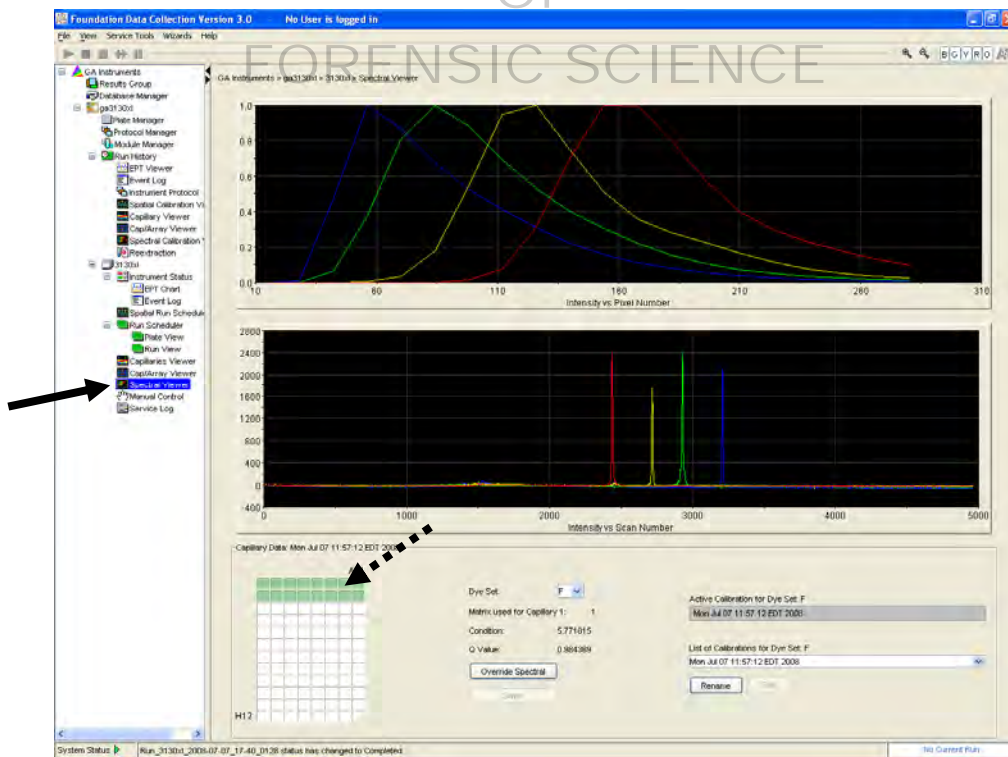


Figure 9. Spectral Viewer. The solid arrow points to the appropriate selection on the menu at the left side of the screen. The dashed arrow (near bottom) points to passing wells (green) indicated on the plate diagram.

8.14.2.3 In the “Dye Set” drop down list, choose the dye set utilized.

8.14.2.4 In the “List of calibrations for Dye Set ____”, choose the spectral just created by ensuring the date and time correspond to that run. Do not click “set” until the data has been verified as acceptable.

8.14.2.5 Each well containing spectral sample of the 96-well plate is colored green (if passing) in the plate diagram, as shown in Figure 9. Each well can be clicked to verify the spectral profile and raw data for each independently. A failing capillary is colored tan (or yellow when selected).

8.14.2.6 Verify that the spectral and raw data profiles for each well are acceptable by meeting the following criteria:

8.14.2.6.1 For 4-dye chemistry, the order of peaks in the spectral (top) profile should be: blue-green-yellow-red (left to right). For 5-dye chemistry, the order of the peaks in the spectral (top) profile should be blue-green-yellow-red-orange (left to right). If the peaks are not in the correct order, the calibration run has failed.

8.14.2.6.2 The order of peaks in the raw data (bottom) profile should be:

8.14.2.6.2.1 Fragment Analysis (e.g., STRs) – 4-dye: red-yellow-green-blue and 5-dye: orange, red-yellow-green-blue.

8.14.2.6.2.2 If the peaks are in the wrong order or extraneous peaks are affecting the spectral profile, the calibration run has failed.

8.14.2.6.3 The peaks in the spectral profile should not contain “gross overlaps, dips or other irregularities”. If so, the calibration has failed. A proper looking spectral profile is shown in Figures 10 (PP16) and 11 (Yfiler™)..

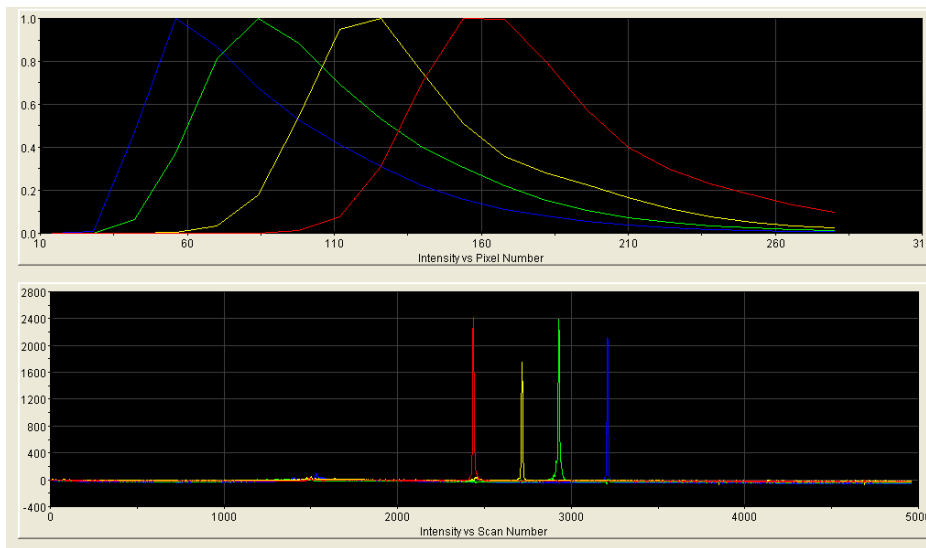


Figure 10. An example of a proper spectral calibration profile for PowerPlex® 16.

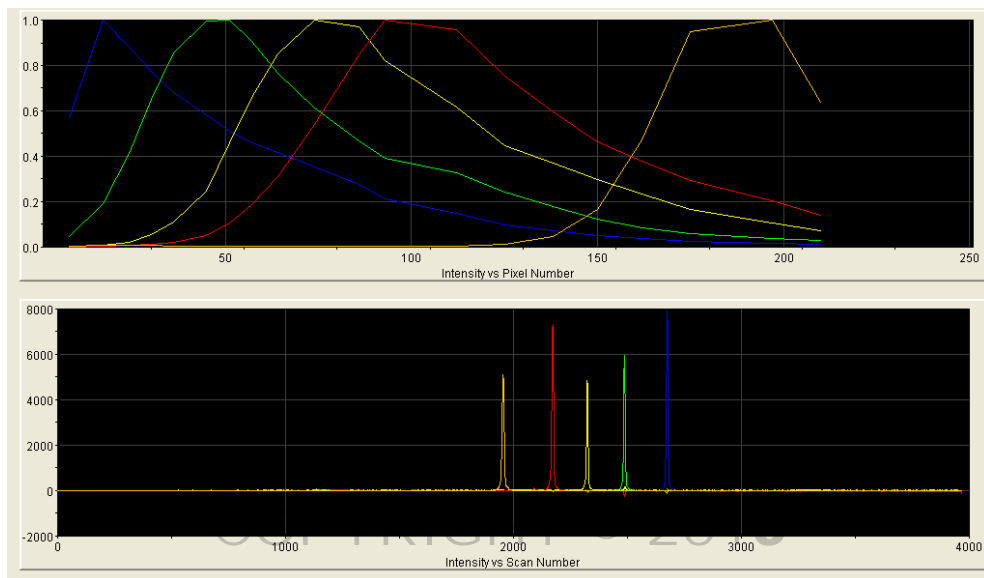


Figure 11. An example of a proper spectral calibration profile for Yfiler™.

8.14.2.7 If the spectral profile passes, the file name can be changed to reflect the date, dye set, array length, and polymer type by clicking “Rename”.

8.14.3 Activating a Spectral Calibration File

NOTE: Every new spectral calibration is automatically the active one for that dye set, unless manually changed. For example, if a spectral calibration were repeated but the first spectral was optimal, one may wish to choose the first spectral as the active spectral.

8.14.3.1 On the left side of the Data Collection software window, choose GA Instruments>ga3130xl> 3130-4DFS>Spectral Viewer to see the spectral data, as shown in Figure 10 or Figure 11.

8.14.3.2 In the “Dye Set” drop down list, select the dye set of interest.

8.14.3.3 In the “List of Calibrations for Dye Set: ___”, select the spectral calibration you wish to activate. The spectral profile and raw data are then displayed. If the spectral calibration is acceptable, click “Set”.

9 Long Periods of Inactivity

9.1 If the ABI 3130xl Genetic Analyzer remains unused for an extended period of time (approximately 2 weeks or longer), it is recommended that either a blank run (consisting of only formamide and size standard) be completed *or* the capillary array removed and the capillary ends stored in Type I H₂O until further use.

APPENDIX I – MAINTENANCE OF THE CASEWORK 3500x/ GENETIC ANALYZERS

1 Maintenance requirements for the 3500x/

Task	Frequency
Restart the computer and instrument	Every 14 days or as needed
Run the Wash Pump and Channels Wizard (conditioning reagent – Promega Corp)	Monthly or as needed
Flush the water trap (pump trap)	Monthly or as needed
Empty the water trap waste container. The waste container is to the right of the pump block	As needed
Change polymer pouch (replenish polymer)	At minimum - before a casework run if current pouch was installed >14 days prior
Change anode and cathode buffer cartridges	At minimum - before a casework run if current cartridges were installed >14 days prior
Replace cathode buffer septa	In conjunction with replacement of cathode buffer cartridge
Clean the autosampler and drip tray	As needed
Install a new capillary array	As needed based upon data obtained– for ex.: if poor sizing precision or allele calling results are noted; if poor resolution and/or decreased signal intensity is observed

2 Wizards

Wizards are automated instrument processes which allow the user to perform a variety of tasks. Each wizard has been designed with specific instructions to achieve the purpose of the wizard. The wizards are accessed by selecting the desired wizard from the “Maintenance Wizards” menu and include:

- Install a Capillary Array – used to install or replace a capillary array – takes 15-45 minutes
- Remove bubbles from the polymer pump – used to remove bubbles in the polymer pump fluid path from the polymer pouch through the pump, array port and anode buffer container – takes 5-15 minutes

- Wash the pump chamber and channels – uses conditioning reagent to prime the polymer pump, wash the polymer pump between polymer type changes and during instrument shut down (each pouch is adequate for a one-time use) – takes about 40 minutes
 - Record the date of the conditioning reagent run, lot number and expiration date of the reagent pouch in the appropriate QC log.
- Fill the array with fresh polymer – fills the array with fresh polymer
- Replenish the Polymer Installed on the Instrument – for replacing the polymer pouch on the instrument with a new pouch of the same type of polymer – takes 10-20 minutes
 - The new polymer pouch should be allowed to equilibrate to room temperature prior to installation.
- Change the type of polymer installed on the instrument with the option to change arrays – allows the user to change the type of polymer on the instrument (POP-4 to POP-7, for example).
- Shutdown the instrument – for both long-term and short-term shutdown – takes 60 minutes

3 Restarting the computer and instrument

3.1 Shutting down the instrument and computer

3.1.1 Close the Data Collection Software.

3.1.2 Shut the instrument off.

3.1.3 Shut the computer down.

3.2 Starting the instrument and computer

3.2.1 Turn on the computer, but do NOT log on.

3.2.2 Power on the instrument and wait for the solid green light.

3.2.3 Log onto the computer and wait until the “3500 Services Loaded” at the lower right corner of the screen is completely loaded and indicated with a green check mark.

3.2.4 Launch the Data Collection Software by double-clicking on the 3500 instrument icon.

4 Changing the Anode Buffer Container (ABC)

4.1 Verify that the buffer level is at or above the fill line and check that the seal is intact.

4.2 Invert the ABC and tilt it slightly to make sure most of the buffer is in the larger side of the container. Less than 1 mL should remain in the smaller side of the container.

4.3 Peel off the seal at the top of the ABC and place the ABC into the anode end of the instrument.

4.4 Click Refresh on the dashboard to update the screen.

5 Changing the Cathode Buffer Container (CBC)

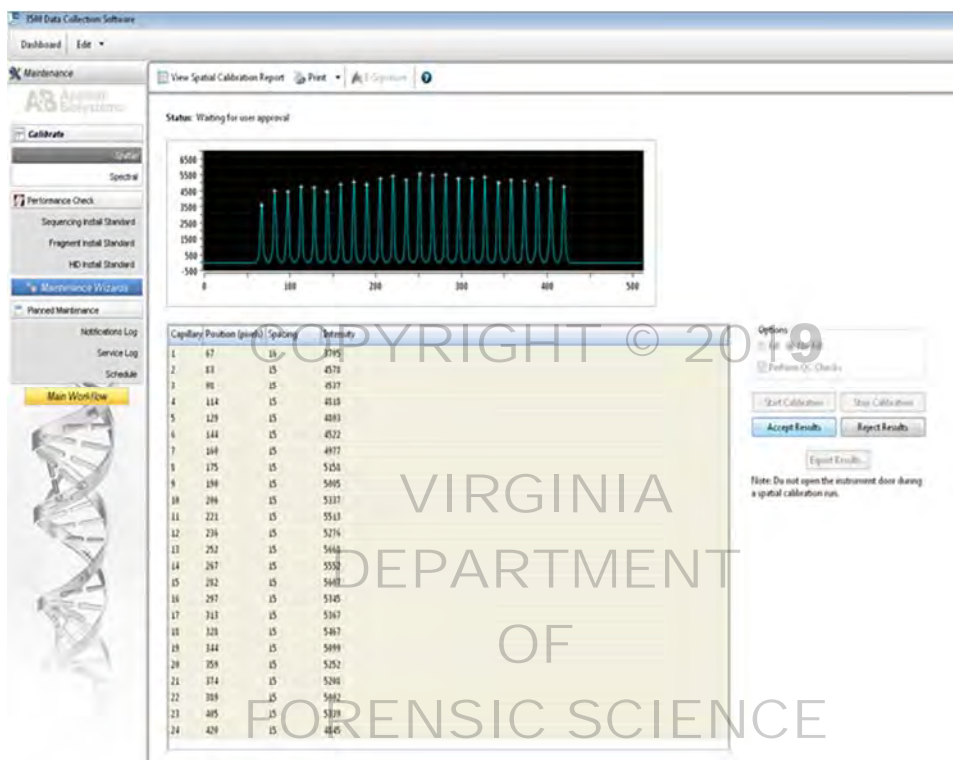
5.1 Press the Tray button on the instrument to bring the old CBC forward and discard it.

5.2 Verify that the buffer level of the new CBC is at or above the fill line and check that the seal is intact.

- 5.3 Tilt the CBC back and forth gently to ensure the buffer is evenly distributed across the top of the baffles.
 - 5.4 Peel off the seal at the top of the CBC and wipe off any buffer on top of the CBC to make sure the container is dry.
 - 5.5 Align and place the appropriate new septa on both sides. Push the septa lightly into the holes to start and then push firmly to seat the septa. Install the CBC on the autosampler.
 - 5.6 Close the instrument door, wait for the green light and click Refresh on the dashboard to update the screen.
- 6 Flush the water trap (pump trap)
- 6.1 Fill a Luer lock syringe with a capacity of at least 20 mL with Type I water. Expel bubbles from the syringe. Do not use a syringe smaller than 20mL, as the pressure generated will be too great.
 - 6.2 Attach the syringe to the forward-facing Luer fitting at the top of the pump block. Hold the fitting with one hand while threading the syringe onto the fitting with the other hand.
 - 6.3 Open the Luer fitting by grasping the body of the fitting and turning it to loosen. Turn counterclockwise approximately one-half turn.
 - 6.4 DO NOT USE EXCESSIVE FORCE when you push the syringe plunger as this may damage the trap seals. Take approximately 30 seconds to flush 5 mL of water through the trap.
 - 6.5 Close the Luer fitting by lightly turning clockwise until the fitting seals against the block.
 - 6.6 Remove the syringe from the Luer fitting. Hold the fitting with one hand while turning the syringe counterclockwise with the other hand.
- 7 Performing a Spatial Calibration
- 7.1 A spatial calibration is used by the instrument to correlate the signal from each capillary with the signal detected by the CCD camera and MUST be performed after any of the following events:
 - The capillary array has been replaced
 - The detector door has been opened or the detection cell has been moved
 - The instrument has been moved
 - A service engineer has performed an optical service procedure, such as a realignment or replacement of the laser or CCD camera or mirrors on the instrument
 - 7.2 To access the Spatial Calibration screen, select Maintenance→ Spatial Calibration in the navigation pane.
 - 7.3 Select “No Fill” or “Fill” which will either not fill the array with fresh polymer before starting the calibration or fill the array with fresh polymer before starting the calibration.
 - 7.4 Check “Perform QC checks”. The software will check each capillary against the specified range for spacing and intensity.
 - 7.5 Click Start Calibration. The display updates as the run progresses.
 - 7.6 A Spatial QC Check error message is displayed if:
 - The average peak height or individual peak height is below the threshold
 - Uniformity or capillary spacing exceeds the threshold
 - 7.7 When the run is complete, evaluate the calibration profile to ensure that you see:
 - One sharp peak for each capillary – small shoulders are acceptable.

- One marker (+) at the apex of every peak – no off-apex markers.
- An even peak profile (all peaks about the same height)

7.8 If the results meet the above criteria, click Accept Results. An example of a successful spatial profile is shown below.



7.9 If the results do not meet the above criteria, click Reject Results.

7.10 The spatial can be re-run. If problems persist, refer to the “Spatial Calibration Troubleshooting” section in the Applied Biosystems 3500x/ Genetic Analyzer user guide.

NOTE: The software does not save historical calibrations. Only the most recent spatial calibration results are maintained.

8 Performing a Spectral Calibration

8.1 Both PowerPlex® Fusion and Ampf/str Yfiler™ use dye set G5. A G5 spectral performed using Promega’s spectral kit will not perform well with Life Technologies’ Yfiler™ kit and vice versa. If both kits will be used on the same 3500x/ instrument, then a differently defined G5 spectral should be created for each amplification kit.

8.2 Generating a matrix using Dye Set Z or Dye Set G5_Promega

8.2.1 Create a dye set (proceed to 8.3 if the dye set has previously been created).

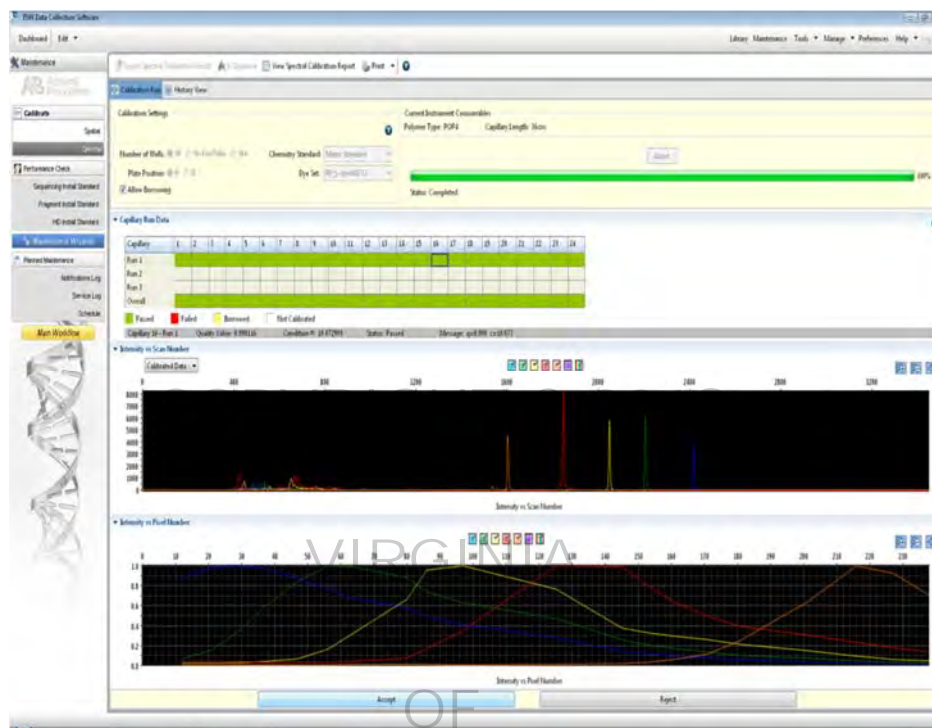
8.2.2 In the Library under the Analyze menu on the left, select Dye Sets and Create.

8.2.3 In the Create Dye Set window, name the dye set (e.g., Promega_G5_WEN), select Matrix Standard as the chemistry and G5 template as the Dye Set Template. Under Parameters, change the after scan value to 800 and Save.

- 8.2.4 Once generated, this file is applied during sample detection to calculate the spectral overlap between the five different dyes and separate the raw fluorescent signals into individual dye signals.
- 8.3 Perform a spectral for each dye set/polymer type combination you will use. A spectral must also be performed after any of following events:
- The capillary array has been replaced
 - A decrease is seen in spectral separation (pull-up in peaks) in the raw or analyzed data
 - A service engineer has performed an optical service procedure, such as a realignment or replacement of the laser or CCD camera or mirrors on the instrument
- 8.4 If not already done so, perform a spatial calibration.
- 8.5 Pre-heat the oven to 60°C. This is very important – preheating mitigates subtle first-run migration rate effects.
- 8.6 Check the consumables status on the dashboard to ensure they are not expired and that adequate injections remain.
- 8.7 Prepare the matrix standard for PowerPlex® Fusion (Use PowerPlex® 5C Matrix Standard – Promega Corp.).
- 8.7.1 Remove the 5C Matrix Mix and one tube of Matrix Dilution Buffer from the freezer, thaw and vortex to mix thoroughly. DO NOT centrifuge.
- NOTE:** The 5C Matrix Mix should be stored at 2-10°C after first use.
- 8.7.2 Add 10 µL of the 5C Matrix Mix to the tube of Matrix Dilution Buffer. Vortex to mix thoroughly. DO NOT centrifuge.
- NOTE:** The diluted 5C Matrix Mix can be stored at 2-10°C for up to one week.
- 8.7.3 Add 10 µL of the diluted 5C Matrix Mix to 500 µL Hi-Di formamide and vortex to mix thoroughly. DO NOT centrifuge.
- 8.7.4 Add 15 µL of the formamide/dye mix to each well of a three column set of wells (columns 1-3, 4-6, 7-9 or 10-12) in a 96 well plate.
- 8.7.5 After placing the septa on the plate, briefly centrifuge to remove bubbles.
- 8.7.6 DO NOT denature the samples.
- 8.7.7 Place the plate in the plate base and cover with a plate retainer.
- 8.7.8 Place the plate in the autosampler making sure to designate in the software whether position A or B is chosen.
- 8.7.9 To perform the spectral, click on the Maintenance tab and select Spectral under the Calibrate menu on the left. From the Chemistry Standard drop-down menu, choose Matrix Standard, choose the Dye Set previously created in 8.2 from the Dye Set drop-down menu and select the starting well. Verify that “Allow Borrowing” and “Perform Run 2/Run 3 if Run 1 fails” are checked. Click Start Run.

8.8 Evaluating the Spectral Calibration run

8.8.1 The figure below shows a complete and successful spectral run.



8.8.2 In the Capillary Run Data field, a passing capillary is shown in green, a failed capillary is shown in red and a capillary for which adjacent data was borrowed is shown in yellow.

8.8.3 To display the results for an individual capillary (spectral data, Quality Value and Condition Number), click on the associated colored box in the Capillary Run Data field.

Quality Value – reflects the confidence that the individual dye emission signals can be separated from the overall measured fluorescent signal. It is a measure of the consistency between the final matrix and the data from which it was computed. A Quality Value of 1.0 indicates high consistency, providing an ideal matrix with no detected pull-up/pull-down peaks.

Condition Number – indicates the amount of overlap between the dye peaks in the fluorescence emission spectra of the dyes in the dye set. If there is no overlap in a dye set, the Condition Number is 1.0 (ideal), the lowest possible value. The condition number increases with increasing peak overlap

8.8.4 Examine the data for all capillaries before accepting the spectral calibration results to be sure they each meet the following requirements:

- Quality Value minimum – 0.95
- Condition Number maximum – 13.5
- Order of peaks in spectral profile from left to right should be:
Blue → green → yellow → red → orange

- Peak morphology in the spectral profile – peaks are separate and distinct with no gross overlaps, dips or irregularities.
- Order of peaks in the raw data profile from left to right should be:
Orange → red → yellow → green → blue
- No extraneous peaks in the raw data should appear

8.8.5 If any of the above criteria are not met, the calibration has failed.

8.8.5.1 The spectral calibration can be re-run. If problems persist, refer to the “Spectral Calibration Troubleshooting” section in the Applied Biosystems 3500xl Genetic Analyzer user guide

8.9 A spectral calibration can run up to three injections. The number of injections performed depends on the number of capillaries that pass or fail during an injection and whether the “Allow Borrowing” option is selected. If borrowing is allowed, then the capillaries can share information with adjacent capillaries within an injection or between injections. Up to three borrowing events can be allowed.

8.10 Once all capillaries have been reviewed and accepted, click Accept.

8.11 Only the most recent spectral calibration is maintained in the software. The historical calibration results are not saved.

9 Long periods of inactivity

9.1 If the ABI 3500xl Genetic Analyzer remains unused for an extended period of time (approximately 2 weeks or longer), it is recommended that either a blank run (consisting of only formamide and size standard) be completed *or* the capillary array removed and the capillary ends stored in Type I H₂O until further use.

APPENDIX J – PREPARING NIST TRACEABLE SAMPLES

- 1 Take blood samples from at least 2 people, apply this material to blood stain cards (1 donor on each card) and dry the cards.
- 2 Demonstrate that the dried samples from each donor are homogenous by taking multiple cuttings from each stain card prepared and process the samples in accordance with the DNA extraction and typing procedures outlined in the Procedures Manual. All normal controls must be processed with samples (e.g., reagent blanks, negative blanks, positive controls, etc.). The same DNA profile should be obtained from the duplicate samples from each card.
- 3 Once the representative testing has been completed as outlined above take a single cutting from each stain card (e.g., if enough blood was drawn to make 2 stain cards from each donor for a total of 4 stain cards then a single cutting from each card is needed) and extract these samples in parallel with samples from a Standard Reference Material (SRM). If the correct DNA profiles are obtained from the in-house prepared samples and the SRM kit samples, then the in-house prepared samples are now considered National Institute of Standards and Technology (NIST) traceable.
- 4 To conduct the annual testing using the in-house prepared NIST traceable samples take a single cutting from each stain card (e.g., if enough blood was drawn from an individual to make 2 stain cards a single sample from 1 of the cards is needed). Process the samples in accordance with the DNA extraction and typing procedures outlined in the Procedures Manual. Maintain all documentation in a properly labeled binder or file.
- 5 The in-house prepared samples are good until the sample is consumed or a discrepancy is detected. New lots of NIST traceable samples have to be prepared as listed in step 1 above (meaning you cannot just bleed the same people and use their sample without going through the representative testing with all the applicable extraction and typing controls).

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APPENDIX K – GUIDE FOR REVIEW OF AUTOSOMAL DNA DATA**Extraction worksheet**

- Samples extracted from low to high (batch or per case)
- Knowns extracted separately from evidence
- Appropriate reagent blanks used and correct volumes
- Extraction method, volume, buffer and analyst specified

BIOMEK® worksheet

- Samples & controls in proper location
- Knowns separated from evidence
- “Wells Loaded” box accurately recorded
- Operator/Analyst actions initialed and dated
- Crosscheck initialed and dated or otherwise marked
- Instrument ID recorded, if applicable

Plexor® worksheet

- Operator initials present
- Proper documentation if STD curves adjusted
- R² values for Autosomal/Y curves recorded
- IPC value checked for possible inhibition
- Samples noted that are not going to be amplified here or on the sample dilution tracking form, if applicable
- Instrument ID recorded, if applicable

Sample Dilution Tracking worksheet

- Operator initials present
- Deviations correctly noted, if applicable

Reagent / Amplification worksheet

- Lot #s & required expiration dates recorded
- Extraction / Quantitation / Amplification dates recorded
- TC # & QC (if applicable), unique positive and negative info recorded, date recorded

Manual Amplification form

- Manual dilutions checked
- Reagent blank volumes mimic the most sensitive samples they monitor

CE Plate map

- Reagent volumes, lot #s & expiration dates recorded, if applicable
- Polymer load date & buffer change date recorded, if applicable
- Sample load volumes & injection times recorded
- Plate name, instrument ID, plate loading date, and wells loaded recorded
- Controls evaluated and documented in box checked off and dated by examiner & tech reviewer
- Reagent blanks loaded and injected proper volume
- Minimum two ladders loaded per plate
- Reason for reinjection documented, if applicable

CE Data / Electronic Information

- Correct module file & peak threshold values used
- Verify ILS for each sample is suitable
- Verify ladder(s) allele values are correct
- Verify correct types obtained for at least one positive control associated with the amplification
- Negative control(s)/reagent blanks evaluated, proper action taken if expected values not obtained
 - Include a review of raw data to ensure primer peaks are observed indicating the sample was loaded

- Evaluate for off-scale data – use with caution if evidence or mixture sample
- Verify sample allele calls/edits/ST calculations are accurate, if applicable

Egram printouts

- Injection time recorded on egrams or in case file documentation
- ST, M/m calculation, if applicable, are correct

Landscape worksheet (if present)

- Verify allele calls against egrams
- INC loci addressed if not addressed elsewhere
- Profile suitability for comparison/searching documented, if not documented elsewhere

CODIS Specimen Detail report printouts

- All appropriate samples entered into CODIS
- Appropriate specimen nomenclature used
- Appropriate specimen category assigned
- Source ID appropriately chosen, if applicable
- Correct alleles entered
- CODIS review documented, if applicable & not documented elsewhere
- Reported NDIS suitability consistent with data entry

CODIS search result printouts

- Staff index search conducted, if appropriate
- Local & state search sheets included, if appropriate
- Proper indices searched
- Matches properly evaluated & documented
- Appropriate alleles used

Statistics

- Appropriate calculation used
- For LR, appropriate assumptions made
- For CPI, loci used with all data above stochastic threshold
- For single source, profile evaluated for 2p
- Theta used as appropriate
- ST peaks considered, if appropriate
- Correct alleles entered
- Correct database used
- Sample description / identification listed

APPENDIX L: GUIDE FOR REVIEW OF Y-STR DNA DATA

Reagent/Amplification worksheet

- Lot #'s & expiration dates recorded
- Dilution/Amplification date recorded
- TC name & QC date recorded

CE Data worksheet

- Lot #'s recorded
- Proper controls

Electropherogram data

- Case number and item number documented
- Artifactual peaks addressed, if not done so in GeneMapper® ID/ GeneMapper® ID-X
- Controls evaluated, proper action taken if expected values not obtained
- Appropriate parameters used

Statistics

- Correct alleles entered
- STH applied, if applicable
- Sample description/identification documented

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