



**Quality Division Use Only**

Quality Tracking #:	2017-IA-01	Date Quality Division Notified:	1/20/2017
Non-Conformance Level:	Class II	Date Submitted to Management for Review:	4/26/2017
Date Submitted to Quality for Review:	5/5/2017	Dated Closed:	5/5/2017

Date of Discovery:	1/18/2017	Division:	Comparative & Analytical Division
Date of Incident:	1/20/2017	Section:	Controlled Substances

Forensic Case Number(s), if applicable:	Agency Case Number(s), if applicable:
2016-11954 2016-12677	072972116 079049216

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

The Quality Division conducted an internal audit (January-December 2016 timeframe) of the Controlled Substances section during January 2017. One non-conformance was noted during the case file review portion of this audit. For 2016-11954, a controlled substance was reported out but the analytical records did not follow the minimum testing requirements needed to identify an unknown substance per the SOP.

**Actions Taken:**

Evidence for 2016-11954 was recalled, reanalyzed, and the results were consistent with the previously reported results. In addition, the new report was issued and sent to the Harris County District Attorney's Office for notification purposes. As a result of this non-conformance, the Quality Division reviewed a total of 3,061 cases completed by the assigned analyst, cases reviewed by the technical reviewer, and a sample of random cases completed by the whole section to determine if there were any other instances in which results were reported without sufficient documentation to support the reported conclusion. From this case file review, another case (2016-12677) was found



in which the results were reported without sufficient examination documentation to support the identified controlled substance. Evidence from this case was also recalled, reanalyzed, and the results were consistent with the previously reported results. In addition, the new report was issued and sent to the Harris County District Attorney's Office for notification purposes. On February 23, 2017, a Controlled Substances section meeting was held and the staff was notified of the internal audit non-conformance. Also discussed at this meeting was the importance of documenting observations and test results as part of the case file to support conclusions in order to be compliant with the sectional SOP.

**Summary of Root Cause Analysis:**

From the case file review, there were only two instances in which results were reported without sufficient examination documentation to support the identified controlled substance. From these findings, it was concluded with a 95% confidence that the occurrence of this type of error is no more than 2.4 in 1,000 and no less than 2 in 10,000 controlled substances case records. The error rate for this type of error was not statistically significant to warrant further case record review or additional remediation.

**Additional Information/Follow-Up:**

Refer to the "Quality Division Case File Review" report for 2017-IA-01 for more information regarding this case file review and its findings.

**Section Manager:** James Miller

**Date:** 5/2/2017

**Division Director:** Irma Rios

**Date:** 5/5/2017

**Quality Director:** Lori Wilson

**Date:** 5/5/2017