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Corrective Action Request

CAR#: 19-001

To initiate a CAR, complete section I and return to the Quality Manager.

Section I.

Originator: QM Wallace L Moore

Date: 01/24/19

State the nature of problem (or nonconformity or potential problem)

During a routine review of Latent Evidence case files by the Quality Manager it was discovered that multiple latent personnel had omitted the FS1 Request form on cases where they were the collector and submitter of the article to be tested and analyzed for Latent evidence. QSP 5-08-1 Handling of Test Items procedure requires all test items to be accompanied by a FS1 Request. The personnel performing authorized testing on items they have submitted from a crime scene shall document on an FS1 Request form the items and the testing they will be performing.

Section II.

The Quality Manager will assign a unique CAR# (upper right of this form) and record it in the CAR/NCR log. The Quality Manager will designate a person responsible to investigate the root cause of the problem and identify an appropriate response date. The Quality Manager will sign and date this section.

Person responsible for investigating problem: Wallace L Moore

Response required by: 02/28/19 [1 week from date of issue if easily corrected]
[1 month from date of issue if more involved]

Quality Manager: Wallace L Moore

Date: 01/29/19

Section III.

The person responsible for investigating the problem will complete section III. This will (1) identify what caused the problem, and (2) detail a plan of action. This person will then sign-off, date, and re-submit this form to the Quality Manager.

Root cause?

Latent Analyst performs dual roles at the agency, crime scene investigation and laboratory analysis. When functioning as crime scene investigators the analyst maintains continuous custody of the collected scene evidence until all testing is concluded that is performed by this lab. They are by policy and procedure authorized to approve the suitability of the requested testing (FS1 Form function). In these cases there was a

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misunderstanding by some analysts of the complete purpose of the FS1 according to ISO standards and Laboratory Policy and Procedure. The analysts viewed the FS1 form only as an external customer request. The FS1 form is not only a request for services it is also documentation that provides detailed information as to the evidence collected, test being requested and pertinent information needed to complete a laboratory report. This information is also utilized by technical and administrative reviewers when evaluating the quality of the work performed in accordance with laboratory policy and procedures. For the cases involved in this CAR, the technical reviewer was marking the case review sheet section on FS1 as N/A. This documentation cannot be omitted as our clients and other authorized persons may have to evaluate the entire process.

Plan of Action:

- All cases from April 1, 2018 till present in which Latent Analysts collected evidence at the scene and was the submitter of such evidence shall be reviewed to determine if the FS1 was required and if so was completed. This will be completed by query in RMS records management system of the seized items by the Latent Analyst whom would have been in the position to be responsible for the collection and submittal of evidence from the scene. The Quality Manager will assure completion of this task.
- Once these cases are identified, the FS1 shall be completed and attached to the master case file where testing was performed. The Latent Technical Leader shall assure completion of this task.
- All Latent Analysts shall review QSP 5-8-1 Handling of Test Items, QSP 5-9-4 Administrative and Technical Reviews, QSP 4-4-1 Review of Requests and also review the email containing the generated training document generated to prompt questions, concerns, solutions or suggestions. Acknowledgement sheets will be signed during the training seminar.
- A training seminar will be completed to review and explain the procedures more clearly. The Quality Manager will assure completion of this task.
- Latent Evidence case files will be monitored to ensure that the FS1 accompanies any test item submitted for testing under the scope of testing the laboratory conducts. The monitoring will be conducted for a period of one month beginning 1/29/19 and conducted by the Latent Evidence Technical Leader.

Sign-off: Wallace L Moore

Date: 01/29/19

Section IV.

If Plan of Action pertains to the Quality System, the Quality Manager will approve the plan and take action. If Plan of Action pertains to operations, the plan is forwarded to the Technical Leader for approval. The Technical Leader will approve the plan or decide on an alternative arrangement. If necessary, the Technical Leader will identify a person to take action on the above plan.

Comments/Suggestions:

This CAR affects the lab wide procedure of test item handling. Latent Analysts are the only personnel conducting crime scene work and retrieving evidence for submission to the laboratory. Therefore, Latent case work in which the analysts retrieves and submits evidence shall be reviewed for a period of one month beginning 1/29/19 to assure the FS1 form is completed and added to the case file. This review will be conducted

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by the Technical Leader for Latent Evidence.

Person responsible for action: Robert Armstrong

Target completion date: 02/28/19 [1 week from section III date if easily corrected]
[1 month from section III date if more involved]

Technical Leader / Quality Manager: Wallace Moore Date: 02/28/19

Section V.

The person responsible for action will complete section V. This person will then sign-off, date, and re-submit this form to the Quality Manager.

Action Taken:

Query RMS to determine specific cases that are relevant to this CAR. ^{WLM} wlm (See Attached)
Cases were Reviewed and F3-1's Placed in each of the mention
Case Files RM

Sign-off: 

Date: 2/28/19

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Section VI.

This section is completed by the Quality Manager/Technical Leader.

Final Resolution

1. Did action correct the problem? Yes
2. Was action taken a temporary or permanent action? Permanent
3. Was corrective action closed? Yes
4. Date corrective action closed. 2/28/19
5. Was effectiveness verified? Yes
6. Date effectiveness verified. 2/27/19

Comments/Suggestions:

TL HAS MONITORED ALL CASE FILES FOR TIME PERIOD
STATED WITH NO OVERSIGHTS NOTED.

QM/TL: W. H. Smith

Date: 3-3-19

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Specific Cases found in RMS

Fedash

- 2018-02944
- 2018-04990
- 2018-06410
- 2018-02924

Massey

2018-04056