



Quality Division Use Only

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| Quality Tracking #: | <input type="text" value="2018-062"/> | Classification: | <input type="text" value="Corrective Action"/> |
| Non-Conformance Level: | <input type="text" value="Class III"/> | Section: | <input type="text" value="Crime Scene"/> |
| Date of Discovery: | <input type="text" value="07/20/18"/> | Date of Incident: | <input type="text" value="07/20/18"/> |

| Forensic Case Number(s), if applicable: | Agency Case Number(s), if applicable: |
|---|---------------------------------------|
| N/A | N/A |

Description of Non-conformance:

Nonconformances were noted during a Quality Division review of an internal proficiency test administered to Crime Scene Investigators (CSIs) by a Crime Scene Unit (CSU) supervisor between May 25 and June 29, 2018. The nonconformances observed involved document control, not following approved methods, and failure to properly document technical/administrative reviews. Specifically, a CSI used an outdated version of the Field Notes form to record proficiency test observations. Additionally, when the supervisor printed the chain of custody (COC) for use in the proficiency test, the issue date and document identifier (ID) were not captured. The COC is a controlled document that is used when CSIs transfer evidence from one individual or location to another. The use of the outdated Field Notes form and the use of the COC with no issue date or document ID is a violation of Quality Manual clause 4.3.2.2. The proficiency packets turned in to Quality did not include documentation that technical and administrative reviews were performed. The tests were not entered into Porter Lee (PL) LIMS like actual cases. The use of PL LIMS would have produced HFSC reports typical of CSU casework and would have captured who performed the review and when the review was completed. This is a violation of Quality Manual clause 5.9.3.1.

Actions Taken:



Two Quality Specialists reviewed all the proficiency test packets to ensure they were administratively complete. A memo was written by the CSU supervisor on July 21, to fully document and explain the nonconformances associated with this proficiency test. The memo documented that the review process used to evaluate each CSI's proficiency test followed the same review process used for actual casework but was documented on a Crime Scene Proficiency Test Score Sheet instead of in LIMS. To determine the extent of COCs printed without the issue date or document ID, seventeen case file packets containing COC forms were reviewed. The issue date and document ID were present on all 17 forms. The COC form used for the proficiency test was printed for the proficiency test around the end of May. It was printed again during the investigation of this nonconformance and the issue date and document ID number were captured when printed. A new version of the Field Notes form was issued in April and CSIs were instructed to remove outdated forms from their supply of printed forms. After the proficiency test was completed, CSIs were again instructed to remove all outdated forms from their personal supplies. Supervisors verified that forms had been removed. The CSI who used the outdated form for the proficiency test verified that her personal supply of printed forms were all current versions. She also verified that the supply of printed forms available for general use were also current versions. The Quality Division provided training to the CSU management team regarding HFSCs quality system. The training included a review of the requirements for document control, technical documentation, nonconforming work, and technical and administrative reviews.

Summary of Root Cause Analysis:

Note: Incidents are documented for tracking purposes and trend analysis. Root Cause Analysis is not required for incidents.

The nonconformance involving the failure to utilize LIMS stemmed from a lack of communication between the supervisor who administered the test to the CSIs and the Quality Division. The Quality Division is responsible for administering the overall proficiency program for HFSC but was not consulted during this test. The nonconformance involving the COC appears to have been an isolated software problem that was not noticed at the time the document was printed. Only one version has been approved with an issue date of February 15, 2018. The approved electronic version contains the correct issue date and document ID. The nonconformance involving the use of an outdated form resulted from the CSI not checking that she was using the current version. The CSI does not remember where she obtained the Field Notes form from but believes she either took it from her own supply of printed forms or from the general use area where additional printed forms are kept. She was instructed to remove outdated forms when the new versions were issued but she acknowledges she may have missed some of the outdated forms.

Additional Information/Follow-Up:

This was the first proficiency test administered to CSU. Since no external providers are available for crime scene proficiency tests, approval was obtained from ANAB on March 19, 2018, to use an internal proficiency test. The CSU supervisor made a proficiency test to evaluate CSIs' abilities to process latent prints, collect DNA, and perform a presumptive test for blood. The supervisor who reviewed the packet for the CSI who used an outdated Field Notes form noted that the wrong form was used but does not remember if this information was communicated to the CSI at the time it was discovered. The supervisor was not aware that a nonconformance workflow should have been initiated through Qualtrax. CSIs maintain a supply of printed forms to expediate their response to crime scene call outs. It is not feasible for CSIs to print new forms from Qualtrax each time they are called to a scene. Until an approved external proficiency test provider is available, CSU proficiency tests will be administered by CSU



management. The Quality Division will work with CSU to ensure that proficiency requirements described in the Quality Manual are met. This should prevent a recurrence of this nonconformance. At the time of this nonconformance, the CSU was not accredited but was attempting to follow the requirements stated in the HFSC Quality Manual.

Section Manager: Domingo Villarreal

Date: 08/23/18

Division Director: Jerry Pena

Date: 08/28/18

Incidents or Corrective Actions that involve the Biology/DNA section are reviewed by the Technical Leader and CODIS Administrator.

Technical Leader: N/A

Date: N/A

CODIS Administrator: N/A

Date: N/A

Quality Director: Lori Wilson

Date Closed: 08/28/18