



Quality Division Use Only

Quality Tracking #:	<input type="text" value="2017-IA-12"/>	Date Quality Division Notified:	<input type="text" value="4/11/2017"/>
Non-Conformance Level:	<input type="text" value="Class II"/>	Date Submitted to Management for Review:	<input type="text" value="7/25/2017"/>
Date Submitted to Quality for Review:	<input type="text" value="8/8/2017"/>	Dated Closed:	<input type="text" value="8/9/2017"/>

Date of Discovery:	<input type="text" value="3/28/2017"/>	Division:	<input type="text" value="Crime Scene/Digital and Multimedia Division"/>
Date of Incident:	<input type="text" value="7/21/2016"/>	Section:	<input type="text" value="Forensic Multimedia Unit"/>

Forensic Case Number(s), if applicable:	Agency Case Number(s), if applicable:
2016-23498 2016-19578 2016-13802 2017-01254 2016-04811 2017-03888 2016-05030	150010816 129139716 007954416 161534016 030580516 021268317 035189216

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

The chains of custody for the following cases were missing evidence transfers or had other errors: • 2016-23498 - Chain of custody (COC) for Item 16 was not started in LIMS until 12/13/16 but analysis was started on 12/12/16. • 2016-19578 - Analyst did not take custody of Item 1 in LIMS until completion date. Not in custody at beginning of analysis. • 2016-13802 - COC date (7/14/16) and the submission date (7/13/16 14:23) do not correspond to each other. • 2017-01254 - On 1/23/17 the case notes state that files on CD were transferred to work station #15. However, the COC shows that Item 1 was not in the analyst's custody until 1/24/17. • 2016-04811 - The COC and case documentation do not correlate. • 2017-03888 - COC for Item 2 shows To Archive on 2/24/17 but case notes state it was archived on 2/28/17. • 2016-05030 - The DVR was never in the analyst's custody but was in the custody of another analyst on 8/8/16.

Actions Taken:



The COC was corrected for the following cases: 2016-23498, 2016-19578, 2016-13802, 2017-01254, 2016-04811, and 2017-03888. Additionally, a comment was added to the COC to notate the correction. The comment added was "On [DATE], the LIMS COC was updated to correct the transfer date. The original transfer date was found to be incorrect during the 2017 internal audit" 2016-05030 - The chain of custody is correct in this case. This case was a training case therefore the evidence was in the custody of the trainee instead of the primary analyst. At the time of the audit, the case record did not indicate the case was worked by the trainee which is why the COC was flagged. Because the audit trail was not sufficient to understand who performed the work when looking at the case notes and report, the report was amended. The amendment clearly stated that the analyst in training conducted the work while under the supervision of a senior analyst. This made the case record clear so the COC did not need to be supplemented with a comment. In addition, Administrative/Quality, DVR Extraction, and Scene Response SOPs were revised to clarify and reiterate chain of custody and evidence handling requirements of the HFSC Quality Manual, sectional SOPs, and ISO/IEC 17025. The Quality Division also conducted a Quality Boot Camp to reinforce the necessity for proper chain of custody and evidence handling.

Summary of Root Cause Analysis:

Per the section supervisor, the root cause of this nonconformance is analysts forgot to make the transfers in LIMS at the appropriate times. The error was not caught at technical or administrative review because the chains of custody were not checked against all the submission forms and case notes. Chain of custody documentation requirements are included in the Quality Manual and/or sectional SOPs. Staff members documented a review and understanding of these policies and procedures.

Additional Information/Follow-Up:

This nonconformance was discovered during the 2017 Forensic Multimedia Unit Internal Audit.

Section Manager: Ryan Johnson

Date: 8/4/2017

Division Director: Jerry Pena

Date: 8/7/2017

Quality Director: Lori Wilson

Date: 8/9/2017