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CHAPTER 75 LABORATORY FINANCIAL AND RESOURCE MANAGEMENT

7501 DESCRIBING RESPONSIBILITIES.

NOTE: Exhibit 1/7501 lists acronyms used in this subchapter.

The Laboratory Director (LD):

A. Plans financial and program resource expenditures.

B. Establishes internal controls, ensuring efficient and effective operations.

C. Provides reliable financial reporting.

D. Ensures that the laboratory complies with applicable laws and regulations.

NOTE: Exhibit 2/7501 lists legislation and publications related to financial practices.

7502 PLANNING FINANCIAL AND PROGRAM RESOURCE EXPENDITURES.

NOTE: Exhibit 1/7502 lists acronyms used in this subchapter.

7502.1 Financial Plan.

The Drug Enforcement Administration (DEA) Financial and Acquisition Management Policy Manual (FAMPM) provides policy for budget planning and formulation.

LDs:

A. Provide a proposed laboratory budget to the Office of Forensic Sciences (SF) for inclusion into the SF consolidated submission for the coming fiscal year.

B. Provide justifications (e.g., travel, supplies, field support, etc.) for each budget line item.

7502.11 Conference and Meeting Planning.

A. LDs must provide an itemized list of anticipated attendees and estimated travel expenses for all conferences and meetings as part of the financial plan.

B. Mid-year amendments to increase the number of attendees at conferences must be reviewed and approved by SF.

C. SF may request mid-year planning amendments to be submitted by the LDs resulting from Department of Justice (DOJ) requirements (e.g., restrictions or caps on conference attendance).

7502.2 Resource Planning.

LDs:

A. Provide SF with anticipated changes in personnel requirements for their laboratory.

B. Provide SF with a prioritized list of research projects for the coming fiscal year, including an estimation of hours needed.

7502.3 Review and Approval.

SF reviews, makes changes as necessary, and approves the financial plan and laboratory resource needs.

7503 Administering Financial Management.

A. Laboratory operational funding is typically provided on a quarterly basis and is managed as outlined in the FAMPM.

NOTE 1: During a continuing resolution (CR), allocated funding is prorated based on the length of the CR.

NOTE 2: Exhibit 1/7503 lists acronyms used in this subchapter.

B. LDs transfer funding from the laboratory operational account to an equipment account. Transfers may not exceed $10,000 total in one fiscal year without written authorization from the Associate Deputy Assistant Administrator (ADAA) or the Deputy Assistant Administrator (DAA).

7504 AUTHORIZING TRAVEL.

A. LDs:

1. Authorize domestic travel.

NOTE: Only a GS-15 or higher may authorize travel in the laboratory system. In cases when a GS-15 is not available in the laboratory, the travel request must be sent to SF for approval.

2. Obtain approval from SF ADAA or DAA for their own official travel.
3. Authorize travel for training purposes through the DEA Learning Systems (DEALS) at least 45 calendar days prior to the intended travel dates, when possible.

B. The DAA:

1. Authorizes international travel. Follow PRO-7504, Requesting Official Foreign Travel.
2. Designates the ADAA to authorize foreign travel.

NOTE: Exhibit 1/7504 lists acronyms used in this subchapter.

7505 APPROVING EXPENSES FOR PROFESSIONAL CERTIFICATIONS.

7505.1 Authorizing Payment for Certifications.

In accordance with the DOJ Human Resources Order 1200.1, Part 5, Chapter 5-2 and United States Code (U.S.C.), 5 U.S.C. § 5757(a), DEA permits the use of component funds for professional certifications.

SF DAA:

A. Authorizes LDs to finance the certification of forensic chemists (FC), fingerprint specialists (FS), and digital forensic examiners (DFE).

B. Determines the suitability of certifying organizations (e.g., the American Board of Criminalistics (ABC), the International Association for Identification (IAI), the Digital Forensics Certification Board (DFCB), etc.) when payment of professional certification fees is permitted.

NOTE: Exhibit 1/7505 lists acronyms used in this subchapter.

7505.2 Meeting Requirements for Payment.

A. FCs who request payment of expenses for certification must meet the following requirements:

1. Have at least two years of full-time experience in the practice of forensic drug analysis.
2. Be actively working in the area of forensic drug analysis.

B. FSs who request payment of expenses for certification must meet the following requirements:

1. Have at least two years of full-time experience in the practice of latent print examinations.
2. Be actively working in the area of latent print examination.
3. Have completed a minimum of 80 hours of certified board-approved training in latent print matters.

C. DFEs who request payment of expenses for certification must meet the following requirements:

1. Have at least five years of full-time experience in the practice of digital evidence examinations.
2. Be actively working in the area of digital evidence examination.

7505.3 Requesting Payment for Certification.

A. Employees seeking to obtain payment for certification submit the following to the LD through their supervisor:

1. A memorandum containing:
   a. The specific certification and provider.
   b. The application and examination fee.
   c. The location and date of the examination.
   d. The estimated cost of travel to and from the examination location (if applicable).
2. A completed Requisition for Equipment, Supplies or Services (DEA-19).
3. An Official Travel Request (Form DOJ-501), if applicable.

B. The LD grants approval for payment.

NOTE: Employees should attend examinations in their regional area.

C. LDs use operational funds to pay for the following:

1. Application fees
2. Examination fees
3. Costs associated with employee travel to and from the testing location
4. Annual recertification or maintenance fees, if applicable.

D. Employees may not seek subsequent reimbursement for retests taken within six months after the certification examination.

7506 EQUIPMENT AND PRODUCT DEMONSTRATIONS AND EVALUATIONS.

NOTE: Exhibit 1/7506 lists acronyms used in this subchapter.

7506.1 Vendor Demonstrations.

A. In the event that a laboratory representative invites, or accepts an invitation from, a vendor to provide an equipment or product demonstration, the laboratory must extend the same opportunity to other vendors who have requested to demonstrate similar technology.

B. During the demonstration, the observers will have the following responsibilities:

1. Ask questions to better understand the technology.
2. Provide only public information to the vendor regarding programs, operations, or facilities.
3. Document the meeting and the topics discussed. See PRO-7506.1, Documentation of Equipment or Product Demonstrations.

C. During the demonstration, the observers shall not:

1. Identify or discuss current or future needs and requirements of the laboratory, DEA, or Federal Government.
2. Provide non-public information to the vendor.
3. Advise the vendor on how they could improve or develop this technology to meet the laboratory's, DEA's, or the Federal Government's needs.
4. Make any statement that could give the vendor an unfair competitive advantage.
5. Show a preference towards, or bias against, any specific manufacturer or technology.
6. Indicate that the DEA will purchase or use the technology at some future point in time.
7. Retain any proprietary information made available in the course of the demonstration.

D. If the vendor offers any gifts to any employee at any time before, during or after the demonstration, the employee:

1. Should decline the gift.
2. If the employee wishes to accept a gift, before doing so, the employee must contact the Office of Chief Counsel (CC), Ethics and Standards of Conduct Unit (CCE) immediately at REDACTED to determine if acceptance is permissible.
3. If a gift has already been accepted, the employee must contact CCE as soon as practicable to determine whether retention of the gift is permissible and, if it is not, how to properly dispose of the gift.

7506.2 Equipment and Product Evaluations.

A. SF and the Special Testing and Research Laboratory (SFL1) will coordinate the evaluation of new, technologically advanced equipment and products prior to acquisition. SFL1, along with the field laboratories, makes final recommendations regarding the suitability of the equipment or product to SF.

EXCEPTION 1: The fingerprint specialists (FS) evaluates discipline specific equipment and products with the concurrence of SF prior to acquisition.

EXCEPTION 2: The Digital Evidence Laboratory (SFL9) evaluates all equipment and products associated with the digital forensics program.

B. In the event a vendor offers to loan equipment or a product to a field laboratory for evaluation, the laboratory must contact SF to determine if SFL1 has the resources to complete the evaluation.

NOTE: SFL1 may seek assistance from the field laboratories to evaluate equipment.

C. SF must consult with CCE at REDACTED in advance of accepting any offer of a loan of equipment to determine whether acceptance is appropriate and, if appropriate, ensure the terms and conditions of the loan are properly documented.

D. The laboratory representatives must provide an evaluation of the equipment or product to SF. See PRO-7506.2, Evaluation of Equipment and Products.

7507 PLANNING EQUIPMENT PROCUREMENT.

The laboratory equipment procurement process consists of conducting an instrument survey, prioritizing purchases for the laboratory system, and recommending and accepting changes to the Laboratory Equipment Module.

NOTE: Exhibit 1/7507 lists acronyms used in this subchapter.

7507.1 Equipment/Instrument Surveys.

LDs ensure the Financial Information Reporting and System Tools (FIRST) database is updated annually to accurately list all of the analytical and fingerprint equipment/instruments in the laboratory.

7507.2 Laboratory Equipment Requests.

A. SF notifies each LD to update the itemized list of analytical and fingerprint equipment/instruments over five years old.

B. SF provides guidance or any other information to the LD that will affect the laboratory during the next fiscal year.

EXCEPTION: SFL9 prioritizes their laboratory equipment request and handles their equipment funding separately from the rest of the laboratory system.

C. LD includes on the list:

1. Priority number
2. DEA property number (of item to be replaced)
3. Instrument type
4. Price quote (only non-Blanket Purchase Agreement (BPA) items)
5. Age of item
6. Justification, if applicable

a. Replacing an instrument less than five years old, or keeping an instrument over five years old, requires a justification.
b. New equipment items or deviations from the Laboratory Equipment Module must be clearly identified and explained.

7507.3 Prioritizing Equipment Procurement

A. SF coordinates the formation of an Equipment Working Group (EQMWG) to include:

1. One SFM program manager.
2. One chemist from each laboratory.
3. One fingerprint specialist from each group.

B. The EQMWG nominates and selects a committee chair to serve a one-year term.

NOTE: The chair may serve multiple consecutive terms.

C. The EQMWG:

1. Prioritizes all laboratory equipment requests and includes justifications.
2. Reviews and updates the equipment modules.
3. Reviews and updates the instrument/equipment evaluation protocol.
4. Provides a report to the SF DAA.

7507.4 Laboratory Equipment Module.

SF will provide each LD with the revised Laboratory Equipment Module, annually, after the EQMWG meeting.

7508 PURCHASING CRITICAL ITEMS

See PRO-7508, Purchasing Critical Items.

A. SF defines critical items as consumables, supplies, and services with measurement traceability. Critical items are those that affect the quality of testing and calibration and establish or maintain measurement traceability.

NOTE: See appendices in the Analysis of Drugs Manual (ADM), Latent Print Examination Manual (LPEM) and REDACTED for a list of critical items for each discipline, and evaluation criteria for vendor requirements.

B. Laboratory personnel evaluate suppliers of critical items to ensure that suppliers meet one, or more, of the following criteria, in preferential order:

1. ISO/IEC (International Organization for Standardization/International Electrotechnical Commission) 17025 accredited.
2. ISO 9001 certified or compliant.
3. Adhere to good manufacturing practices (GMP).
4. Demonstrate successful past performance.
5. Adhere to laboratory-established performance criteria.

NOTE: The scope of accreditation must encompass the intended use of the critical item being purchased.

C. LDs (or procurement coordinator) maintain a record of suppliers and whether the suppliers meet criteria in 7508.B, or not, using the Suppliers of Critical Items blank form located on the Office of Forensic Sciences Document Control Center.

1. If a supplier does not meet criteria in 7508.B, the procurement coordinator provides a reason.
2. This record is reviewed annually to evaluate and maintain vendors on both lists.

NOTE: Exhibit 1/7508 lists acronyms used in this subchapter.

7509 PLACING CRITICAL ITEMS INTO USE.

NOTE: Exhibit 1/7509 lists acronyms used in this subchapter.

Refer to PRO-7509, Placing Critical Items into Use.

A. The LD ensures that critical item vendors meet the requirements set forth in the discipline-specific manuals.

B. The requestor evaluates that critical items received from vendors provide expected results prior to use of the item in casework. See the Suppliers of Critical Items form located on the Blank Forms section on the Office of Forensic Sciences Document Control Center.

7510 USING AND MAINTAINING CRITICAL ITEMS.

Personnel:

A. Notify management immediately in the event that a critical consumable, supply, or service is found to be deficient, defective or yields unexpected results.

B. Remove the item from laboratory use in casework until the unexpected result is investigated and resolved.