

Mixtures and Low-Level DNA:

Addressing Questions Regarding Forensic DNA Typing

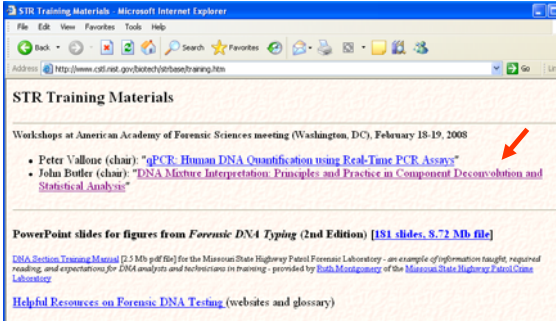
John M. Butler, Ph.D.
National Institute of Standards and Technology

NDA Training at the National Advocacy Center
Columbia, SC
May 20, 2009

True Identity: DNA
DNA Fingerprinting on the Witness Stand

Training Materials Available on STRBase

<http://www.cstl.nist.gov/biotech/strbase/training.htm>



Workshops at American Academy of Forensic Sciences meeting (Washington, DC), February 18-19, 2008

- Peter Vallone (chair): "qPCR: Human DNA Quantification using Real-Time PCR Assay"
- John Butler (chair): "DNA Mixture Interpretation: Principles and Practice in Component Deconvolution and Statistical Analysis"

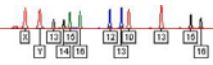
PowerPoint slides for figures from *Forensic DNA Typing* (2nd Edition) [181 slides, 8.72 Mb file]

[DNA Section Training Manual](#) (2.3 Mb pdf file) for the Missouri State Highway Patrol Forensic Laboratory - an example of information taught, required reading, and expectations for DNA analysts and technicians in training - provided by [Beth Montgomery](#) of the Missouri State Highway Patrol/Crime Laboratory

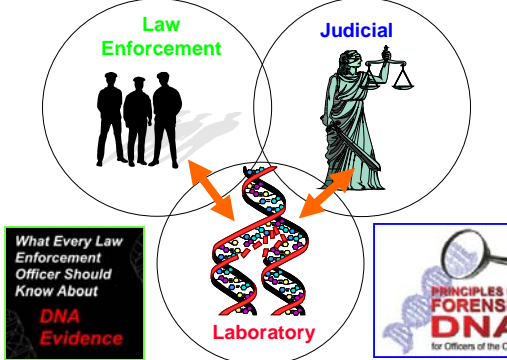
[Helpful Resources on Forensic DNA Testing](#) (websites and glossary)

My Desire to Aid the Legal Community

- Growing up, I wanted to be a lawyer...until I took some science classes in high school (and my uncle who is a lawyer encouraged me not to since there were already too many lawyers)
- I served on the Grand Jury in Montgomery County, Maryland from June to August 2003 – but we only had three DNA cases...
- I have been contacted in the past by prosecutors, defense attorneys, and judges...I am happy to help where I can but the NIST lawyers have told me that I cannot testify – but in a sense my book and website testify for me
- I am committed to developing better training tools for lawyers to help with the proper use of DNA evidence



Interfaces Between Disciplines Are Crucial



<http://www.dna.gov/>

Information Resources for Defense Attorneys

http://www.niada.org/Defender/forensics/for_lib/Index/DNA/exhibits/index_html




Defense Lawyers and Experts are becoming more united and informed



Common Defense Attacks

Compiled from Forensic Bioinformatics website



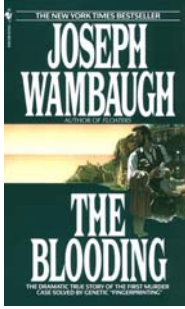
<http://www.bioforensics.com>

- Contamination
- Statistical Weight of a Match
- Degradation/PCR Inhibition of "True" Perp
- Artifacts and "Complications" to DNA Profiles
- **Thresholds Set Too High (missing peaks)**
- Examiner Bias
- **Improper Mixture Interpretation**
- Meaning of a Database Hit
- Protocol Violations

Forensic Bioinformatics
7th Annual Conference
The Science of DNA
Profiling: A National
Expert Forum
August 15 - 17, 2008
Dayton, OH

[See http://www.bioforensics.com/conference08/index.html](http://www.bioforensics.com/conference08/index.html)

Lessons from the First Case Involving DNA Testing



Describes the first use of DNA (in 1986) to solve a double rape-homicide case in England; about 5,000 men asked to give blood or saliva to compare to crime stains

- Connection of two crimes (1983 and 1986)
- Use of DNA database to screen for perpetrator (DNA only done on 10% with same blood type as perpetrator)
- Exoneration of an innocent suspect
- DNA was an investigative tool – did not solve the case by itself (confession of accomplice)

A local baker, Colin Pitchfork, was arrested and his DNA profile matched with the semen from both murders. In 1988 he was sentenced to life for the two murders.

NIST Background

NIST History and Mission

- National Institute of Standards and Technology (NIST) was created in 1901 as the National Bureau of Standards (NBS). The name was changed to NIST in 1988.
- NIST is **part of the U.S. Department of Commerce** with a mission to **develop and promote measurement, standards, and technology to enhance productivity, facilitate trade, and improve the quality of life.**
- NIST supplies over 1,300 Standard Reference Materials (SRMs) for industry, academia, and government **use in calibration of measurements.**
- **NIST defines time for the U.S.**

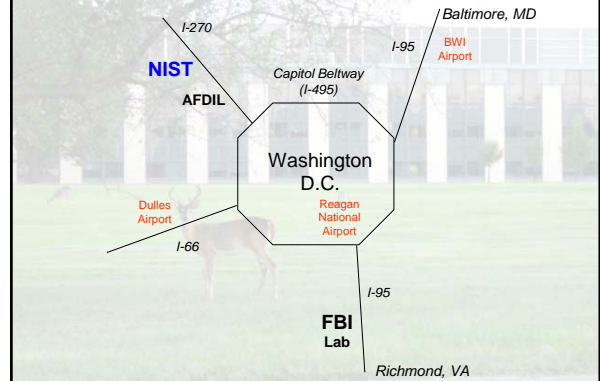


\$603 for 3 jars

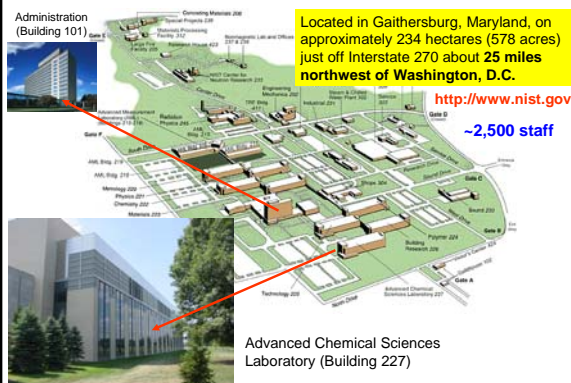


DNA typing standard

Location of NIST (near Washington, DC)



NIST Gaithersburg Campus



NIST Human Identity Project Team

...Bringing traceability and technology to the scales of justice...



John Butler Group Leader Amy Decker Becky Hill Margaret Kline Jan Redman Pete Vallone



Dave Duerwer (data analysis) Angie Delph (summer 2007) Michelle Burns (summer 2008+)

And many wonderful collaborators...

Since 2000:
 >100 publications
 >250 presentations
 >30 training workshops

Funding from the **National Institute of Justice (NIJ)** through NIST Office of Law Enforcement Standards

Our team publications and presentations are available at:
<http://www.csti.nist.gov/biotech/strbase/NISTpub.htm>

Our Team Mission Statement

- The NIST Human Identity Project Team is trying **to lead the way in forensic DNA**... through research that helps bring traceability and technology to the scales of justice.



National Institute of Justice

The Research, Development, and Evaluation Agency of the U.S. Department of Justice

Current Areas of NIST Effort with Forensic DNA

- Standards** <http://www.cstl.nist.gov/biotech/strbase/>
 - Standard Reference Materials
 - Standard Information Resources (STRBase website)
 - Interlaboratory Studies
- Technology**
 - Research programs in SNPs, miniSTRs, Y-STRs, mtDNA, qPCR
 - Assay and software development
- Training Materials**
 - Review articles and workshops on STRs, CE, validation
 - PowerPoint and pdf files available for download

Standard Reference Materials

http://www.cstl.nist.gov/biotech/strbase/srm_tab.htm

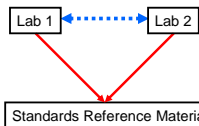
Traceable standards to ensure accurate measurements in our nation's crime laboratories



Helps meet DAB Std. 9.5 and ISO 17025



SRM 2391b – CODIS STRs
SRM 2392-1 – mtDNA
SRM 2395 – Y-STRs
SRM 2372 – DNA quantitation



Calibration with SRMs enables confidence in comparisons of results between laboratories

Information Resources

<http://www.cstl.nist.gov/biotech/strbase>

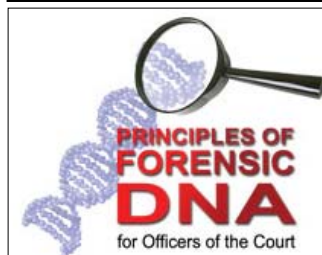
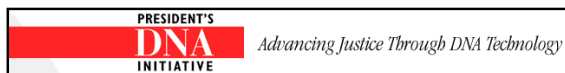


Includes information on:

- Core STR loci
- Validation
- STR reference list
- NIST publications
- miniSTRs
- Forensic SNPs
- Variant STR alleles
- Population data resources
- Addresses of scientists

Provides up-to-date information and has been used in court cases to support application of DNA technology

DNA Training for Officers of the Court



- CD-ROM available from the U.S. National Institute of Justice (<http://www.ncjrs.gov>)
- On-line training available at <http://www.DNA.gov>

<http://www.dna.gov/training/otc/>



Principles of Forensic DNA for Officers of the Court

- Introduction
- Biology of DNA
- Practical Issues Specific to DNA Evidence
- Forensic DNA Laboratory
- Assuring Quality in DNA Testing
- Understanding a Forensic DNA Lab Report
- Statistics and Population Genetics
- Mitochondrial DNA & Y-STR Analysis
- Forensic DNA Databases
- Collection of DNA Evidence
- Pretrial DNA Evidence Issues
- Victim Issues
- Trial Presentation
- Postconviction DNA Cases
- Emerging Trends**

<http://www.dna.gov/training/otc/>

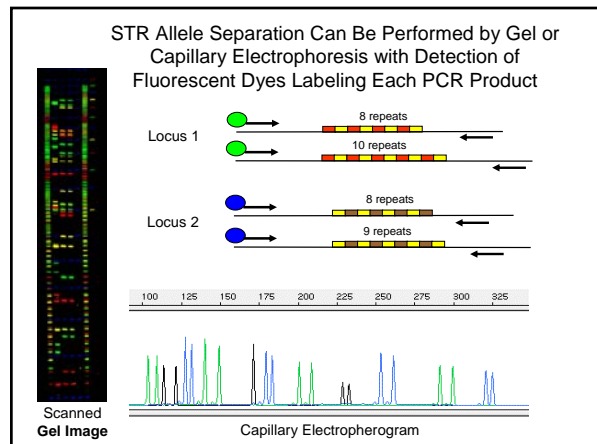
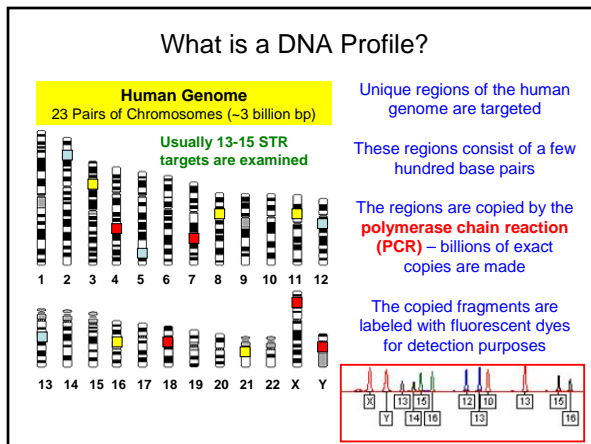
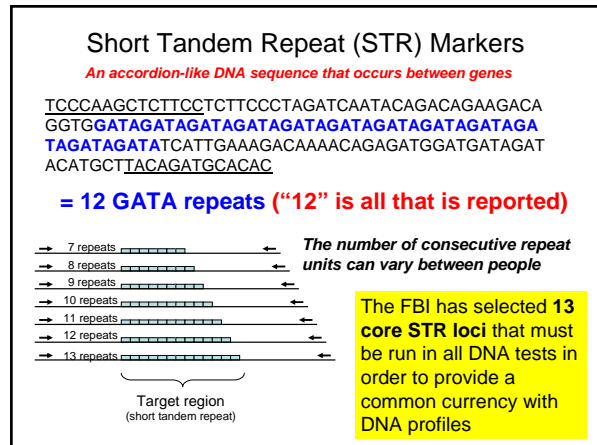
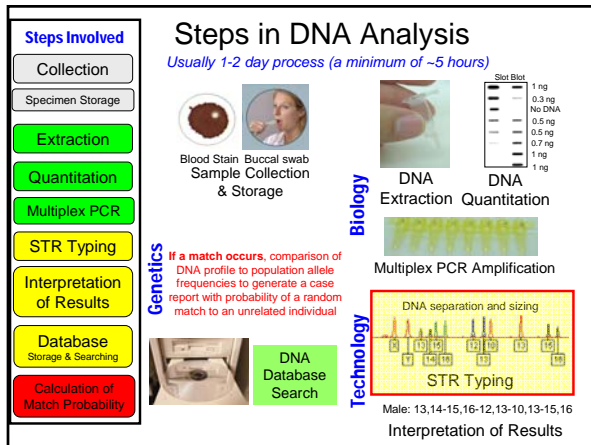


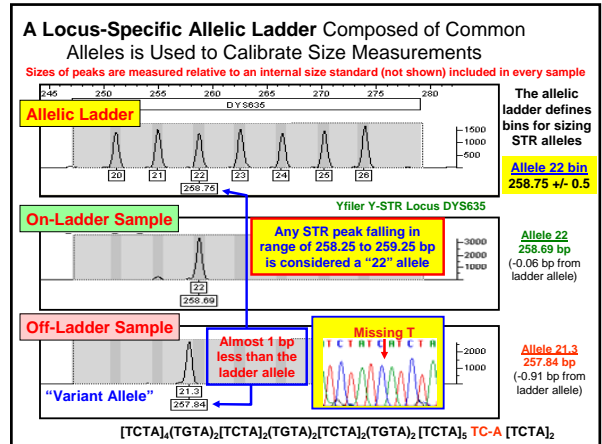
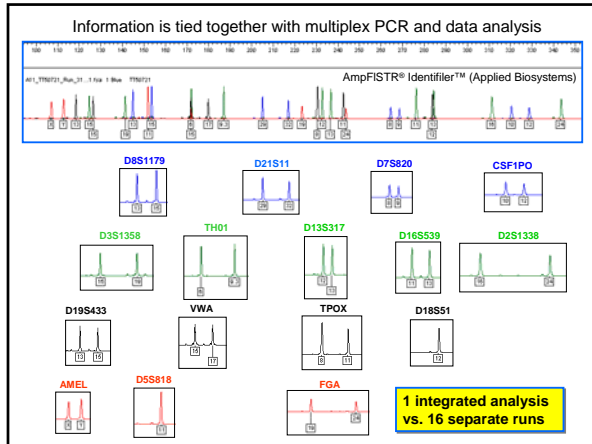
Content of Section 15 "Emerging Trends" from *Officers of the Court*

- Topic 1 :: **Single Nucleotide Polymorphisms (SNPs)**
- Topic 2 :: Automation
 - Microarrays (Chip Technology)
 - **Portable DNA Typing Laboratory**
 - Low Copy Number DNA Analysis
- Topic 3 :: Microbial Forensics and DNA Testing
- Topic 4 :: Other **Non-human Forensic DNA Analysis**
- Topic 5 :: **DNA Typing and Physical Appearance**
 - Biogeographical Ancestry
 - Approximate Age Determination

<http://www.dna.gov/training/otc/>

How Are DNA Results Obtained?





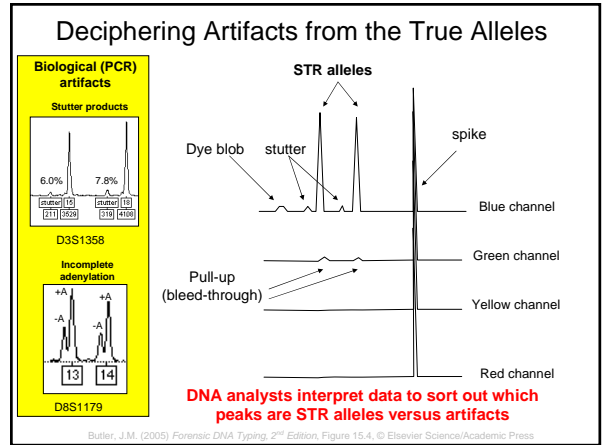
STR Data is Tabulated by Genotype Calls for Each Locus

	AMEL	CSF1PO	FGA	TH01	TPOX	VWA	D3S1358	D5S818
Ind(1)	XY	11,12	19,21	6,7	8,8	15,18	14,18	10,13

The number of repeats observed for each locus is tabulated

This data format is stored in databases and used for comparisons/matches

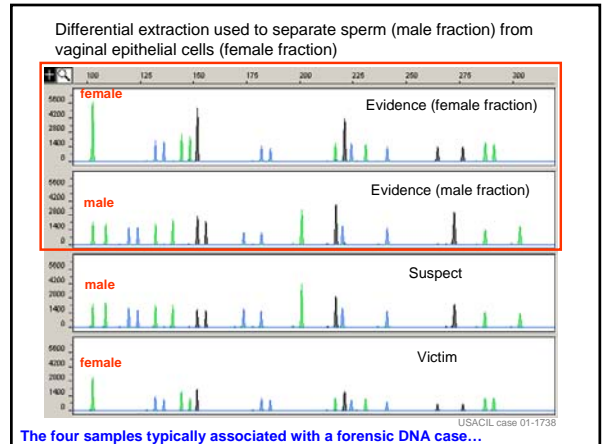
Finally a case report is written based on tabulated STR genotype calls



Mixtures: Issues and Challenges

From J.M. Butler (2005) Forensic DNA Typing, 2nd Edition, p. 154

- Mixtures arise when two or more individuals contribute to the sample being tested.
- Mixtures can be challenging to detect and interpret without extensive experience and careful training. *Even more challenging with poor quality data when degraded DNA is present...*
- Differential extraction can help distinguish male and female components of many sexual assault mixtures. *Y-chromosome markers can help here in some cases...*



Principles of Mixture Interpretation

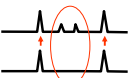
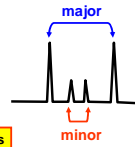
Most mixtures encountered in casework are **2-component mixtures** arising from a combination of victim and perpetrator DNA profiles

Torres et al. (2003) *Forensic Sci. Int.* 134:180-186 examined 1,547 cases from 1997-2000 containing 2,424 typed samples of which 163 (6.7%) contained a mixed profile with only 8 (0.3%) coming from more than two contributors

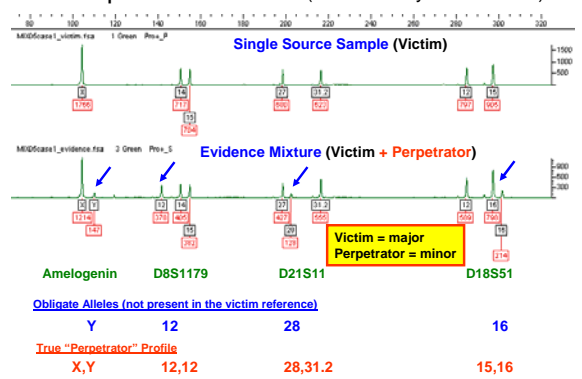
95.1% (155/163) were 2-component mixtures

Ratios of the various mixture components stay fairly constant between multiple loci enabling deduction of the profiles for the major and minor components

Some mixture interpretation strategies involve using victim (or other reference) alleles to help isolate obligate alleles coming from the unknown portion of the mixture



Example Mixture Data (MIX05 Study-Profiler Plus)



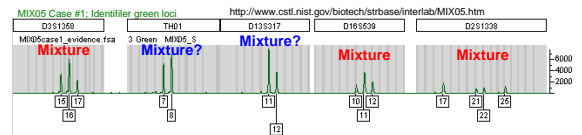
Mixtures: Issues and Challenges

- Artifacts of PCR amplification such as stutter products and heterozygote peak imbalance complicate mixture interpretation
- Thus, only a limited range of mixture component ratios can be solved routinely

Mixtures: Issues and Challenges

From J.M. Butler (2005) *Forensic DNA Typing, 2nd Edition*, p. 155

- The probability that a mixture will be detected improves with the use of more loci and genetic markers that have a high incidence of heterozygotes.
- The detectability of multiple DNA sources in a single sample relates to the ratio of DNA present from each source, the specific combinations of genotypes, and the total amount of DNA amplified.
- Some mixtures will not be as easily detectable as other mixtures.



Two Parts to Mixture Interpretation

- Determination of alleles present in the evidence and **deconvolution of mixture components** where possible
 - Many times through comparison to victim and suspect profiles
- Providing some kind of statistical answer** regarding the weight of the evidence
 - There are multiple approaches and philosophies

Statistical Approaches with Mixtures

See Ladd et al. (2001) *Croat Med J.* 42:244-246

- Inferring Genotypes of Contributors** - Separate major and minor components into individual profiles and compute the random match probability estimate as if a component was from a single source
- Calculation of Exclusion Probabilities** - CPE/CPI (RMNE) - The probability that a random person (unrelated individual) would be excluded as a contributor to the observed DNA mixture
- Calculation of Likelihood Ratio Estimates** - Comparing the probability of observing the mixture data under two (or more) alternative hypotheses; in its simplest form $LR = 1/RMP$

DNA Advisory Board (DAB) Recommendations on Statistics

February 23, 2000
Forensic Sci. Comm. 2(3); available on-line at
<http://www.fbi.gov/hq/lab/fsc/backissu/july2000/dnastat.htm>

“The DAB finds either one or both PE or LR calculations acceptable and strongly recommends that one or both calculations be carried out whenever feasible and a mixture is indicated”

- Probability of exclusion (PE)
 - Devlin, B. (1992) Forensic inference from genetic markers. *Statistical Methods in Medical Research*, 2, 241–262.
- Likelihood ratios (LR)
 - Evett, I. W. and Weir, B. S. (1998) *Interpreting DNA Evidence*. Sinauer, Sunderland, Massachusetts.

ISFG Recommendations on Mixture Interpretation

July 13, 2006 issue of *Forensic Science International*

Our discussions have highlighted a significant need for continuing education and research into this area.

ELSEVIER
 Forensic Science International 160 (2006) 96–108
 www.elsevier.com/locate/forensi

DNA commission of the International Society of Forensic Genetics:
 Recommendations on the interpretation of mixtures

P. Gill^{a,*}, C.H. Brenner^b, J.S. Buckleton^c, A. Carracedo^d, M. Krawczak^e, W.R. Mayr^f,
 N. Morling^g, M. Prinz^h, P.M. Schneiderⁱ, B.S. Weir^j

^a Forensic Science Service, Trident Court, 2960 Salsford Parkway, Birmingham, UK
^b Forensic Science Group, School of Public Health, University of California, Berkeley, CA 94720-7311, USA

Abstract

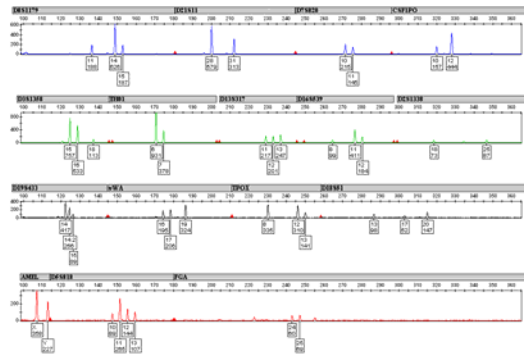
The DNA commission of the International Society of Forensic Genetics (ISFG) was convened at the 21st congress of the International Society for Forensic Genetics held between 13 and 17 September in the Azores, Portugal. The purpose of the group was to agree on guidelines to encourage best practice that can be universally applied to assist with mixture interpretation. In addition the commission was tasked to provide guidance on low copy number (LCN) reporting. Our discussions have highlighted a significant need for continuing education and research into this area. We have attempted to present a consensus from experts but to be practical we do not claim to have conveyed a clear vision in every respect in this difficult subject. For this reason, we propose to allow a period of time for feedback and reflection by the scientific community. Then the DNA commission will meet again to consider further recommendations.

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Keywords: STR typing; Biostatistical analysis; Likelihood ratio; Probability of exclusion; Mixtures; ISFG DNA commission

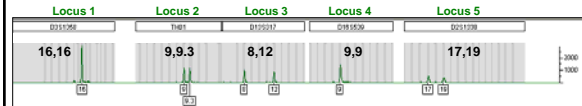
Mixture Interpretation – A Major Challenge...

Not a clear cut answer because DNA result is from multiple contributors



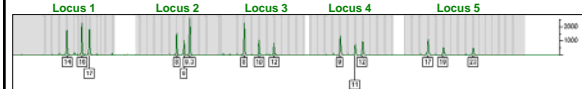
Single Source vs. Mixture Samples

Single Source Sample



One or two peaks observed at each locus (tested DNA region)

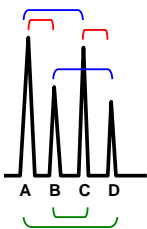
Mixture Sample



More than two peaks observed at more than two loci (tested DNA regions)

Different possible combinations could have given rise to the particular mixture observed

With Some Mixtures, Multiple Genotype Combinations Are Possible

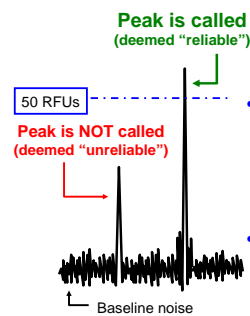


AC
 BD
 AB
 CD
 BC
 AD

Depends on PHR and proportion of mixture components from the various contributors

Peak Height Ratios (PHR)
 Minimum Peak Height (mPH)
 Proportion (p) or mixture proportion (M_x)

Thresholds for Measuring DNA Data



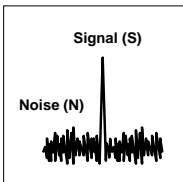
These thresholds for reliable data are determined through validation studies

- **Detection (analytical) threshold**
 - Dependent on instrument sensitivity
 - ~50 RFU (relative fluorescence units)
 - Impacted by instrument baseline noise
- **Dropout (stochastic) threshold**
 - Dependent on biological sensitivity
 - ~150-200 RFU
 - Important in mixture interpretation

STR Data Interpretation Involves Determining What is a True Allele (Peak)

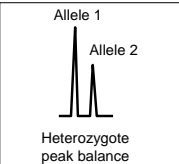
All of these issues impact mixture interpretation

Peak detection threshold



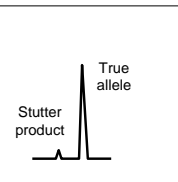
Signal >3x sd of noise (or S/N >3)

Peak height ratio (PHR)



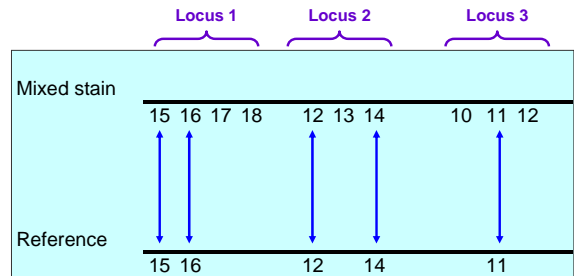
PHRs consistent with single source are typically above 60%

Stutter percentage



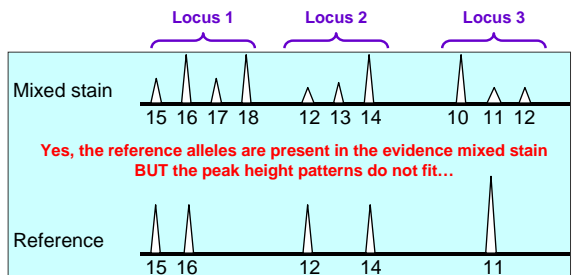
Stutter is usually one repeat position less and <15% than true allele

Mixture Example Comparing Alleles Only



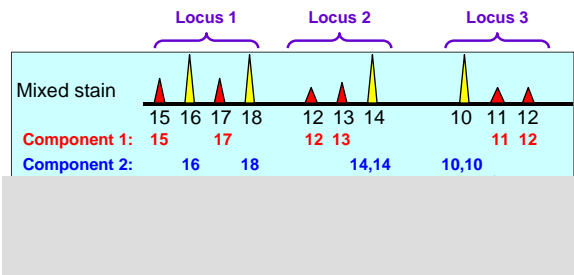
Mixture Example

Showing Importance of Using Peak Height Information



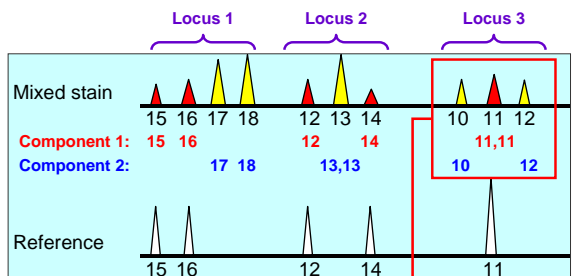
Mixture Example

Solving Components Prior to Comparison to Suspect Reference



Reference (suspect) does not match either component of the mixed stain and therefore could not have contributed to the evidence sample

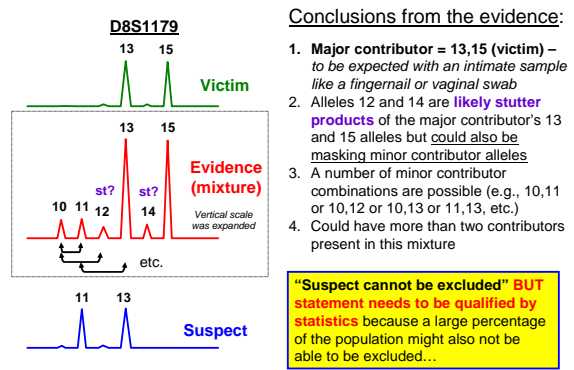
Mixture Example Different Evidence Sample...



Possibilities include
10,10 with 11,12
11,11 with 10,12
12,12 with 10,11

A Mixture Example

That Got the Duke Rape Case Prosecutor in Trouble



Probability of Exclusion Calculation for a Single STR Locus

From VA DFS STR Allele Frequencies
<http://www.dfs.virginia.gov/manuals/manuals.cfm?id=5>

The case may grow stronger against a suspect with information from additional STR loci...

D8S1179 allele	AA (n=384)	C (n=346)	H (n=366)
10	0.0287	0.1069	0.0620
11	0.0495	0.0925	0.0465
12	0.1094	0.1416	0.1093
13	0.2422	0.3093	0.3224
14	0.2969	0.1965	0.2623
15	0.1849	0.0896	0.1202
SUM	0.9115	0.9364	0.9426
Sq SUM = PI	0.8308	0.8769	0.8886
PE = 1-PI	0.1692	0.1231	0.1114
PE (%)	16.9%	12.3%	11.1%
African Am.		Caucasians	Hispanics

"Suspect cannot be excluded" BUT we would expect to see, for example, only 11.1% of Hispanics excluded (or 88.9% cannot be excluded) based on results at this one locus

The fact that in this case a suspect is included is not very informative because ~9 out of 10 people examined from any population could potentially be included in the evidence mixture...

Fox News Atlanta Story

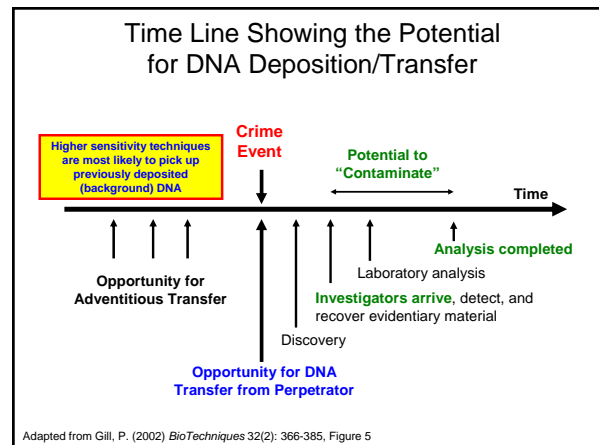
<http://tinyurl.com/MixedSampleDNA>

- I-Team: The GBI and DNA
- Monday, 27 Apr 2009, 7:08 PM EDT
- <http://www.myfoxtatlanta.com/dpp/news/I-Team The GBI and DNA 042709>
- I-Team: The GBI and DNA Part 2
- Tuesday, 28 Apr 2009, 10:50 PM EDT
- <http://www.myfoxtatlanta.com/dpp/news/I-Team The GBI and DNA Pt 2 042809>

Potential Impact of Contamination on Cold Cases or Post-Conviction Testing

From J.M. Butler (2005) *Forensic DNA Typing, 2nd Edition*, p. 154

...if biological evidence from a 20-year old case was handled by ungloved police officers or evidence custodians (prior to knowledge regarding the sensitivity of modern DNA testing), then the true perpetrator's DNA might be masked by contamination from the collecting officer. Thus, when a DNA test is performed, the police officer's or evidence custodian's DNA would be detected rather than the true perpetrator. In the absence of other evidence, the individual in prison might then be falsely declared "innocent" because his DNA profile was not found on the original crime scene evidence. *This scenario emphasizes the importance of considering DNA evidence as an investigative tool within the context of a case rather than the sole absolute proof of guilt or innocence.*



Some Final Thoughts

- "DNA" + "Match" → "Guilty" in the minds of many jurors
- Be careful to state assumptions going into the weight of the evidence particularly for mixtures
- General population (i.e., jury pool) is becoming more informed regarding DNA testing thanks to genetic genealogy and TV shows like CSI
- Low-level DNA recovered from a crime scene may not be relevant to the committed crime

Conclusions

- This is an exciting time to be involved in forensic DNA testing
- However, it is a little scary because technology is advancing so rapidly on some fronts
- Thus, training for both the scientific and legal communities is vital to make the most effective use of the wonderful power of DNA technology

Data is Tabulated

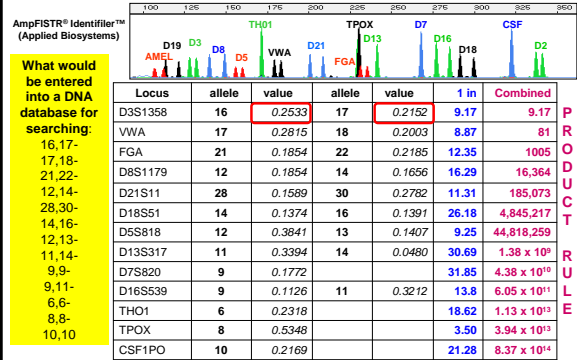
	AMEL	CSF1PO	FGA	TH01	TPOX	VWA	D3S1358	D5S818
Ind(1)	XY	11,12	19,21	6,7	8,8	15,18	14,18	10,13

The number of repeats observed for each locus is tabulated

This data format is stored in databases and used for comparisons/matches

Finally a case report is written based on tabulated STR genotype calls

DNA Profile Frequency with all 13 CODIS STR loci



The Random Match Probability for this profile in the U.S. Caucasian population is **1 in 837 trillion (10¹⁵)**

The Same 13 Locus STR Profile in Different Populations

1 in 837 trillion

1 in **0.84 quadrillion (10¹⁵)** in U.S. Caucasian population (NIST)

1 in **2.46 quadrillion (10¹⁵)** in U.S. Caucasian population (FBI)*

1 in **1.86 quadrillion (10¹⁵)** in Canadian Caucasian population*

1 in **16.6 quadrillion (10¹⁵)** in African American population (NIST)

1 in **17.6 quadrillion (10¹⁵)** in African American population (FBI)*

1 in **18.0 quadrillion (10¹⁵)** in U.S. Hispanic population (NIST)

These values are for **unrelated individuals** assuming no population substructure (using only p² and 2 pq)

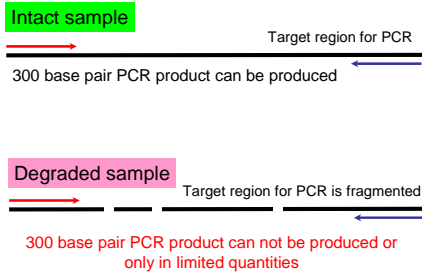
NIST study: Butler, J.M., et al. (2003) Allele frequencies for 15 autosomal STR loci on U.S. Caucasian, African American, and Hispanic populations. *J. Forensic Sci.* 48(4):908-911. (<http://www.cstl.nist.gov/biotech/strbase/NISTpop.htm>)

*<http://www.csfs.ca/pplus/profiler.htm>

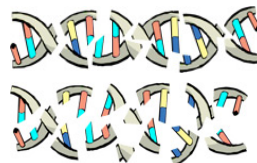
DNA Degradation

- What causes DNA degradation?
 - Heat, humidity, long term exposure to the elements
 - DNA breaks down into small fragments; smaller than the targeted PCR product size
- Mass disasters (aviation, WTC)
- Aged samples (missing persons, remains of soldiers, ancient DNA)

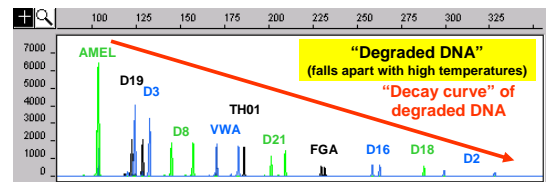
DNA Degradation



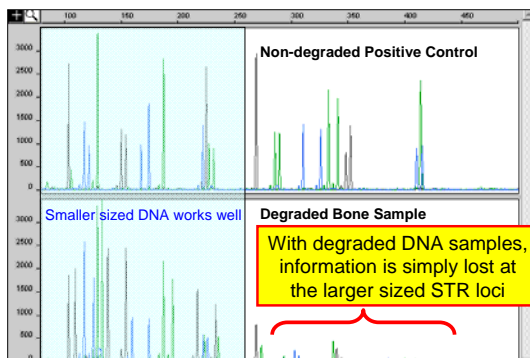
Degraded DNA



Larger segments of DNA cannot be recovered when DNA molecules have fragmented into small pieces (caused by heat, water, or bacteria)



DNA Degradation Means Less Loci Work



Impact of Degraded DNA Samples

- Comparison to a phone number (string of 13 numbers)
001-301-975-4049
- If you only had "4049"...this information would be of limited value since it is not as specific (and could match other phone numbers from different area codes)
- DNA profiles are essentially a string of numbers – **if the DNA is damaged, then the string of numbers is shorter and less informative...**

-----4049 or ---301-9-----

Thank you for your attention...

Questions?

Our publications and presentations are available at:
<http://www.cstl.nist.gov/biotech/strbase/NISTpub.htm>

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