



Quality Division Use Only

Quality Tracking #:	2017-022	Date Quality Division Notified:	4/13/2017
Non-Conformance Level:	Class III	Date Submitted to Management for Review:	5/2/2017
Date Submitted to Quality for Review:	5/5/2017	Dated Closed:	5/5/2017

Date of Discovery:	4/13/2017	Division:	Comparative & Analytical Division
Date of Incident:	4/10/2017	Section:	Controlled Substances

Forensic Case Number(s), if applicable:	Agency Case Number(s), if applicable:
2017-05054	029957617

Description of Discrepancy/Non-conformance. Do not include analysts' names unless otherwise instructed by the Section Manager or Division Director(s):

Case documentation for 2017-05054 was released on March 29, 2017, in response to a subpoena for records. However, the information was released prior to the technical and administrative reviews which are required by laboratory policy. Since the record had not been reviewed, the report included in the release of records was a draft version.

Actions Taken:

The technical and administrative reviews were completed on April 13, the day this error was noted by the section supervisor. The reported conclusions did not change from the previously released draft report and the final version of the reviewed report. At the request of the Controlled Substance section supervisor, Client Services/Case Management personnel notified the requestor that the records provided were not prepared according to the HFSC Quality Manual clause 5.9.5. CS/CM then made another copy of the case documentation, prepared after the reviews were completed, available to the requestor.



Summary of Root Cause Analysis:

Several factors contributed to this nonconformance. Prior to this occurrence, the Section Manager was the primary responsible party for releasing case records. Because the duty was handled by one person, there was no written procedure describing how to complete this task. This is the primary cause of this nonconformance. While the manager was on extended leave, the responsibility for releasing records was handled by the section supervisors. The case record for 2017-05054 was placed on a supervisor's desk along with other case files waiting to be released. Prior to scanning the record, the supervisor did not verify whether the required reviews had been completed.

Additional Information/Follow-Up:

On April 13, 2017, the supervisor verified that the other case records scanned with this one on March 29 were technically and administratively reviewed prior to their release. On April 28, 2017, the Controlled Substance section had a meeting to discuss a formal procedure for handling record requests. This procedure requires the analysts to ensure that case files are technically and administratively reviewed before placing them in a designated area for the release of records. This procedure should prevent a recurrence.

Section Manager: James Miller

Date: 5/3/2017

Division Director: Irma Rios

Date: 5/5/2017

Quality Director: Lori Wilson

Date: 5/5/2017