



Quality Division Use Only

Quality Tracking #:	<input type="text" value="2018-IA-35"/>	Classification:	<input type="text" value="Corrective Action"/>
Non-Conformance Level:	<input type="text" value="Class II"/>	Section:	<input type="text" value="Forensic Multimedia Unit"/>
Date of Discovery:	<input type="text" value="02/19/18"/>	Date of Incident:	<input type="text" value="02/19/18"/>

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

Description of Non-conformance:

The Administrative Quality SOP requires management approval before new software versions can be used on casework. The SOP does not require notification to analysts who will be using the software on casework. Management review is documented but staff review and/or notification is not documented. Section management could not produce documentation showing the information was communicated to analysts.

Actions Taken:

The Administrative Quality SOP was revised. Statement 1.6 was amended to clarify how approval will be documented and how FMU staff will be notified when a new software version can be used on casework.



Summary of Root Cause Analysis:

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

The Forensic Multimedia Unit (FMU) did not have written procedures for how approved validations are communicated to staff. Section management does not consider staff notification part of the validation approval process.

Additional Information/Follow-Up:

Validations are approved by section management and the quality director through Qualtrax. However, per interviews with staff during the 2018 FMU internal audit, staff stated they are typically made aware of validations through word of mouth from the manager or other analysts. There was no documentation to indicate how or even if non-management staff are made aware of newly approved validations.

Section Manager: Ryan Johnson

Date: 7/04/2018

Division Director: Jerry Pena

Date: 06/27/18

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: 07/05/18