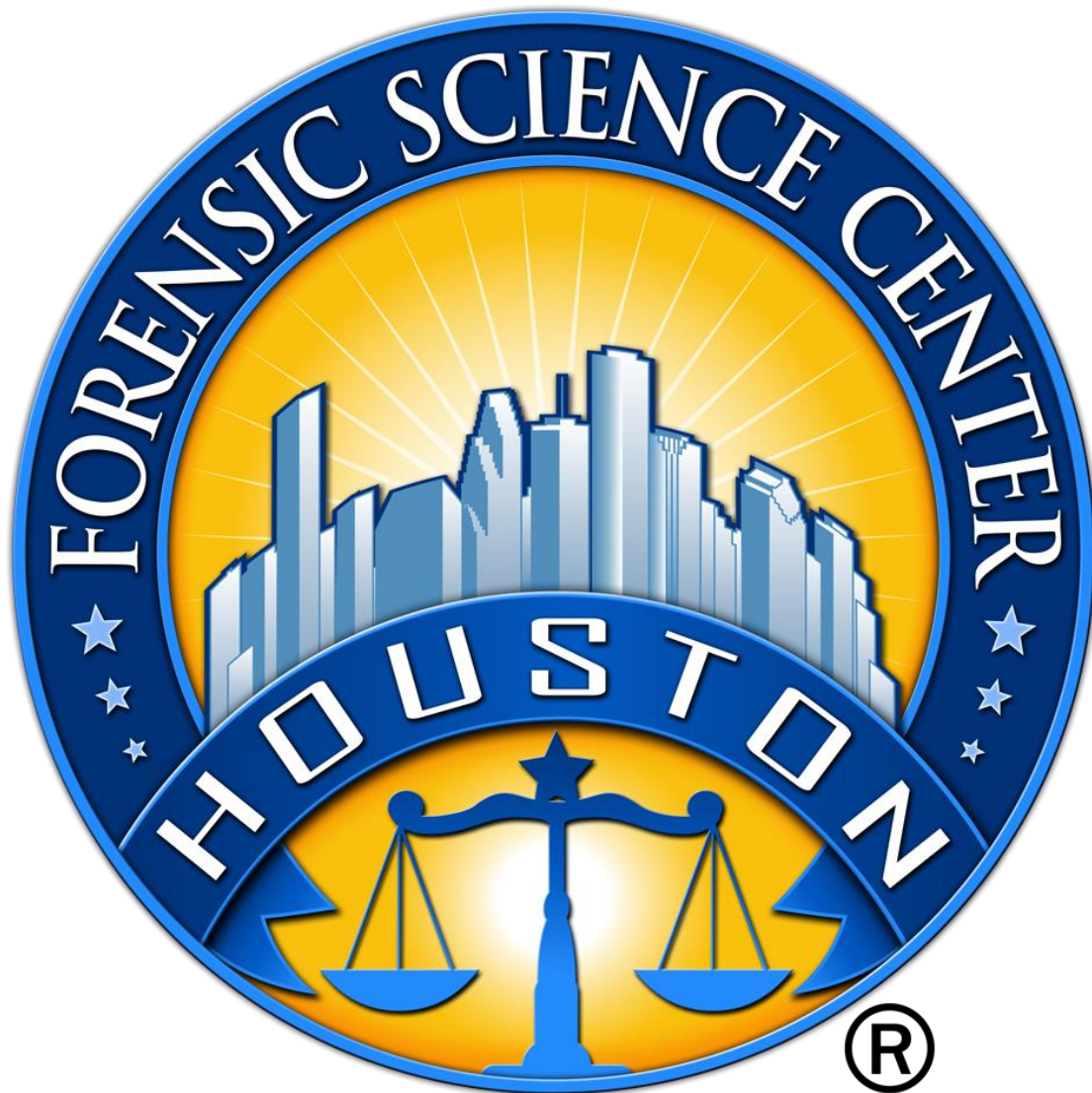


Houston Forensic Science Center, Inc.

Board of Directors Meeting

November 8, 2017



HOUSTON FORENSIC SCIENCE CENTER, INC.

NOTICE OF PUBLIC MEETING

November 8, 2017

Notice is hereby given that beginning at 9:00 a.m. on the date set out above, the Board of Directors (the "Board") of the Houston Forensic Science Center, Inc. (the "Corporation") will meet in the Council Annex Chambers, 900 Bagby St. (Public Level), Houston, Texas 77002. The items listed below may be taken out of order at the discretion of the Chair and any items listed for closed session may be discussed and/or approved in open session and vice versa as permitted by law.

AGENDA

1. Call to Order.
2. Roll call; confirmation of presence of quorum.
3. Reading of draft Minutes of previous meetings (October 13, 2017); consideration of proposed corrections, if any; approval of Minutes.
5. Public Comment.
6. Chair's Report.
7. Report from President and CEO.
8. Discussion and update on LIMS progress from Director of Information Strategy.
9. Discussion of operations report from Vice President and COO.
10. Treasurer's Report.
11. Report from Ms. Lori Wilson regarding quality assurance.
12. Executive session for Consultation with Attorney and Deliberation Regarding Real Property, and possible related action.
13. Reconvene in Open Meeting.
14. Adjournment.

–NOTICE REGARDING SPECIAL NEEDS –

Persons requiring accommodations for special needs may contact the HFSC at 713-929-6760 to arrange for assistance.

–NOTICE REGARDING PUBLIC COMMENT –

Members of the public may address the Board during the "Public Comment" segment of the meeting. Each speaker should limit his or her comments to three minutes. The Chairman may limit both the number of speakers and the time allotted for each speaker. A speaker may address any subject relevant to the purpose of the Corporation; however, under Texas law the Board may not respond to or otherwise discuss a subject not listed on the Agenda set out above. (Exception: The Board may discuss a proposal to place a subject on the agenda for a future meeting.) A speaker who plans to submit a document for the Board's consideration should provide at least ten copies of the document, each marked with the speaker's name.

– NOTICE REGARDING CLOSED MEETINGS –

As authorized by Texas Government Code Chapter 551.001 (the "Open Meetings Act"), if, during the course of the meeting covered by this Notice, the Board should determine that a closed or executive meeting or session of the Board should be held or is required in relation to any items included in this Notice, then such closed or executive meeting or session as authorized by Section 551.001 et seq. of the Texas Government Code (the Open Meetings Act) will be held by the Board at that date, hour and place given in this Notice or as soon after the commencement of the meeting covered by the Notice as the Board may conveniently meet in such closed or executive meeting or session concerning any and all subjects and for any and all purposes permitted by Section 551.071-551.089, inclusive, of the Open Meetings Act, including, but not limited to:

Section 551.071 - Consultation with Attorney

Section 551.072 - Deliberation Regarding Real Property

Section 551.073 - Deliberation Regarding Prospective Gift

Section 551.074 - Personnel Matters

Section 551.076 - Deliberation Regarding Security Devices

Section 551.084 - Exclusion of Witness

Section 551.087 - Economic Development Negotiations

The presiding officer shall announce that the Board will convene in a closed meeting; that is, in "a meeting to which the public does not have access," sometimes known as an "executive session." The presiding officer's announcement will identify the provision(s) of the Open Meetings Act permitted by Section 551.071-551.089 under which the closed meeting will be held. Should any final action, final decision, or final vote be required in the opinion of the Board with regard to any matter considered in such closed or executive meeting or session, then such final action, final decision, or final vote shall be at either:

A. The open meeting covered by this Notice upon the reconvening of the public meeting,

or

B. At a subsequent public meeting of the Board upon notice thereof, as the Board shall determine.

**Certification of Posting of Notice of the Board of Directors ("the Board) of the
Houston Forensic Science Center, Inc. (the "Corporation)**

I, Jordan Benton, Coordinator of Board Relations and Executive Administration, do hereby certify that a notice of this meeting was posted on Friday, the 3rd day of November, 2017 in a place convenient to the public in the Council Annex Chambers, 900

Bagby Street. (Public Level), Houston, Texas 77002, and on the HFSC website as required by Section 551.002 et seq., Texas Government Code.

Given under my hand this the 3rd day of November 2017.

Jordan Benton

Houston Forensic Science Center, Inc.

MEETING OF BOARD OF DIRECTORS

MINUTES

October 13, 2017

The undersigned, being the duly appointed secretary of the Houston Forensic Science Center, Inc., (the "Corporation") hereby certifies the following are true and correct minutes of the October 13, 2017 meeting of the Board of Directors (the "Board") of the Corporation.

- A. In a manner permitted by the Corporation's Bylaws, the meeting was called by providing all directors with notice of the date, time, place and purposes of the meeting more than three days before the date of the meeting.
- B. In accordance with Chapter 551, Texas Government Code, made applicable to the Corporation by Section 431.004, Texas Transportation Code, a notice of the meeting was duly filed on October 10, 2017, in the same manner and location as required by law of the City of Houston, Texas (the "City").
- C. The meeting was called to order by Nicole B. Cásarez, Board chairwoman, at approximately 9:02 a.m. on Friday, October 13, 2017, in the Council Annex Chambers, 900 Bagby St. (Public Level), Houston, Texas 77002.
- D. Ms. Jordan Benton called the roll. The following directors were present: Nicole B. Cásarez, Anthony Graves, Francisco G. Medina, Janet Blancett, Chief Mary Lentschke, Sandra Guerra Thompson.

The following directors were absent: David M. Feldman, Dr. Robert "Bob" H. McPherson, Dr. Stacey A. Mitchell and Tom P. Allen (ex-officio).

Chairwoman Cásarez declared a quorum was present.

- E. Chairwoman Cásarez nominated Jordan Benton as secretary of the Corporation during the next fiscal year or until she is no longer employed by the Corporation. Chief Lentschke seconded the motion. The motion passed unanimously.
- F. Dr. McPherson joined the meeting at approximately 9:06 a.m.
- G. Chairwoman Cásarez noted a draft of the minutes of the Corporation's meeting on August 11, 2017 had been distributed to the Board. Ms. Blancett made a motion to approve the minutes. Mr. Medina seconded the motion. The motion passed unanimously and the minutes were adopted.
- H. Chairwoman Cásarez asked if any members of the public wished to address the Board. She noted that no one asked to address the Board, and the meeting continued.

- I. Chairwoman Cásarez provided a chair's report. Chairwoman Cásarez reviewed the effects of Hurricane Harvey on HFSC staff, Board members, the lab's turnaround times and production. Chairwoman Cásarez noted the Innocence Project of New York had written a blog post praising HFSC for its ability to preserve evidence from damage during the hurricane. She said Sarah Chu, a senior forensic policy analyst with the Innocence Project, had personally emailed her the blog post and praised the lab for its work. Ms. Cásarez thanked Baylor College of Medicine for allowing HFSC to use their facilities free of charge for two National Forensic Science Week events in September. Chairwoman Cásarez noted that former Texas State Sen. Wendy Davis and State Rep. Donna Howard participated in two of the events. Chairwoman Cásarez thanked Dr. McPherson for his help on HFSC's annual financial audit. Finally, Chairwoman Cásarez thanked City of Houston Councilmember Jack Christie for finding funds for the lab to purchase a new robot for the toxicology section that will cut 8-10 hours of production time by more efficiently identifying drugs in biological samples. Councilmember Christie addressed the board and thanked HFSC for its work.
- J. Dr. Peter Stout, president and CEO, provided the president's report. Dr. Stout reviewed the lab's overall turnaround time (TAT) and requests received for the month. He also discussed remaining backlogs in latent prints and forensic biology. He noted that HFSC had been awarded two grants. Dr. Stout said Dr. Dayong Lee, HFSC's toxicology section manager, and Ms. Alicia Rairden, a research and development specialist, had research published in scientific journals. Dr. Stout provided an overview of outreach activities in September, including the CSI Academy graduation, National Forensic Science Week activities and a visit by attorneys from Japan. Dr. Stout said he talked to a community group about the opioids. Rep. Howard also toured the lab. Dr. Stout reviewed Harvey's impact on the staff and facilities, and thanked the Crime Scene Unit for protecting the lab from significant damage. Dr. Stout added Ms. Vanessa Fonte is now a certified property and evidence specialist, and Ms. Paula Evans, Ms. Robin Guidry, Ms. Courtney Head, Dr. Amy Castillo and Ms. Jennifer O'Callaghan are certified six sigma green belts. HFSC has 188 staff, among them 18 COH civilians and 12 classified officers.
- K. Mr. Darrell Stein, director of information strategy, gave an update on LIMS. He noted that December 4, 2017 is the expected go-live date for the new system. He said HFSC staff are testing the system to ensure optimal operation, and HFSC is working with a vendor to customize reports. Mr. Stein said a LIMS portal is being developed to make internal and external LIMS usage easier; it is expected to come online in the first quarter of 2018.
- L. Dr. Amy Castillo, COO and vice president, provided the monthly operations report. She reviewed each section's average TAT scorecards, updates and staff changes. Dr. Castillo commended Mr. James Miller, controlled substances section manager, for implementing a plan that will assist District Attorney Kim Ogg with her efforts to combat jail overcrowding following Hurricane Harvey. Under the new plan, evidence is dropped off in the lab twice a week instead of once, cutting an average of seven days from the section's TAT. Dr. Castillo thanked the client services/case management (CS/CM) division for helping make the plan successful. Dr. Castillo also acknowledged Councilmember Christie's purchase of the new

robot for the toxicology section.

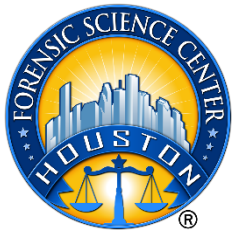
- M. Mr. Leach, treasurer and CFO, presented a treasurer's report. He reported the findings of the annual audit, and thanked the finance division for working with the audit team. Mr. Leach reviewed HFSC's financial data, including grants, and costs for personnel, supply, consulting and services. Mr. Leach said HFSC had received \$10,000 from insurance to fix minor storm-related damage in the lab.
- N. Chairwoman Cásarez said agenda item 11 had been removed from consideration at this meeting.
- O. Ms. Lori Wilson, quality director, gave an update for September 2017. Ms. Wilson reviewed transcript reviews, proficiency and blind testing, incidents and corrective actions and testimony monitoring. She said HFSC disclosed to the Texas Forensic Science Commission about a false exclusion in the latent prints section. Ms. Wilson said HFSC had met its minimum accreditation standards and requirements during the annual ANAB desk audit. She noted that a few corrective actions had resulted from the annual internal audit of the forensic biology section. The audio/video unit also had an annual evidence audit.
- P. Dr. Stout asked for board authorization to approve up to a \$300,000 contract with Catapult, the vendor developing a portal for external users of the new LIMS. Dr. McPherson moved to grant Dr. Stout the requested authority. Vice Chairwoman Thompson seconded the motion. The motion passed unanimously.
- Q. Pursuant to Section 551.071, consultations with attorney, and Section 551.072, discussion regarding real property, of the Texas Government Code, the Board went into executive session at approximately 10:32 a.m. HFSC's general counsel, Ms. Renee Byas, Dr. Stout, Dr. Castillo and Mr. Charles Evans, director of business development, were present with board members during the executive session.
- R. The executive session concluded at approximately 11:34 a.m. The meeting reconvened in open session. The Board took no action with respect to matters discussed in executive session.
- S. Vice Chairwoman Thompson motioned to adjourn the meeting and Ms. Blancett seconded. With no objections, the meeting ADJOURNED at 11:34 a.m.

By: _____

Jordan Benton Secretary

President's Report

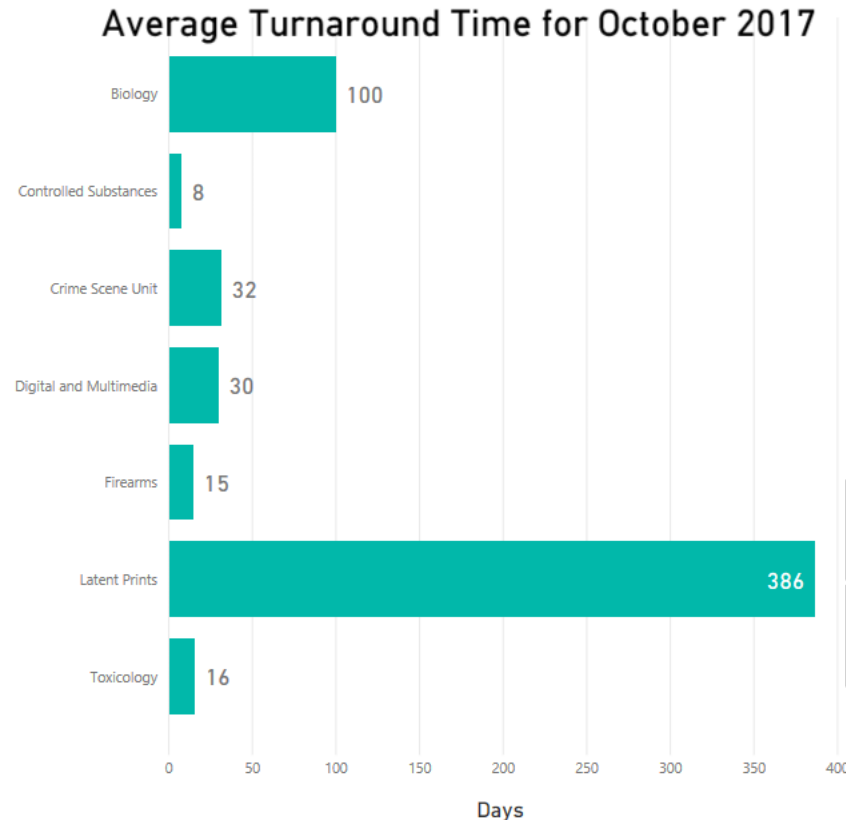
November 8, 2017



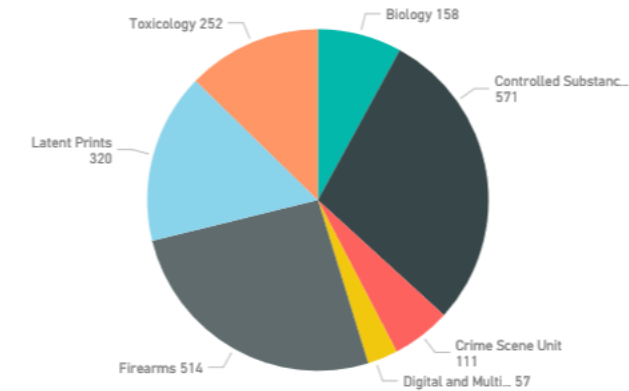
HFSC at a glance:

- October 31: Backlogs >30 days

- Latents: 2,621
- Biology: 731
 - SAK >30 day = 85
 - SAK >30, <60 = 61
 - ALL in progress



Requests Completed by Section



Turnaround Time - Days
81

Completed Requests
1983

Month Completed

- 01-January
- 02-February
- 03-March
- 04-April
- 05-May
- 06-June
- 07-July
- 08-August
- 09-September
- 10-October
- 11-November

Year Completed

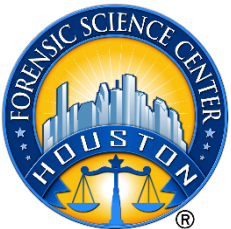
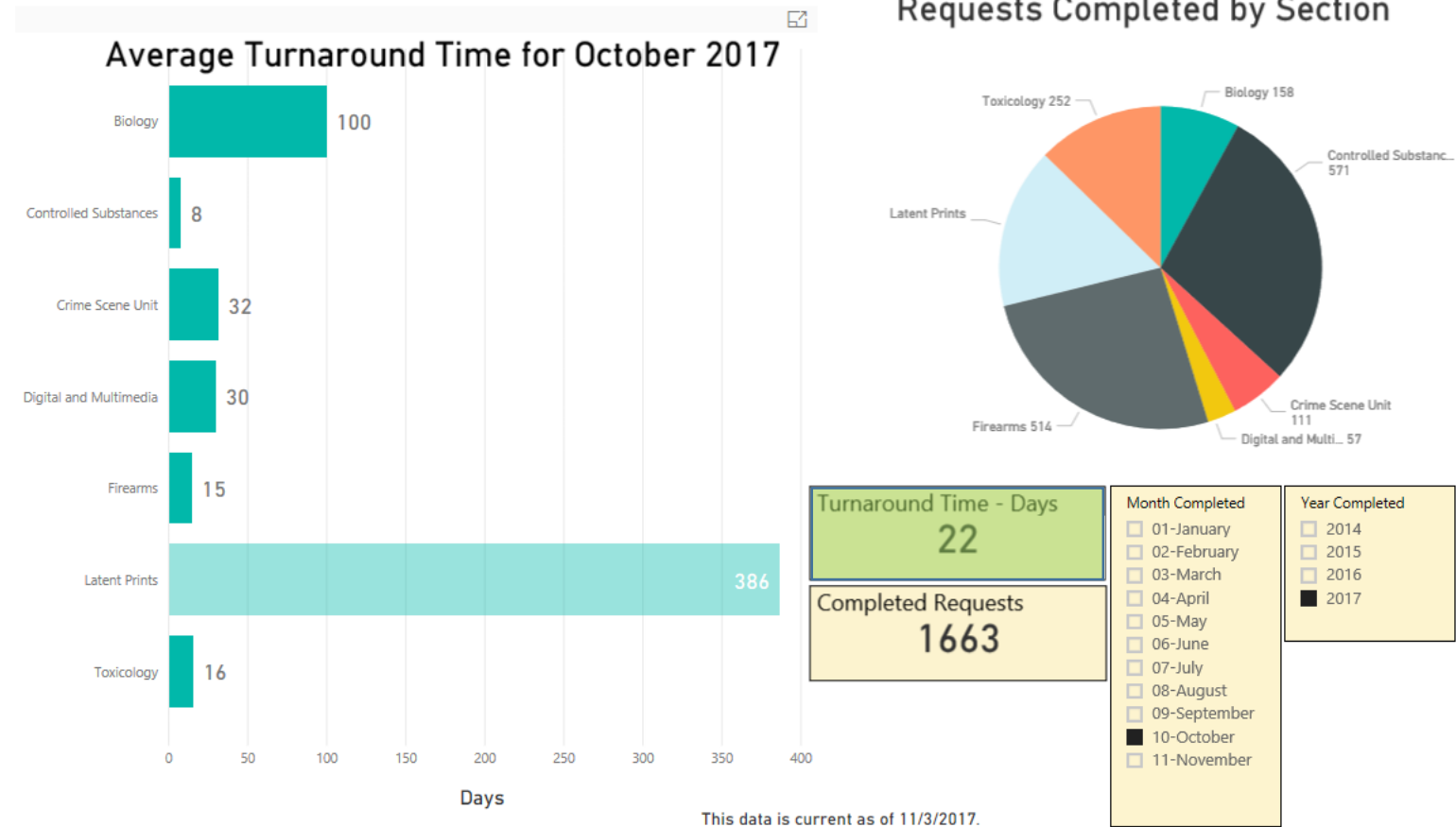
- 2014
- 2015
- 2016
- 2017

This data is current as of 11/3/2017.



HFSC at a glance (without latents):

- October 31: Backlogs >30 days
 - Latents: 2,621
 - Biology: 731
 - SAK >30 day = 85
 - SAK >30, <60 = 61
 - ALL in progress
- 86 percent of work done in an average of 23 days



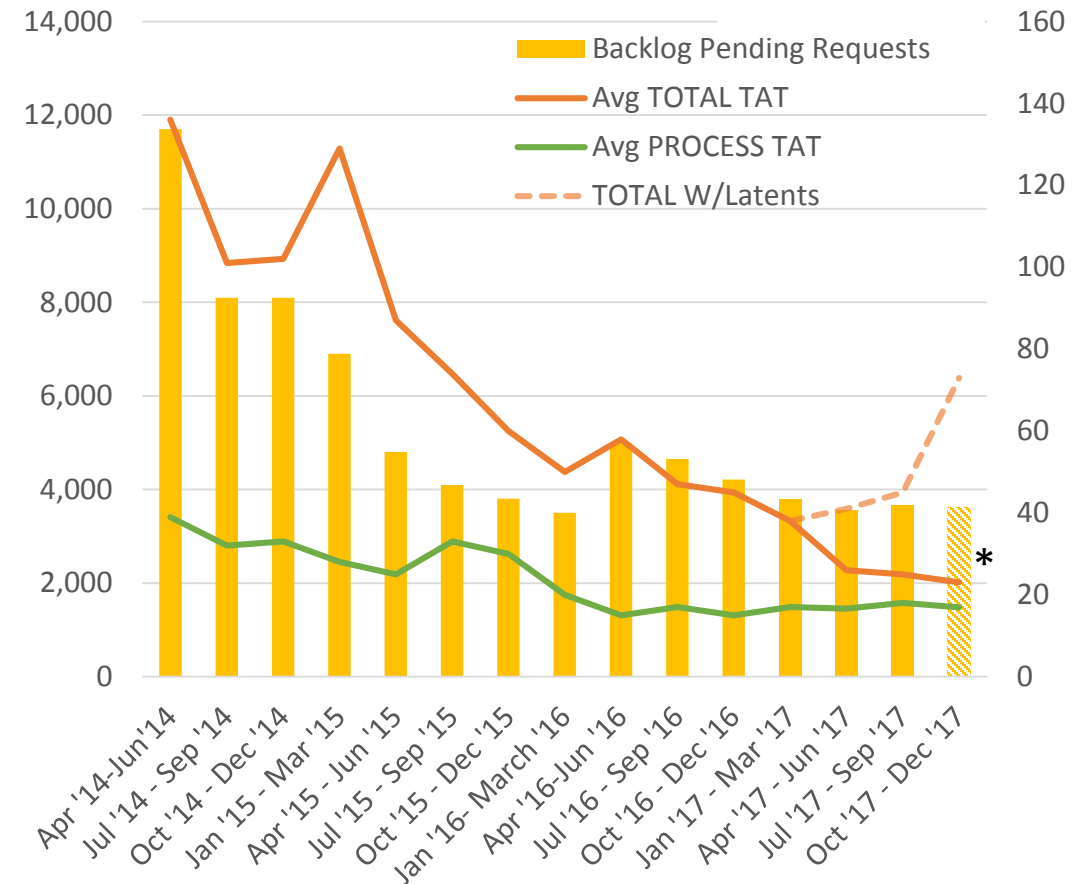
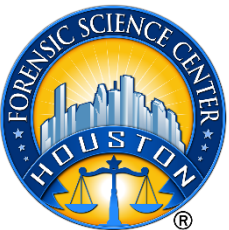
From the start of HFSC

↓ 83%* in Avg TOTAL turnaround time

↓ 69% in backlogged requests

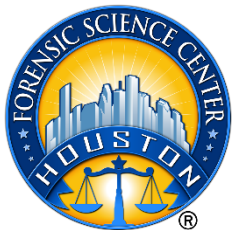
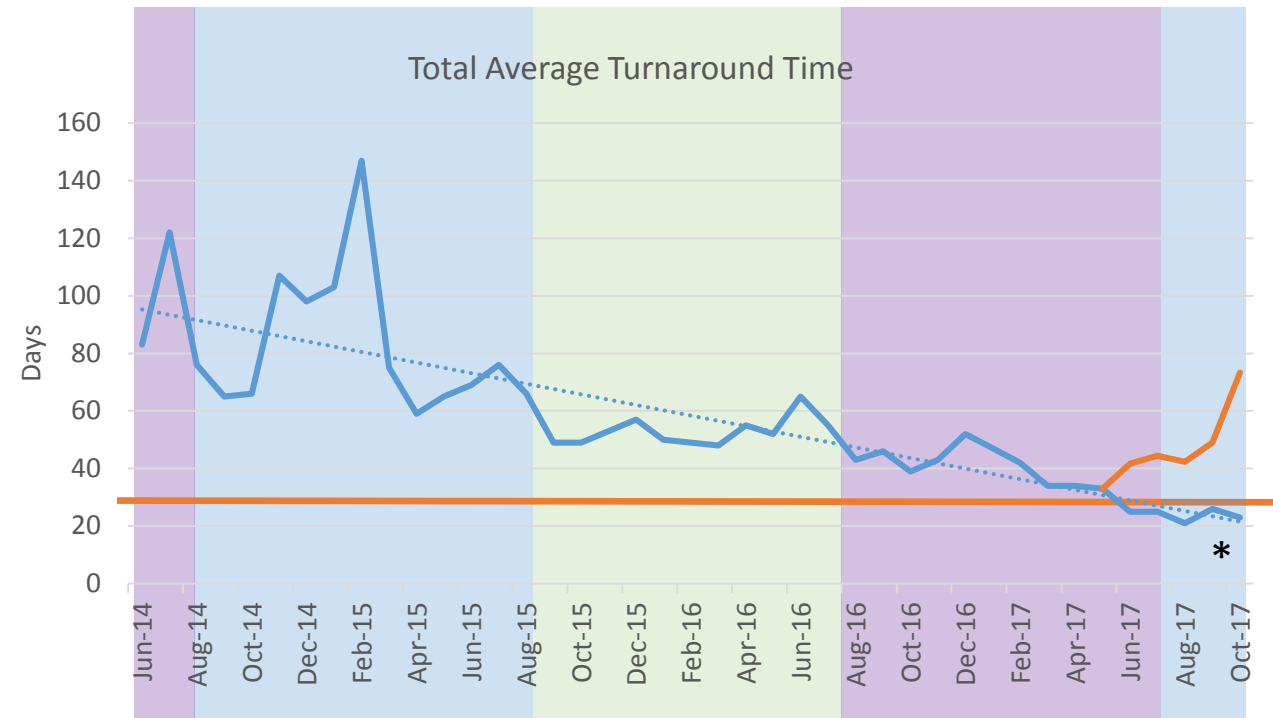
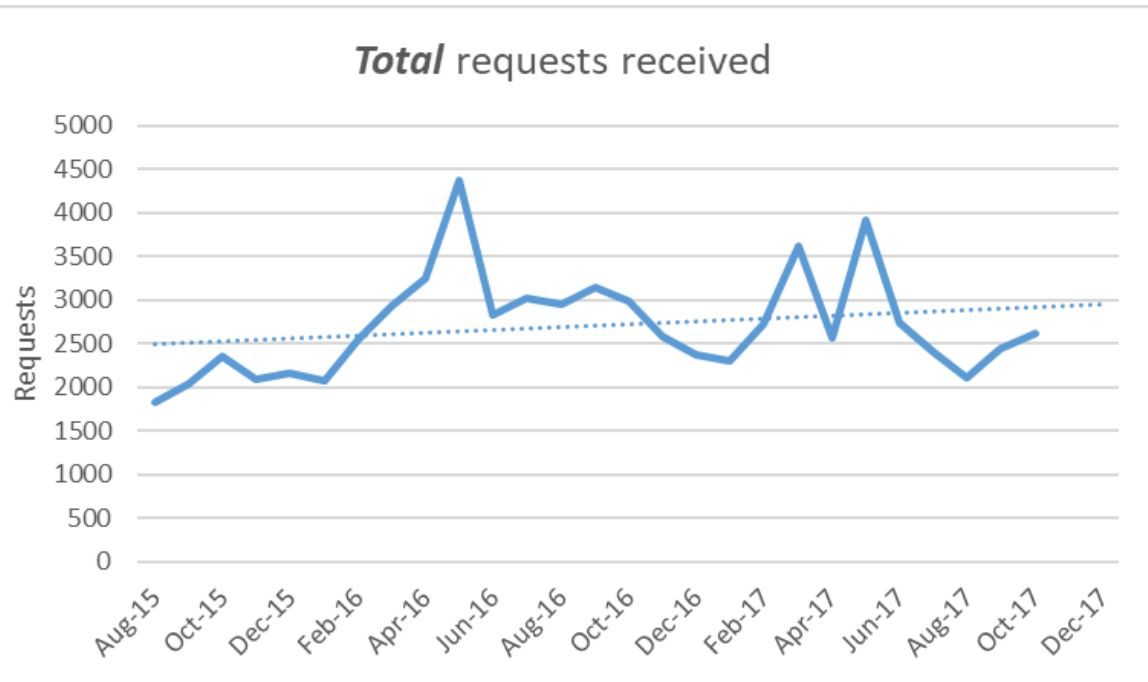
↓ 57%* in Avg PROCESS turnaround time

↓ 93%* in WAIT gap



* Total turnaround time calculation affected by latent backlog cases. Calculated without latent prints

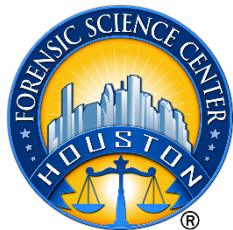
Requests received



* Total turnaround time calculation affected by latent backlog cases;
Calculated without latent prints

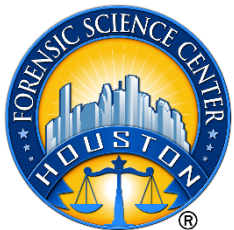


Latent prints: Halloween costume winners as the “BACK LOG”



Outreach

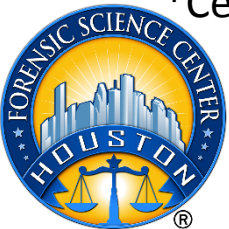
- Dr. Itiel Dror: cognitive bias workshop for CSU and all staff
- Sam Houston State University tour of innovation center, possible collaboration
- Mayor Sylvester Turner toured lab along with HPD chief Art Acevedo



Certifications

- **Marissa Noel** - *Basic Property/Evidence Technician Certification**
- **Demetria Segura** - *Intermediate Property/Evidence Technician Certification**
- **Rita Sanchez** - *Intermediate Property/Evidence Technician Certification**
- **Aimee Grimaldi**- *Certified Six Sigma Green Belt by ASQ (ASQ SSGB)*

*Certifications awarded by the Texas Association of Property and Evidence Inventory Technicians (T.A.P.E.I.T.)

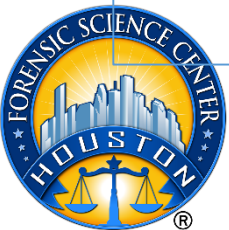


Staffing – October 31, 2017

- 190 staff
 - 17 COH civilians
 - 12 COH classified
 - 161 HFSC
- 15 open positions; 8 offers accepted
- Start dates after October 31
 - 3 forensic analysts – FBIO
 - 1 forensic analyst – Multimedia*
 - 2 forensic analyst – Toxicology
 - 1 latent print examiner
 - 1 NIBIN technician

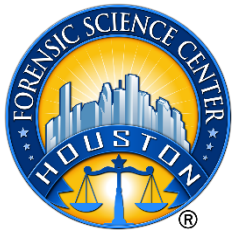
* Replaces position vacated in Digital Forensics

- 9 vacancies
 - 1 Client Services/Case Management specialist
 - 1 firearms examiner
 - 2 forensic analysts – FBIO
 - 1 logistics specialist
 - 2 IT systems support specialists
 - 2 supervisors - CSU



LIMS report

November 8, 2017



Major Initiatives -- LIMS

Go-live date: November 14

- Digital Forensics and Latent Prints
- Phasing in remaining disciplines
- All disciplines using JusticeTrax by January 2018

Updates:

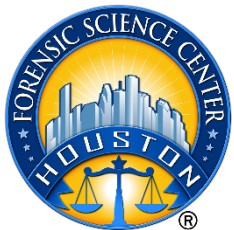
- LIMS portal:
 - Completed phase I of the process
 - Prototype of new interface delivered
 - Will go-live with current portal until custom portal is in place (est. delivery is Feb. 2018)

Current tasks:

- Testing data migrated from current LIMS
- Analytical report development: JusticeTrax
- Testing and troubleshooting workflows

Next steps:

- Build dashboard connections and reports
- Management reports
- Continued acceptance testing of interfaces and reports





Welcome

Search for an incident

Begin a new lab request or view the status of previously submitted requests.

Resources

[Links to any other labs](#)
[Links to any additional agencies](#)
[Links to important legal publications](#)
[Links to important policies or guidelines](#)

etc...



Forensic Audio / Video

Responsible for the scientific examination and analysis of digital and multimedia evidence. Analysts process analog and digital recordings to access intelligible content. [Learn more](#)



My Tasks

You have 2 requests that need additional information to be processed.

[View notifications](#)

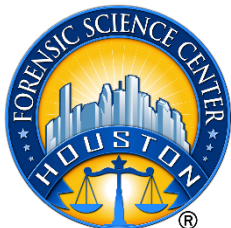
There are 3 saved requests that need to be completed.

[View your saved requests](#)

Important Information

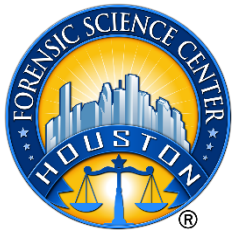
The LIMBS Portal will be down for scheduled maintenance between 12 a.m. and 2 a.m. on Sunday, October 29, 2017.

If you need assistance with the portal, please contact (713)929-6760.



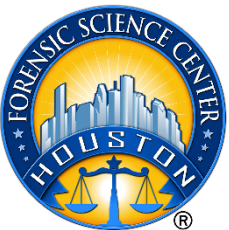
Operations report

November 8, 2017



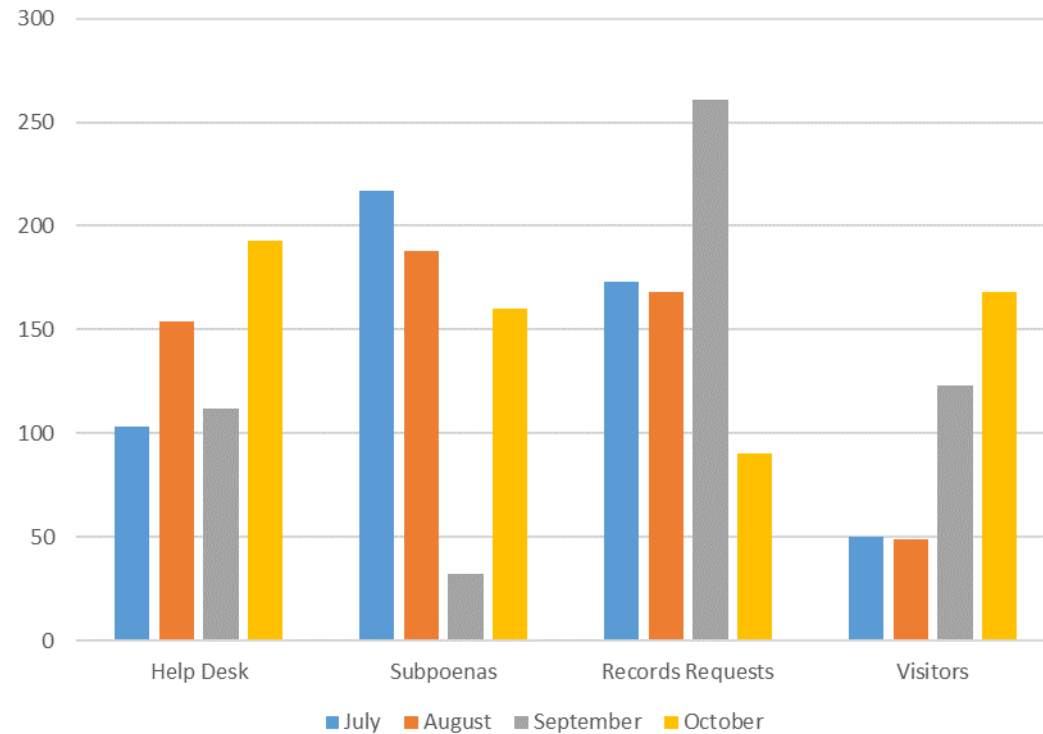
TFSC Update

- The commission is still reviewing all data that HFSC provided in regards to the DNA complaint
- Latent Print disclosure (false exclusion): commission ruled no further action needed
- TFSC requested HFSC present on its blind quality control program

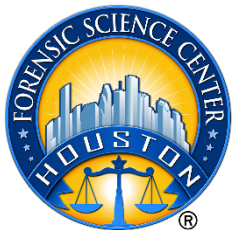
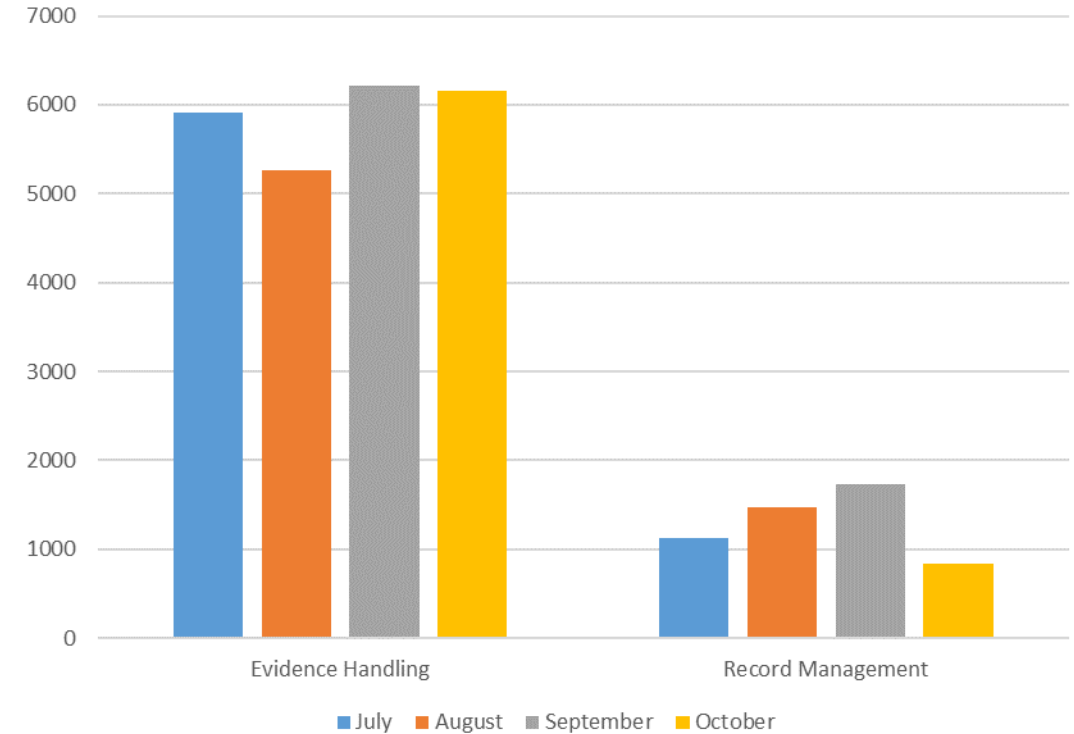


CS/CM -- October

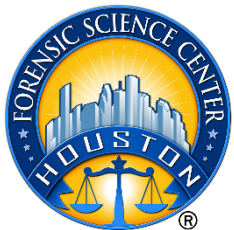
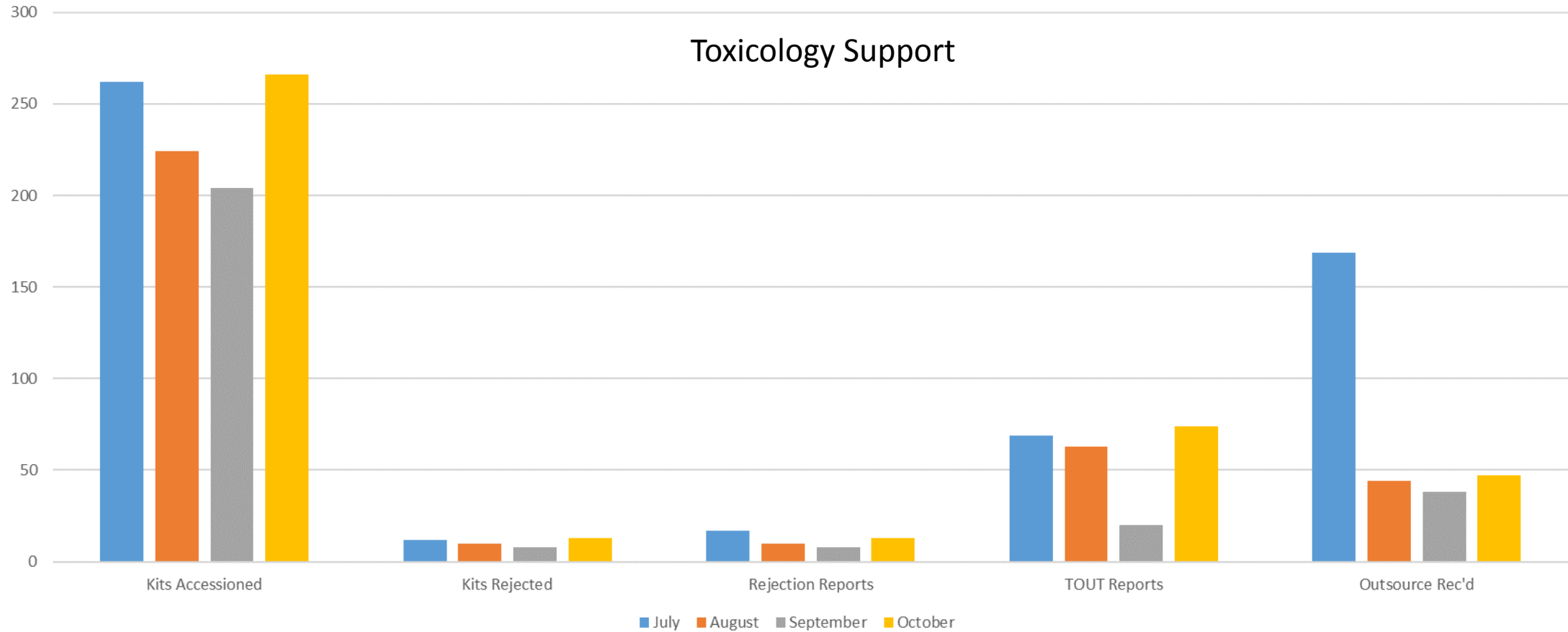
Administrative Support



Record Management & Evidence Handling



CS/CM -- October



Score Card

TAT for the WHOLE section. Arrow gives trend relative to last month



Total Average TAT from request to report for individual workflows in a section

Pending requests >30 days at the End of the Month (EOM). Total in the box.

Section specific targets or,
<30 days, <1% backlog Green

>30days<40Days, >1% <5% backlog Yellow

>40days, >5% backlog RED

Critical issues

- Top three issues impacting quality and productivity
- 0-1 Green, 2 Yellow, 3 Red

Projections for next 90 days

- Top 3-4 issues expected for quality and productivity in the coming months. Including targets and notable events



Controlled Substances



CS: 8-day avg,
1 pending request >30 day

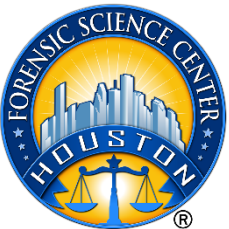
Target: <14 days

Critical issues

- Transition to new process schedule
- Potential impacts of additional expedited case needs
- Transition to new LIMS

Projections for next 90 days

- Go-live in JusticeTrax LIMS
- Continued pressure on resources from increased case complexity
- Approximately 600 requests/month
- Continue to track submission of opioid cases/lab safety measures in place and being used



Firearms



Exams: 11-day avg,
1 pending request >30 day

IBIS: 17-day avg,
5 pending requests >30 day

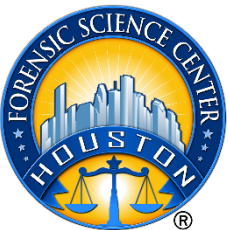
Target: <25 days

Critical issues

- Down two positions (examiner and NIBIN technician)
- Transition to new LIMS

Projections for next 90 days

- Go-live in JusticeTrax LIMS
- 48-hour NIBIN results working well
- New NIBIN tech starting 11/6/17
- Continued TAT sub 25 days
- Continued avg 50 exams and 400 IBIS



Digital and Multimedia



A/V: 129-day avg,
98 pending requests >30 day

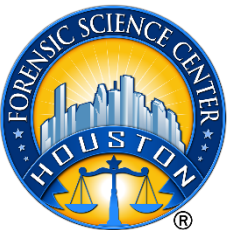
Digital: 9-day avg,
2 pending requests >30 day

Critical issues

- Increasing callout support
- Transition to new LIMS
- 1 vacancy in A/V (filled-to start 12/4/17)

Projections for next 90 days

- Go-live in JusticeTrax LIMS (digital on 11/14/17)
- Implementation of callout request type: 9/18/17 (52 received, 33 complete)
- **Backlog in A/V as we address audit issues.** In part reflective of shifting workload to greater callout support
- Remediation from internal audit



Toxicology



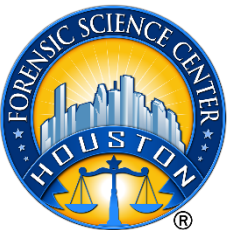
Alcohol: 17-day avg,
0 pending requests >30 day
Tox: 32-day avg
5 pending requests >30 day
Out-Tox: 25-day avg
0 pending requests >30 day

Critical issues

- Legacy GC/MS instruments-software Issues
- Operations on two floors to validate new robotics
- Down two analysts
- Transition to new LIMS

Projections for next 90 days

- Go-live in JusticeTrax LIMS
- DWI alcohol sub 21 days (target threshold)
- Expect toxicology methods online and QTOF screen, but still have challenges. Sciex has been responsive. Will evaluate software fixes
- Drug methods online in February
- Validation of new robotics



Forensic Biology

SA Kit: 57-day avg
SA "other" 99-day avg,
85 pending SAK requests >30 day
FBIO 138-day avg
DNA 218-day avg
576 total pending requests >30 days

All SA requests are in process



Critical issues

- Currently down 5 analysts. Three vacancies filled (starting between 11/12/17-1/18/18), recruiting for two remaining openings
- Transition to new LIMS

Projections for next 90 days

- Go-live in JusticeTrax LIMS and LIMS DNAPLus
- Continued improvement in analyst productivity
- Quality continuing to be assessed throughout process, pre- and post-mortems
- Fill two analyst positions



Latents

Total TAT
↑ 387

EOM >30 day
↓ 2,621

Critical issues
3

Comparisons: 493-day avg TAT from request,
1,978 pending requests >30 day

Crimes against person: 0 cases with TAT >30 day

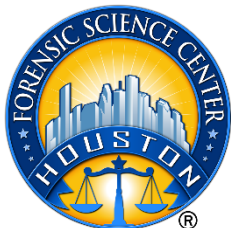
Processing: 84-day avg TAT from request,
63 pending requests >30 day

Critical issues

- Backlogged cases TAT increase due to age
- Bringing examiners online (3 in training w/3 examiners partnered with the trainees)
- Transition to new LIMS

Projections for next 90 days

- Go-live in JusticeTrax LIMS on 11/14/17
- Maintain 0 backlog of Crimes against Persons requests
- By December all but one examiner on independent casework (will be up to 15 examiners)



CSU

Total TAT
↓ 32

Call outs
85

Critical issues
2

CSU Callouts: 85, 4 Officer-Involved Shooting

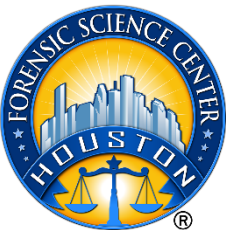
Cars processed at VEB: 34

Critical issues

- Training new CSIs
- Transition to new LIMS

Projections for next 90 days

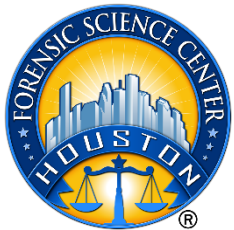
- Go-live in JusticeTrax LIMS
- Fully civilian – all classified officers have transitioned back to HPD
- Continue training and efforts toward accreditation



CSU vehicles



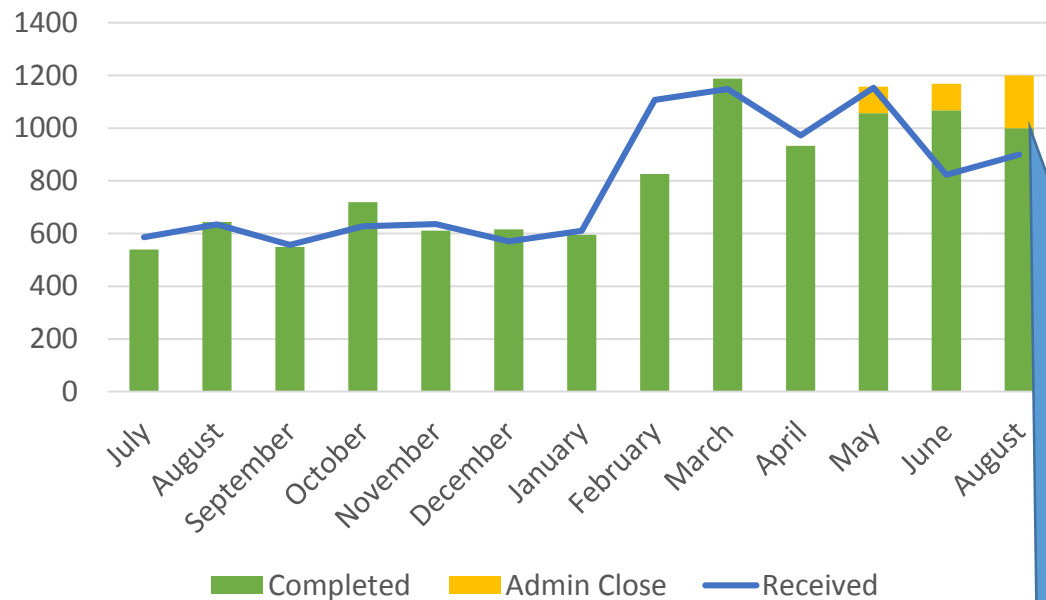
Detail data



Explanation of graphs

Requests for a given type of analysis or examination

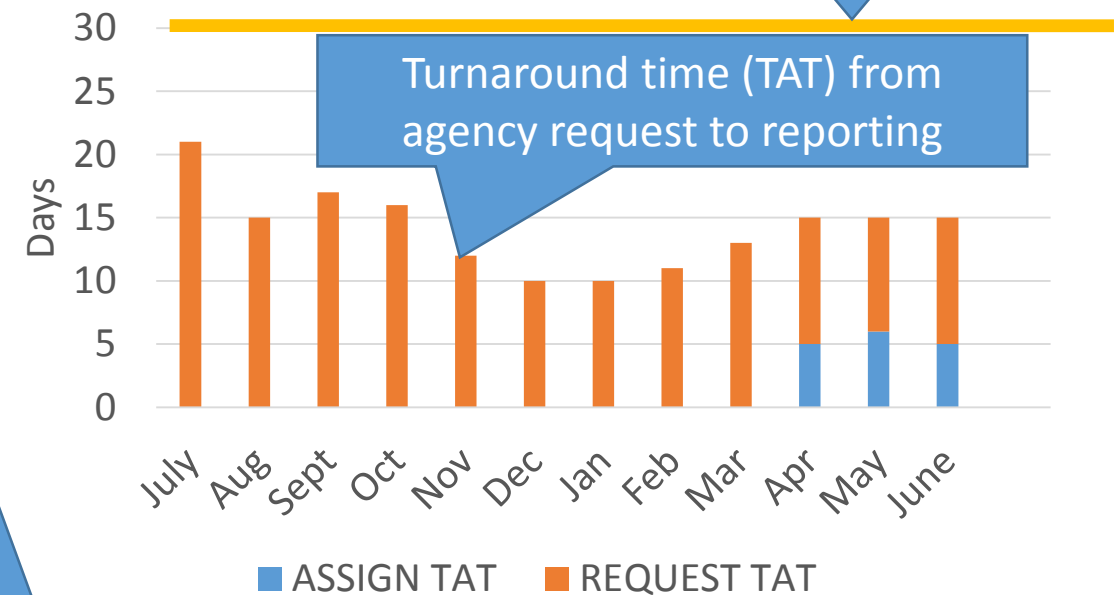
Requests



Administratively closed requests, a surrogate for remediation of requests

Average total TAT

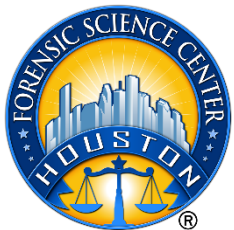
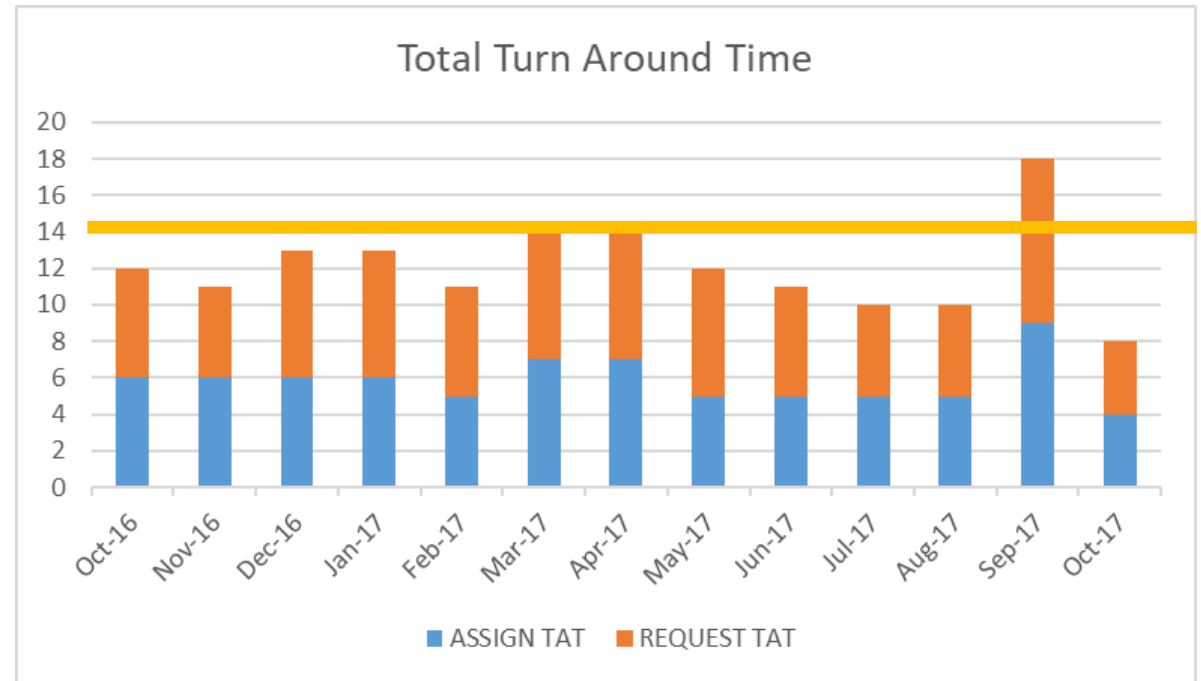
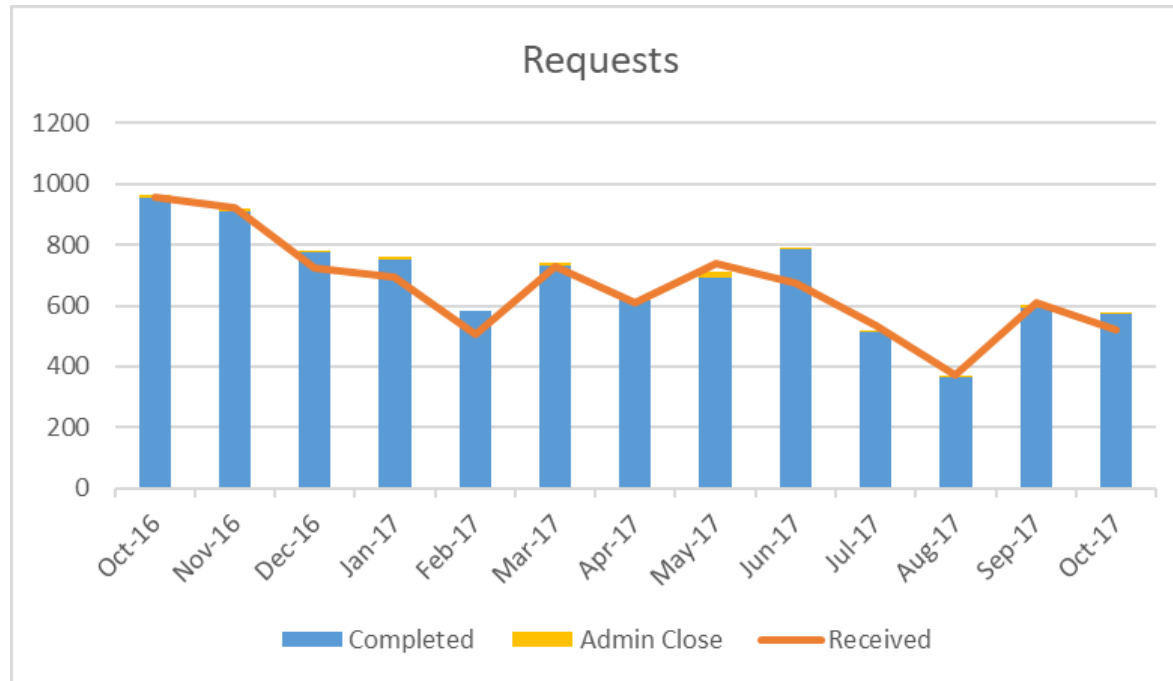
Target TAT



Turnaround time from assignment in lab or process time

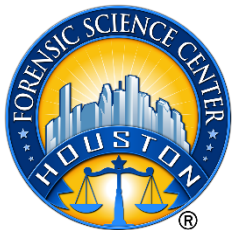
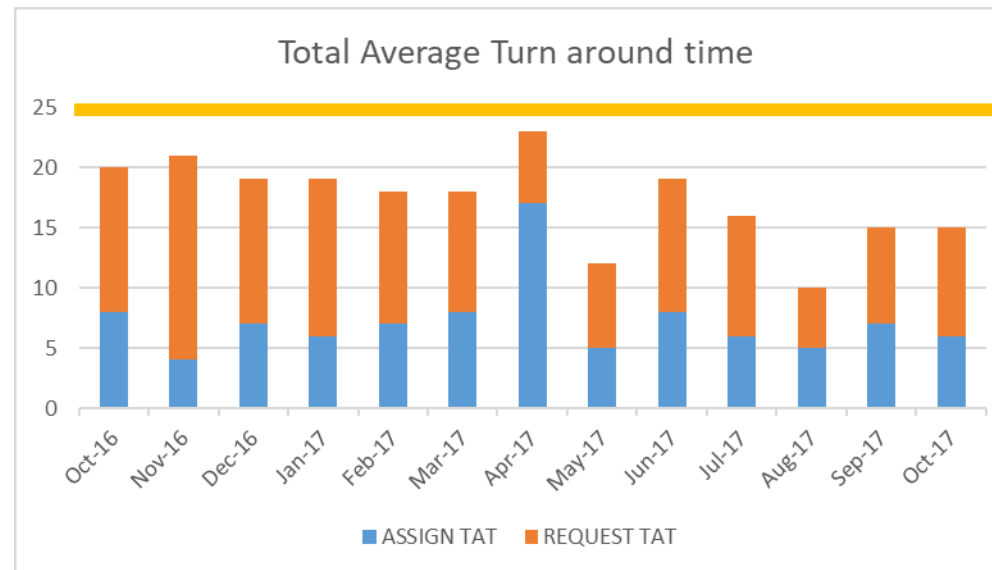
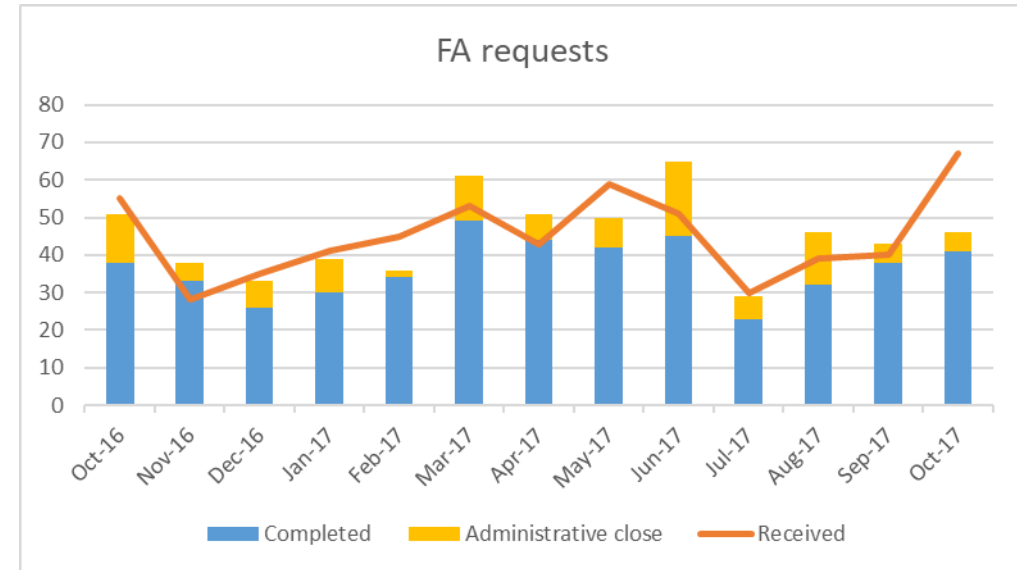
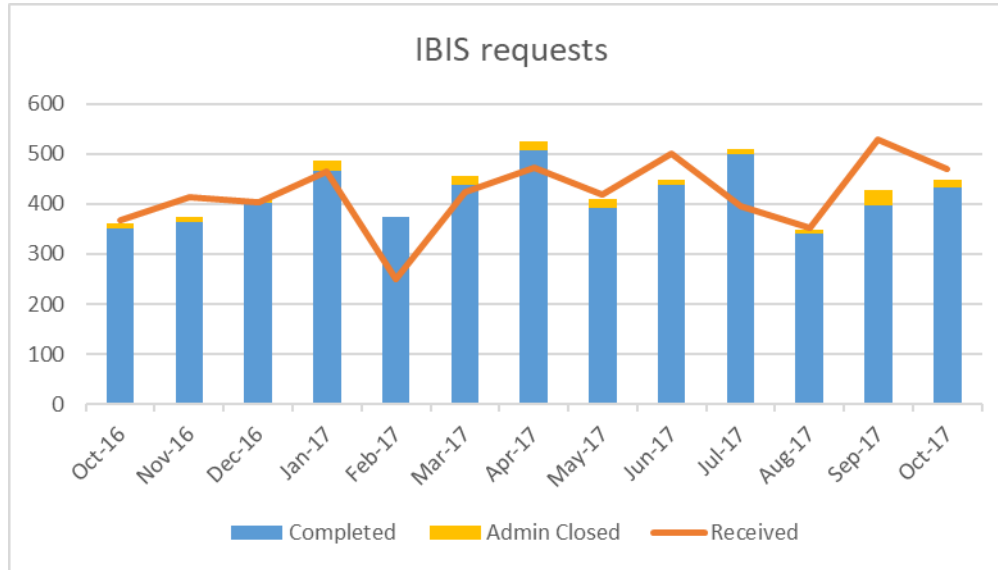


Controlled substances



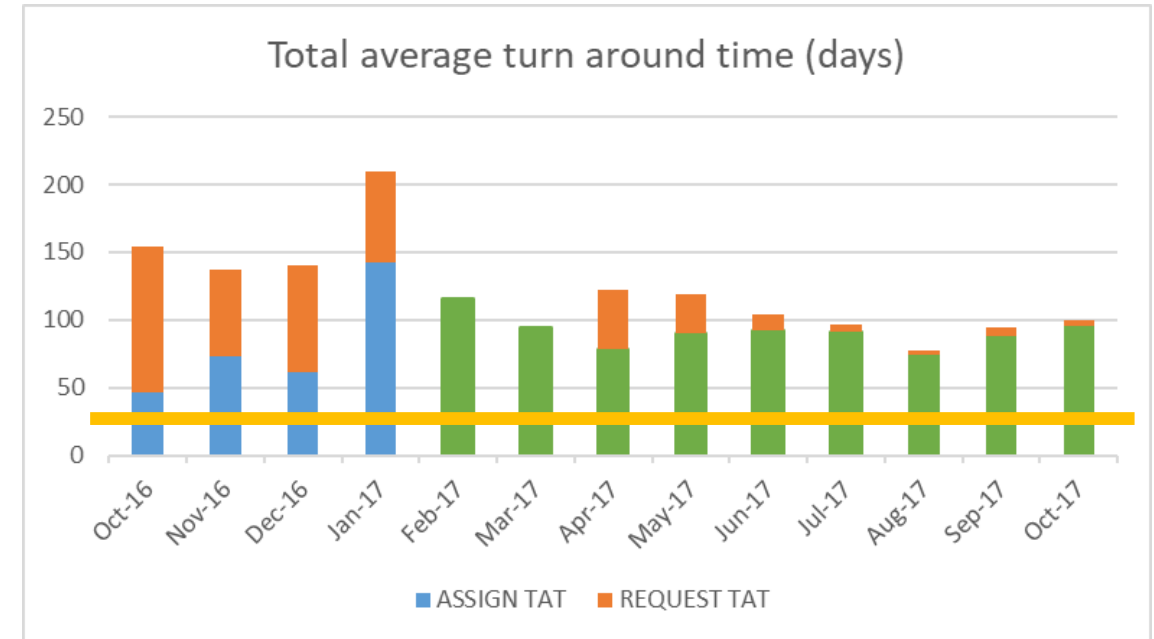
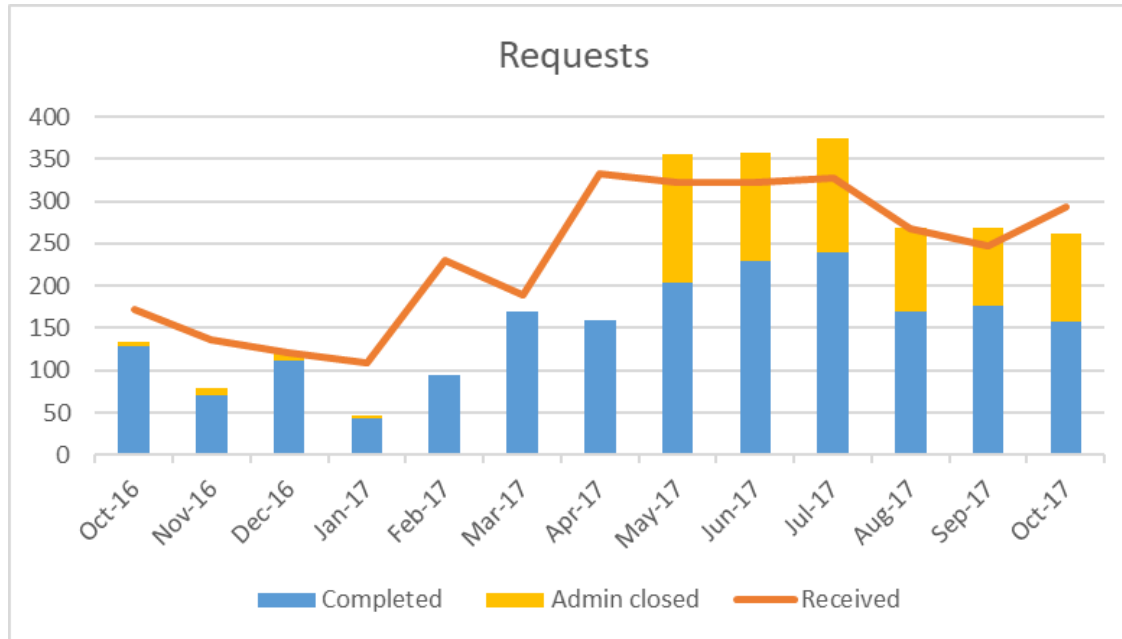
Orange bar indicates TAT target limit of 14 days.

Firearms



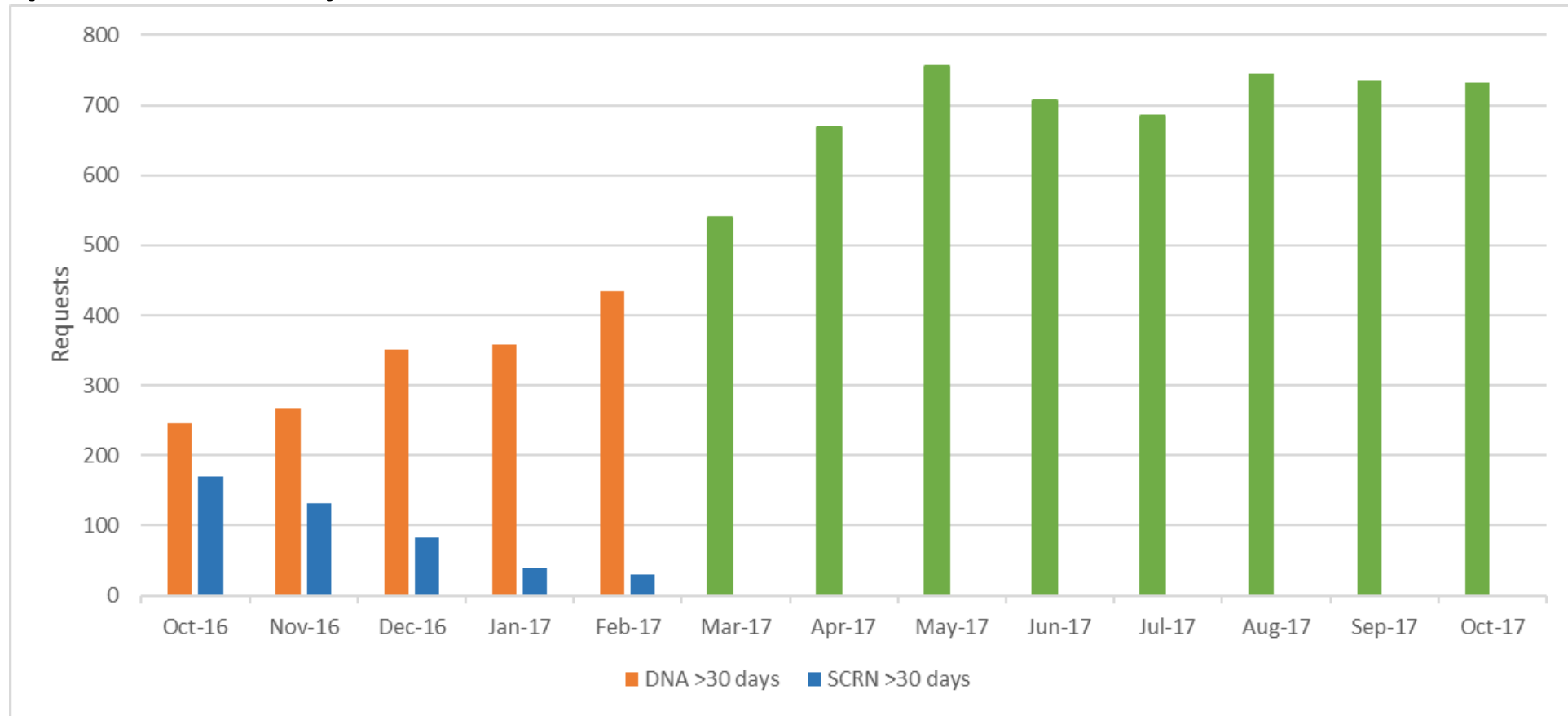
Forensic Biology -- Total

Note: change in presentation at February 2017.
Requests now for FBIO and Sexual Assault Kits.
Turnaround time is a combined average time.
Green bars represent the change in metric status.

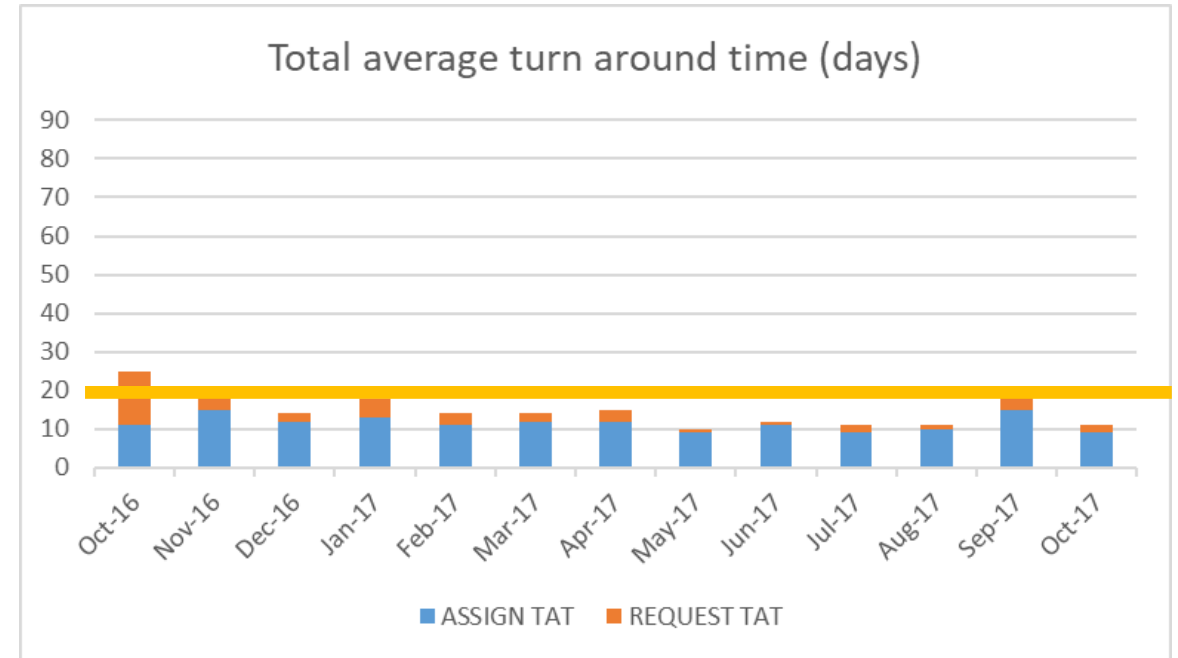
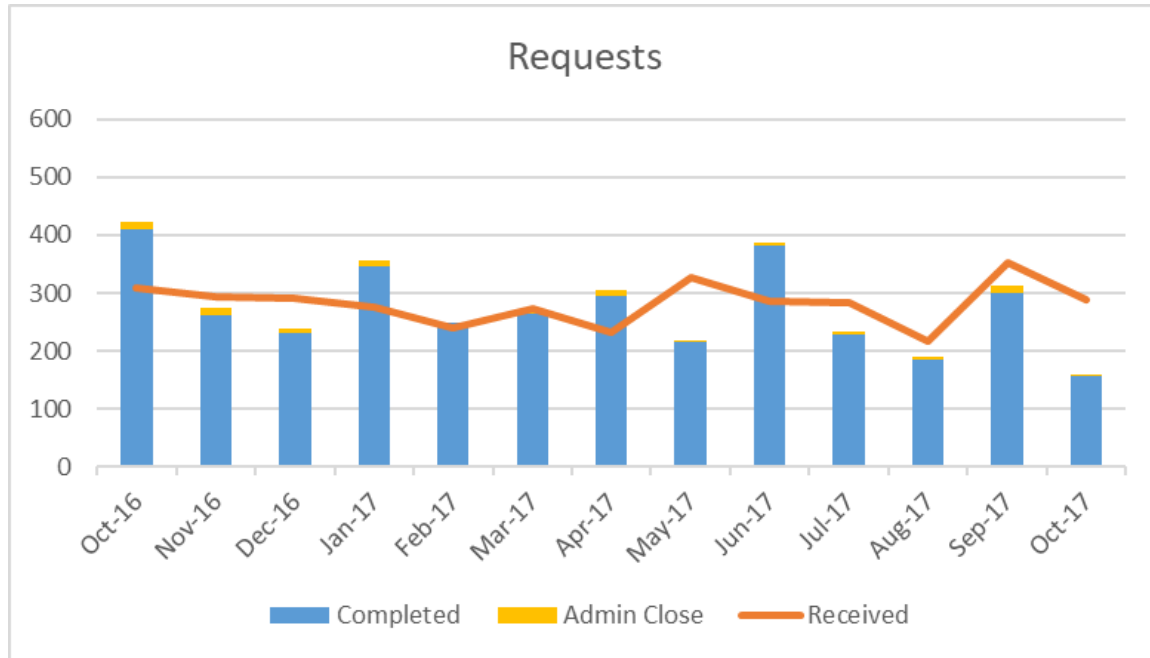


Total DNA Backlog (>30 day) requests by month

Note: change in presentation at February 2017. Total requests represent SAK and FBIIO requests (green bar).

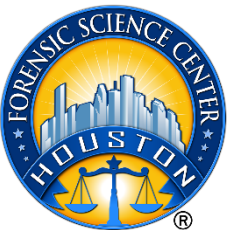
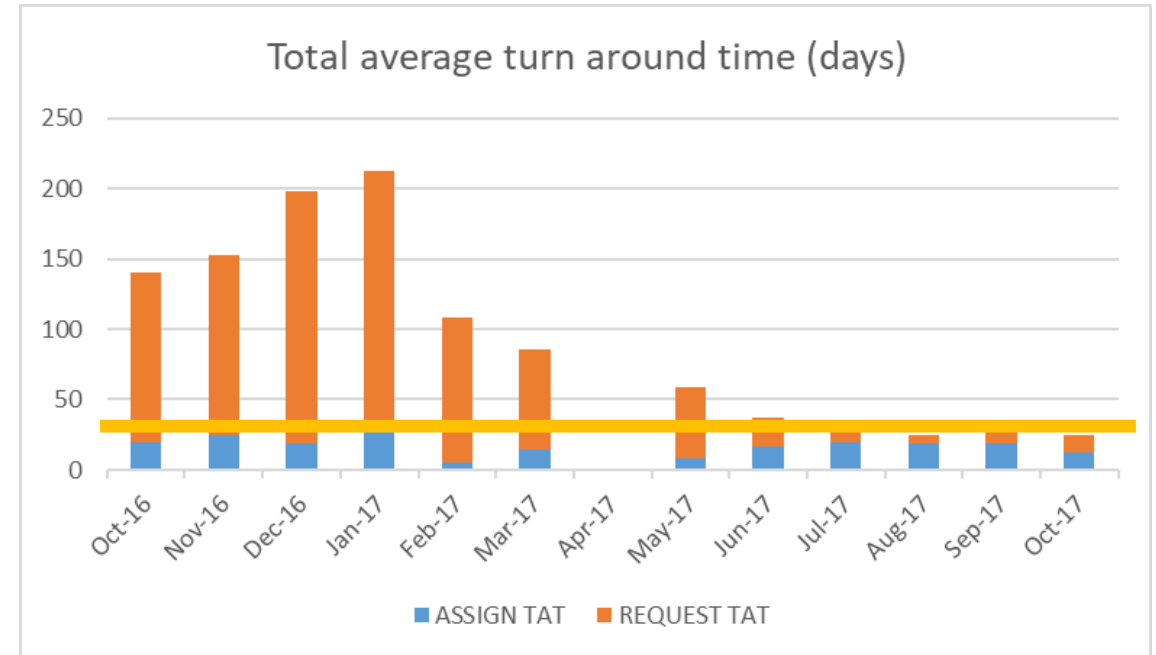
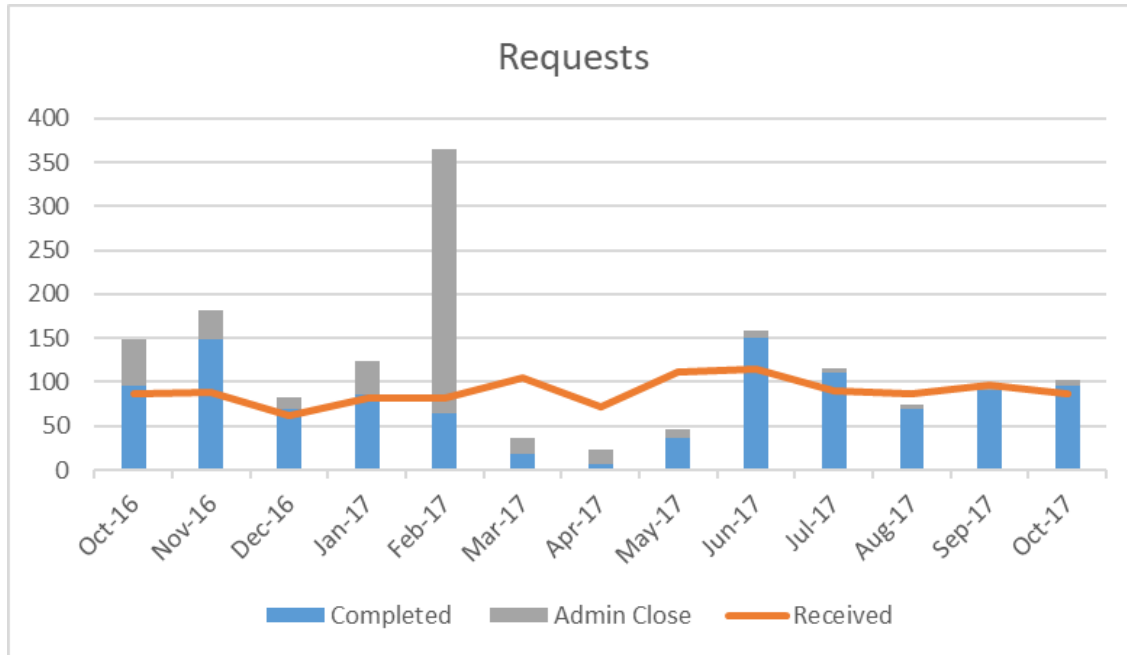


Toxicology: Alcohol

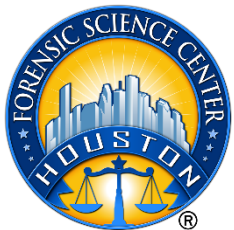
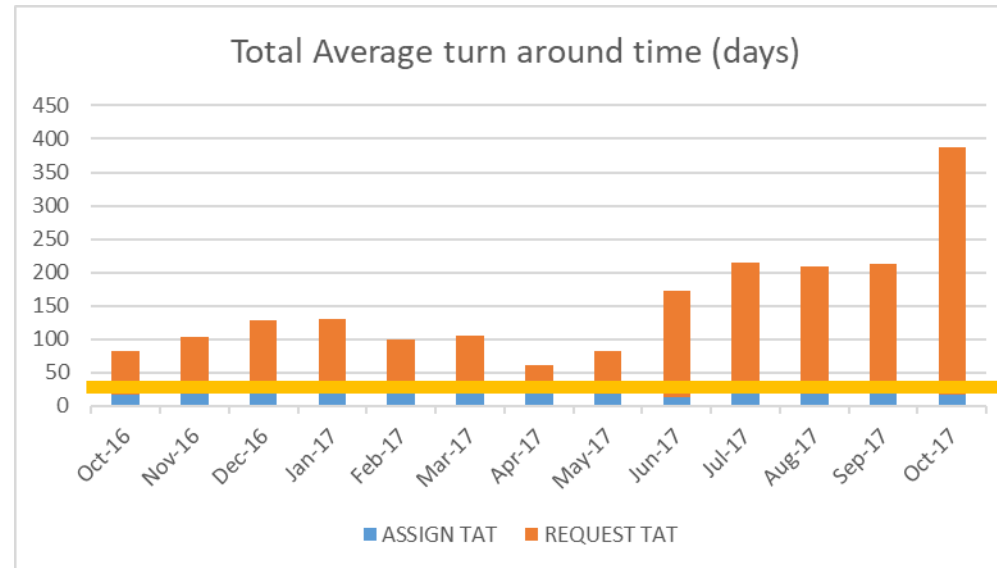
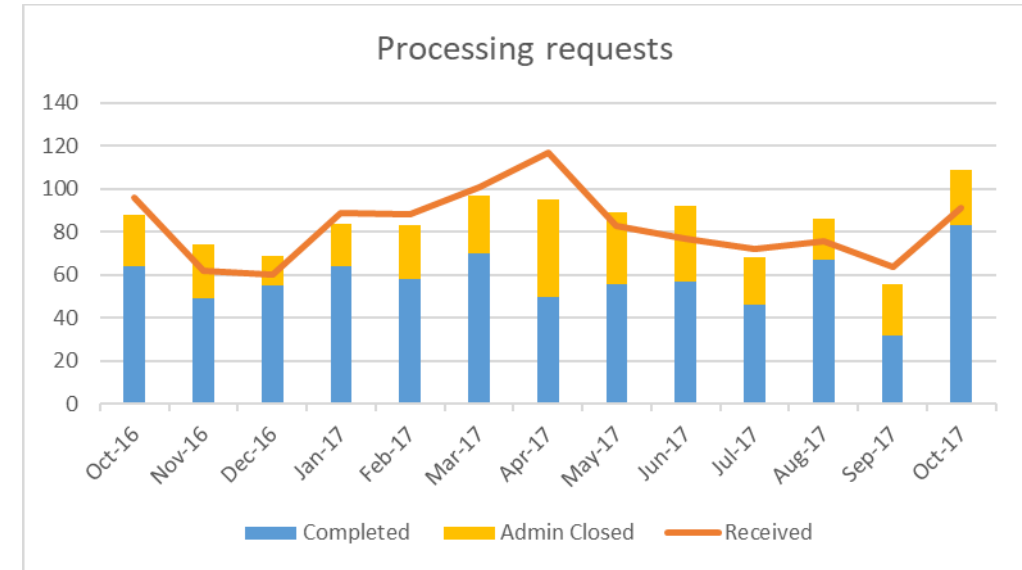
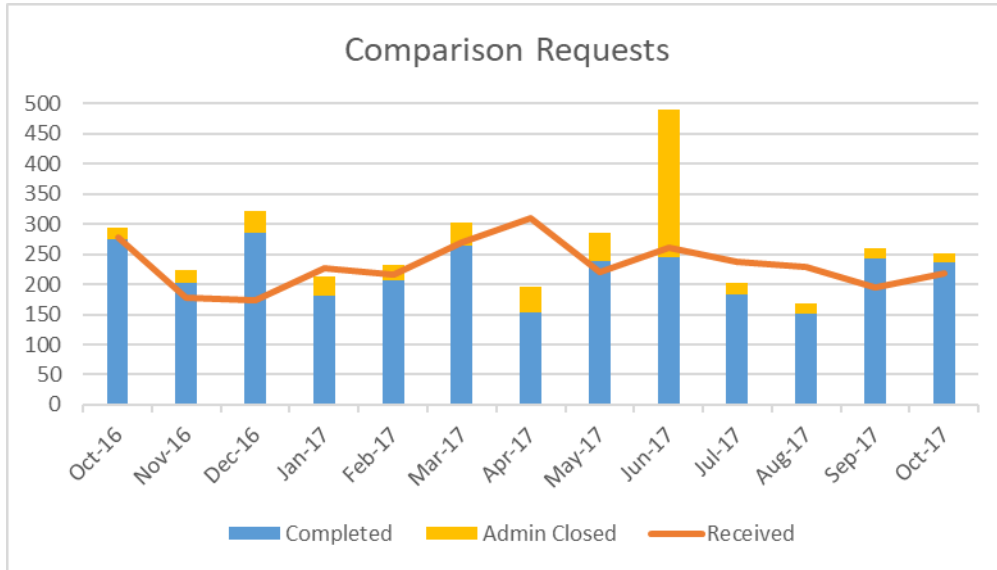


Toxicology: Other Drugs

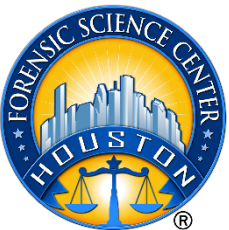
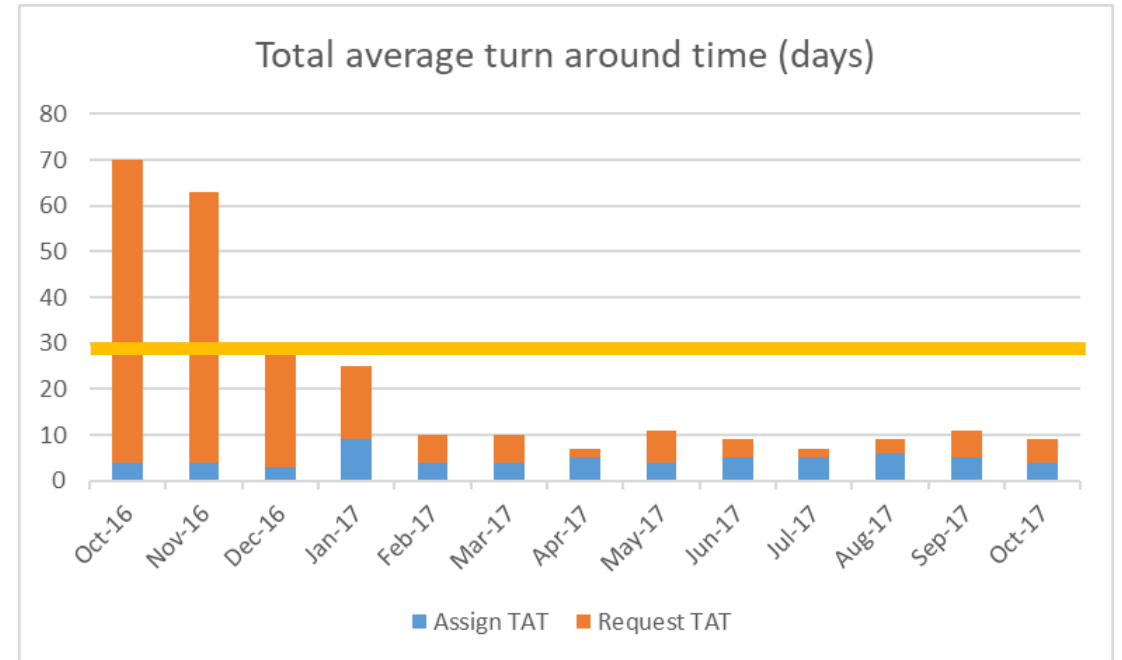
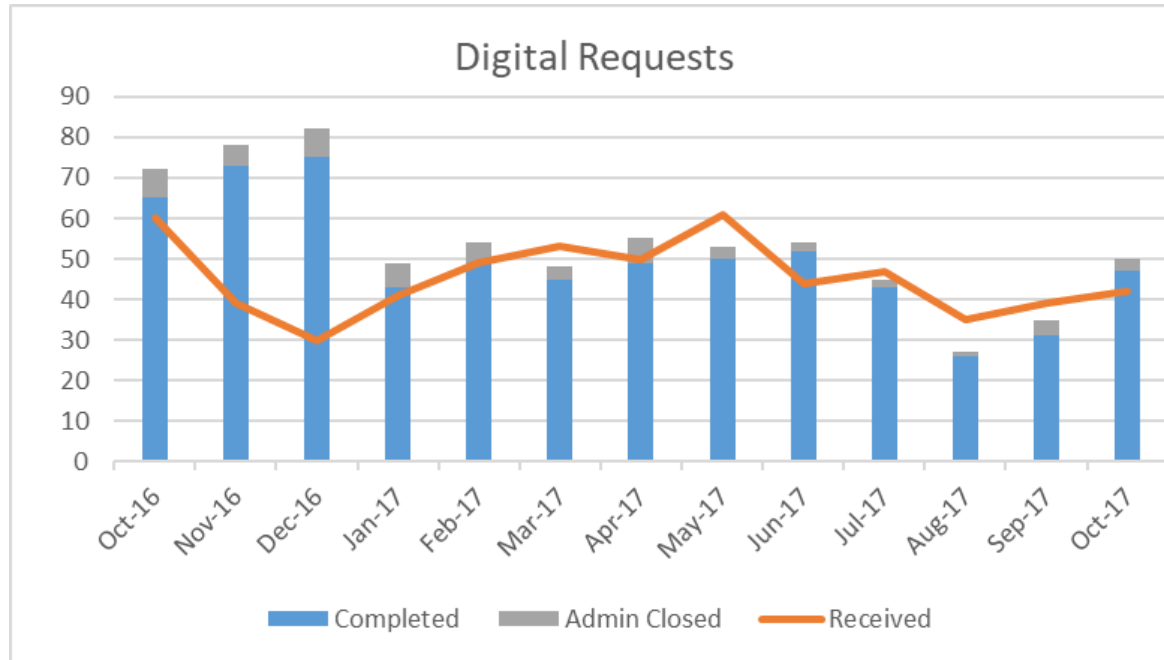
Approximately 300 legacy toxicology analysis cases that preceded HFSC were closed out in February. With the collaboration of HPD, no analysis was conducted, but reports were issued with instructions for ordering analysis should it be needed.



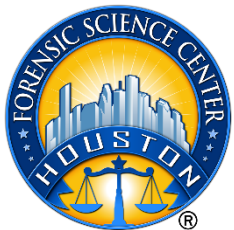
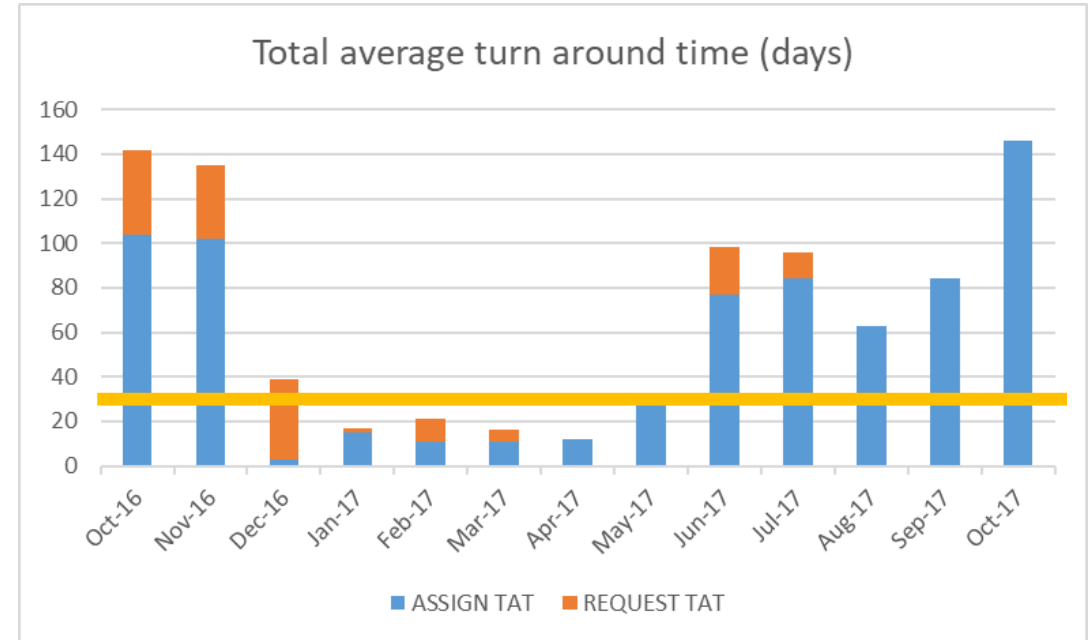
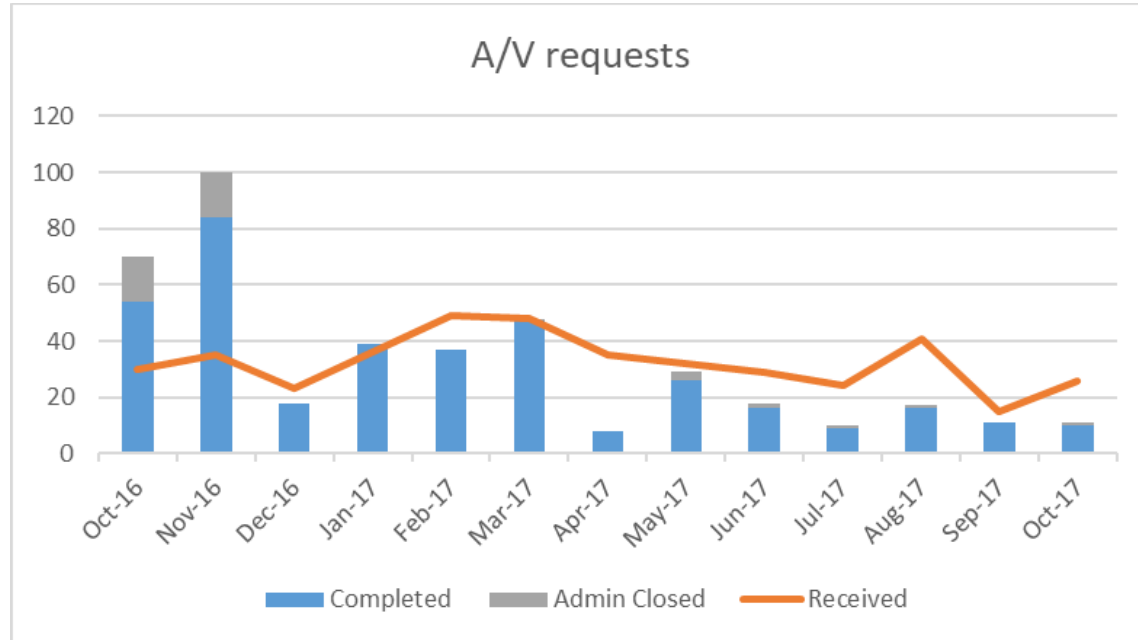
Latents

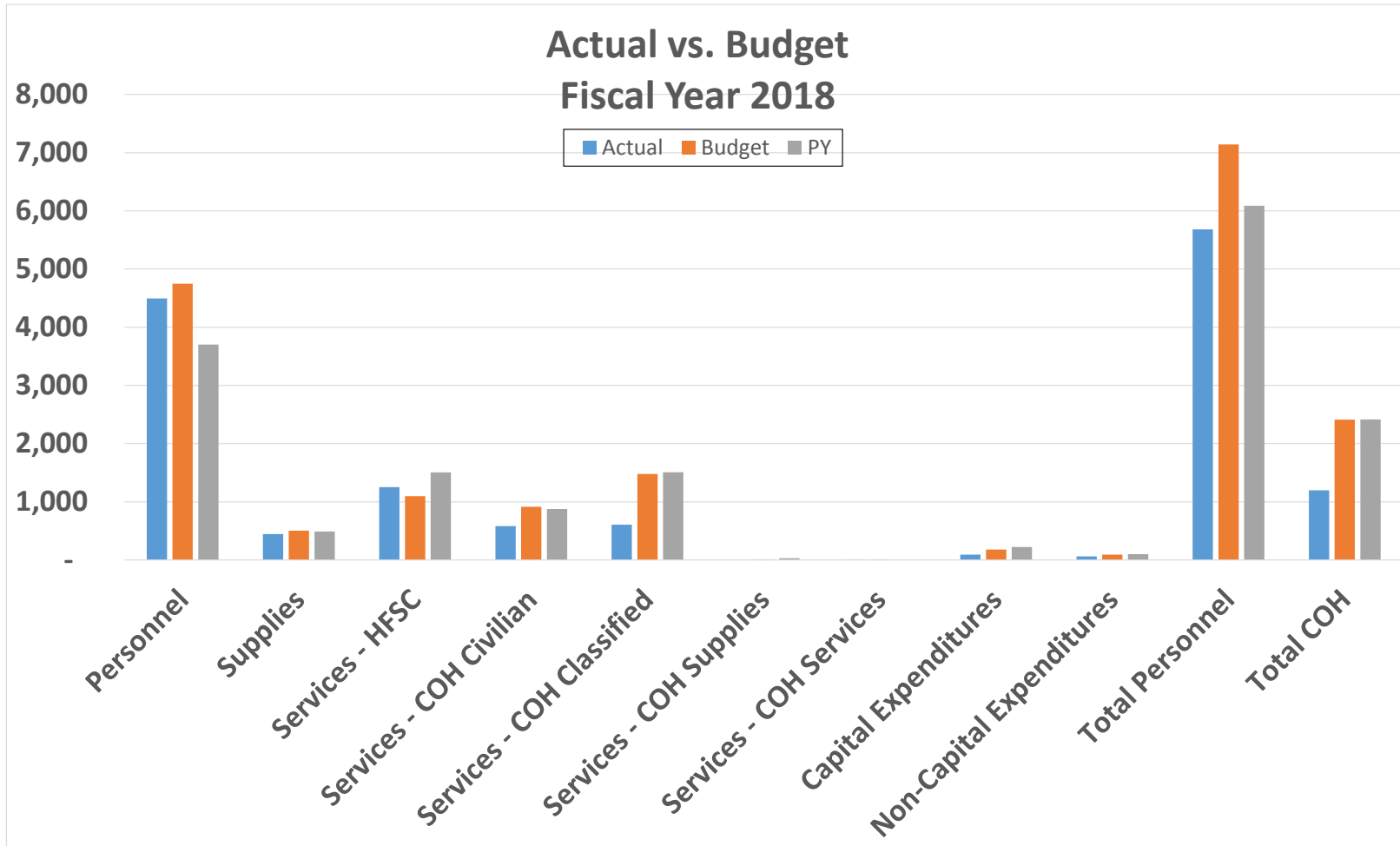


DME -- Digital



DME -- A/V





HOUSTON FORENSIC SCIENCE CENTER, INC.
COMPARATIVE STATEMENT OF ACTIVITIES - ACCRUAL BASIS
For the Period July 1, 2017 through October 31, 2017

		Current Month (Preliminary)								YTD								FY18	
		FY18	FY18	FY17	Variance					FY18	FY18	FY17	Variance					FY18	% Year
		Oct 1- Oct 31, 2017	Budget	Oct 1 - Oct 31, 2016	Budget - Actual	%	FY18 - FY17	%		July 1- Oct 31, 2017	Budget	July 1- Oct 31, 2016	Vs. Budget	%	Vs. FY17	%	Budget V1	Completed	
		# of Months								# of Months									
		1								4									
Revenues:																			
411000	City of Houston-Appropriations	\$ -	\$ 2,013	\$ -	\$ (2,013)	-100%	\$ -		\$ 18,731	\$ 8,053	\$ 16,271	\$ 10,678	133%	\$ 2,460	0%		\$ 24,160	78%	
415000	City of Houston Direct OH-Appro	122	122	122	0	0%	-	0%	487	487	487	0	0%	-	0%		1,460	33%	
416000	City of Houston - Safe funds	-	-	-	-	0%	-		-	-	-	-	0%	-	0%		-	0%	
420000	Contributions	-	-	-	-	0%	-		-	-	-	-	0%	-	0%		-	0%	
425000	In-Kind Donations	-	-	-	-	0%	-		-	-	-	-	0%	-	0%		-	0%	
426000	Training Services	1	-	-	1	0%	1		5	-	15	5	0%	(10)	-67%		-	0%	
440000	Grants	2	85	225	(83)	-98%	(222)	-99%	345	339	225	7	2%	121	0%		1,016	34%	
450000	Forensic Services	-	4	8	(4)	-100%	(8)	-100%	8	17	9	(9)	-53%	(1)	-13%		50	16%	
450001	Miscellaneous Copy Fees	-	-	-	-	0%	-		-	-	-	-	0%	-	0%		-	0%	
450002	Interest Income	-	0	1	(0)	-100%	(1)	-100%	1	2	2	(0)	-14%	(0)	0%		5	29%	
Total Income		125	2,224	355	(2,099)	-94%	(230)	-65%	19,578	8,897	17,009	10,681	120%	2,569	15%		26,691	73%	
Expenses:																			
Personnel:																			
500010	Salary Base - Civilian	922	953	778	31	3%	(144)	-18%	3,661	3,811	3,017	150	4%	(644)	-21%		11,434	32%	
501070	Pension - Civilian	50	59	47	10	17%	(3)	-7%	203	238	198	35	15%	(4)	-2%		713	28%	
502010	FICA - Civilian	65	69	55	3	5%	(10)	-19%	264	274	216	10	4%	(48)	-22%		823	32%	
503010	Health Insurance - Active Civil	79	87	62	8	9%	(17)	-28%	314	348	233	34	10%	(81)	-35%		1,043	30%	
503015	Basic Life Ins - Active Civil	8	5	7	(2)	-45%	(1)	-14%	31	22	26	(9)	-44%	(5)	0%		65	48%	
503060	Long Term Disability - Civilian	-	0	-	0	0%	-		-	0	-	-	0%	-	0%		1	0%	
503090	Workers Comp - Civilian Adm	3	12	3	9	73%	(1)	-19%	18	49	11	31	63%	(7)	-67%		148	12%	
503100	Workers Comp - Civil Claims	-	-	-	-		-		-	-	-	-	0%	-	0%		-	0%	
504030	Unemployment Claims - Admin	-	-	-	-		-		-	-	-	-	0%	-	0%		-	0%	
504010	Pension - GASB 27 Accrual	-	-	-	-		-		-	-	-	-	0%	-	0%		-	0%	
504031	Unemployment Taxes - Admin	0	1	0	1	62%	(0)	-55%	3	5	1	2	39%	(2)	-142%		15	20%	
		1,127	1,187	951	60	5%	(176)	-18%	4,494	4,747	3,701	253	5%	(792)	-21%		14,242	32%	
Supplies:																			
511010	Chemical Gases & Special Fluids	1	1	2	0	32%	1	63%	3	5	4	2	42%	1	31%		15	19%	
511040	Audio Visual Supplies	-	-	-	-		-		-	-	-	-	0%	-	0%		-	0%	
511045	Computer Supplies	0	5	5	5	98%	5	98%	7	19	17	11	60%	9	56%		56	13%	
511050	Paper & Printing Supplies	2	3	3	1	36%	1	41%	8	10	13	2	24%	5	40%		30	25%	
511055	Publications & Printed Material	1	1	0	1	35%	(1)	-116%	4	6	2	2	37%	(1)	-50%		18	21%	
511060	Postage	-	0	0	0	100%	0	100%	0	0	0	0	40%	(0)	-5%		1	20%	
511070	Miscellaneous Office Supplies	9	8	10	(0)	-3%	2	15%	27	34	37	7	20%	10	27%		101	27%	
511080	General Laboratory Supply	101	101	95	(0)	0%	(6)	-6%	366	403	387	36	9%	21	5%		1,208	30%	
511090	Medical & Surgical Supplies	-	0	-	0	100%	-		-	0	-	0	100%	-	0%		0		
511095	Small Technical & Scientific Eq	-	2	0	2	100%	0	100%	2	7	10	5	73%	8	81%		21	9%	
511110	Fuel	-	-	-	-		-		-	-	-	-	0%	-	0%		-	0%	
511120	Clothing	10	2	2	(8)	-443%	(8)	-406%	13	7	10	(6)	-85%	(3)	-35%		21	62%	
511125	Food/Event Supplies	0	2	1	2	97%	1	94%	7	7	6	(0)	-3%	(1)	-23%		20	34%	
511130	Weapons Munitions & Supplies	-	0	0	0	100%	0	100%	0	2	0	1	77%	(0)	-3%		5	8%	
511145	Small Tools & Minor Equipment	2	1	0	(1)	-149%	(2)	-3662%	3	3	1	(0)	-1%	(2)	-194%		10	34%	
511150	Miscellaneous Parts & Supplies	0	0	1	0	78%	1	94%	5	2	3	(4)	-225%	(2)	-74%		5	108%	
		125	126	121	1	1%	(4)	-3%	446	504	490	58	11%	44	9%		1,511	30%	

HOUSTON FORENSIC SCIENCE CENTER, INC.
COMPARATIVE STATEMENT OF ACTIVITIES - ACCRUAL BASIS
For the Period July 1, 2017 through October 31, 2017

Current Month (Preliminary)								YTD								FY18			
FY18		FY18	FY17	Variance				FY18		FY18	FY17	Variance				FY18	% Year		
Oct 1- Oct 31, 2017			Oct 1 - Oct 31, 2016	Budget - Actual		%	FY18 - FY17	%	July 1- Oct 31, 2017			July 1- Oct 31, 2016	Vs. Budget		%	Vs. FY17	%	Budget V1	Completed
	Budget									Budget									
-	-	-	-	-		-	-		-	-	7	-	0%	7	0%	-	0%		
3	3	3		(0)	-2%	0	4%		13	11	10	(2)	-18%	(3)	-32%	33	39%		
-	-	-	-	-		-	-		-	-	-	-	0%	-	0%	-	0%		
-	2	9		2	100%	9	100%		-	9	9	9	100%	9	100%	28	0%		
2	15	19		12	83%	17	87%		10	58	309	48	82%	299	97%	175	6%		
33	8	48		(24)	-291%	15	32%		245	33	261	(211)	-634%	17	6%	100	245%		
0	0	0		0	30%	0	27%		1	1	1	0	26%	0	26%	3	25%		
1	0	0		(1)	-2330%	(0)	-103%		1	0	0	(1)	-508%	(0)	-103%	0	203%		
9	7	8		(2)	-30%	(1)	-12%		51	28	33	(23)	-83%	(18)	-54%	84	61%		
84	90	86		6	6%	2	2%		337	360	343	23	6%	6	2%	1,079	31%		
-	0	-		0	100%	-			1	1	-	1	43%	(1)	0%	4	19%		
59	25	17		(35)	-139%	(43)	-255%		174	99	99	(75)	-75%	(75)	-76%	298	58%		
27	5	0		(22)	-489%	(27)	-11148%		58	18	2	(40)	-218%	(56)	0%	55	106%		
-	1	-		1	100%	-			-	3	0	3	100%	0	100%	8	0%		
12	25	6		13	53%	(5)	-82%		46	101	53	55	55%	7	13%	302	15%		
-	0	0		0	100%	0	100%		-	0	1	0	100%	1	100%	0	0%		
-	-	-		-		-			-	-	-	-	0%	-	0%	-	0%		
-	1	-		1	100%	-			1	4	4	3	72%	2	68%	12	9%		
-	1	1		1	100%	1	100%		2	4	8	2	61%	6	81%	12	13%		
8	12	9		4	36%	1	13%		34	47	35	13	28%	0	1%	142	24%		
-	0	-		0	100%	-			-	0	1	0	100%	1	0%	1	0%		
0	4	2		4	98%	2	97%		4	15	26	11	76%	23	86%	44	8%		
15	11	9		(4)	-33%	(6)	-65%		41	44	31	3	7%	(10)	-33%	132	31%		
-	2	1		2	100%	1	100%		10	9	6	(1)	-15%	(4)	-71%	27	38%		
22	11	31		(11)	-102%	10	31%		61	43	76	(18)	-42%	15	19%	130	47%		
3	2	4		(1)	-81%	1	28%		5	7	9	1	19%	3	39%	20	27%		
3	3	1		(1)	-30%	(3)	-327%		8	10	14	2	17%	5	38%	31	28%		
0	1	0		1	61%	(0)	-16%		2	5	8	3	59%	6	77%	14	14%		
3	5	9		2	33%	5	64%		8	18	14	11	58%	6	45%	55	14%		
7	6	6		(2)	-26%	(1)	-21%		17	24	19	7	28%	2	10%	71	24%		
-	0	-		0	100%	-			-	0	-	0	0%	-	0%	0	0%		
-	-	-		-		-			-	-	-	-	0%	-	0%	-	0%		
3	1	1		(1)	-88%	(2)	-261%		10	6	4	(4)	-59%	(5)	-117%	18	53%		
7	12	10		5	42%	3	31%		45	49	38	4	9%	(7)	-19%	148	30%		
-	2	-		2	100%	-			-	8	-	8	100%	-	0%	25	0%		
1	5	6		4	84%	5	85%		11	21	18	10	47%	6	36%	64	18%		
2	2	2		(0)	-7%	1	22%		5	7	7	2	27%	2	23%	22	24%		
1	13	10		12	91%	9	88%		50	51	60	1	2%	10	17%	154	33%		
-	-	-		-		-			-	-	-	-	0%	-	0%	-	0%		
-	-	-		-		-			-	-	-	-	0%	-	0%	-	0%		
142	229	190		86	38%	47	25%		581	915	876	334	37%	295	34%	2,746	21%		
149	369	365		220	60%	216	59%		608	1,477	1,509	870	59%	901	60%	4,431	14%		
0	3	2		3	97%	2	97%		0	11	29	11	99%	29	0%	32	0%		
2	2	-		1	33%	(2)			9	9	1	0	4%	(8)	-532%	28	32%		
293	603	557		310	51%	264	47%		1,198	2,413	2,415	1,215	50%	1,217	50%	7,239	17%		
599	878	856		279	32%	257	30%		2,449	3,510	3,920	1,062	30%	1,471	38%	10,531	23%		

HOUSTON FORENSIC SCIENCE CENTER, INC.
COMPARATIVE STATEMENT OF ACTIVITIES - ACCRUAL BASIS
For the Period July 1, 2017 through October 31, 2017

		Current Month (Preliminary)								YTD								FY18	
		FY18	FY18	FY17	Variance						FY18	FY18	FY17	Variance				FY18	% Year
		Oct 1- Oct 31, 2017		Oct 1 - Oct 31, 2016							July 1- Oct 31, 2017		July 1- Oct 31, 2016						
			Budget		Budget - Actual	%	FY18 - FY17	%				Budget			Vs. Budget	%	Vs. FY17	%	
																	Budget V1	Completed	
Non-Capital Expenditures																			
551010	Furniture and Fixtures	26	8	3	(18)	-211%	(23)	-711%			31	33	48	2	6%	17	35%	100	31%
551015	Computer Hardware/SW	11	13	36	2	18%	25	70%			27	53	38	26	49%	11	29%	160	17%
551025	Scientific/Foren Eqmt	-	2	6	2	100%	6	100%			4	7	13	2	37%	9	68%	20	21%
Total Non-Capital Expenditures		37	23	45	(14)	-58%	9	19%			63	93	99	31	33%	37	37%	280	22%
Capital Expenditures																			
170140	Improvements	-	-	-	-	-	-	-			-	-	-	-	0%	-	0%	-	0%
170210	Furniture & Fixtures	-	-	-	-	-	-	-			-	-	-	-	0%	-	0%	-	0%
170230	Computer Hardware/SW	-	-	18	-	-	18	100%			180	-	21	(180)	0%	(159)	0%	-	#DIV/0!
170240	Scientific/Foren Eqmt	-	45	24	45	100%	24	100%			-	181	201	181	100%	201	100%	542	0%
170980	Const in Progress	60	-	-	(60)	-	(60)	-			(87)	-	-	87	0%	87	0%	-	0%
Total Capital Expenditures		60	45	43	(15)	-32%	(17)	-40%			93	181	222	88	49%	129	58%	542	17%
Total Expense and Capital Before Depreciation		1,947	2,259	2,016	312	14%	69	3%			7,544	9,035	8,433	1,491	17%	889	11%	27,106	28%
561230	Depreciation	40	36	34	(4)	-12%	(6)	-19%			160	144	130	(16)	-11%	(30)	-23%	432	37%
570505	FA Gain/Loss	-	-	-	-	0%	-	-			-	-	-	-	0%	-	0%	-	0%
610000	City of Houston Direct Overhead	122	122	122	(0)	0%	-	0%			487	487	487	(0)	0%	-	0%	1,460	33%
	Grant and Training Expense	-	85	-	85	100%	-	-			-	339	-	339	100%	-	0%	1,016	0%
Total Expense and Capital After Depreciation		2,109	2,501	2,172	392	16%	63	3%			8,191	10,005	9,050	1,814	18%	859	9%	30,014	27%
Net Ordinary Income less capital spending		(1,984)	(277)	(1,817)	(2,491)	900%	(167)	9%			11,387	(1,108)	7,959	12,494	-1128%	3,428	43%	(3,323)	-343%

HOUSTON FORENSIC SCIENCE CENTER, INC.
COMPARATIVE STATEMENT OF NET POSITION
By Quarter

(in '000's)

	Preliminary As of 10/31/17	As of 09/30/17	As of 06/30/17	As of 03/31/17
ASSETS				
Cash and Cash Equivalents				
Bank of Texas-Operating	\$ 12,830	\$ 14,769	\$ 2,240	\$ 5,369
Total Current Assets	<u>12,830</u>	<u>14,769</u>	<u>2,240</u>	<u>5,369</u>
Accounts Receivable				
Accounts Receivable	15	353	234	1
Total Accounts Receivable	<u>15</u>	<u>353</u>	<u>234</u>	<u>1</u>
Capital Assets Net of Depreciation				
Capital Assets	5,035	4,975	4,942	4,317
Accumulated Depreciation	(1,276)	(1,236)	(1,116)	(1,095)
Total Net Capital Assets	<u>3,759</u>	<u>3,740</u>	<u>3,826</u>	<u>3,222</u>
Other Assets				
Prepaid - HR	6	13	9	1
Prepaid - Insurance	103	98	119	41
Prepaid - Service Agreements	164	184	66	51
Prepaid - Other	86	86	9	92
Total Other Assets	<u>359</u>	<u>380</u>	<u>204</u>	<u>185</u>
TOTAL ASSETS	<u>\$ 16,963</u>	<u>\$ 19,242</u>	<u>\$ 6,504</u>	<u>\$ 8,777</u>
LIABILITIES				
Accounts Payables	\$ 290	\$ 447	\$ 630	\$ 151
Payroll Tax Liability	487	531	950	316
Other Liabilities, Including Fund 2213 Billing	280	280	350	561
Deferred - Others				
Total Liabilities	<u>1,058</u>	<u>1,258</u>	<u>1,930</u>	<u>1,028</u>
NET POSITION/FUND BALANCE				
Unrestricted/Unassigned	12,147	14,244	747	4,527
Temporarily Restricted - SAFE Funds				
Net Investment in Capital Assets	3,759	3,740	3,826	3,222
Total Net Position	<u>15,906</u>	<u>17,984</u>	<u>4,574</u>	<u>7,749</u>
TOTAL LIABILITIES AND NET POSITION	<u>\$ 16,963</u>	<u>\$ 19,242</u>	<u>\$ 6,504</u>	<u>\$ 8,777</u>

Awarded

Awarding Agency: USDOJ-OJP-NIJ

Name of Project: NIJ FY 15 DNA Capacity Enhancement
and Backlog Reduction Program

Start and End Dates: 01/2016 to 12/2017

Contact: Sherry Cochran

Award Number: 2015-DN-BX-0072	Award Bal.	Invoiced Total	To Invoice Total
Amount of Award:	\$ 1,172,752.00		
Grant Inception to date:	\$ (965,378.77)	955,301.23	(10,077.54)
Grant Balance:	\$ 207,373.23		

Status: Awarded

Awarding Agency: USDOJ-OJP-NIJ

Name of Project: NIJ FY 16 DNA Capacity Enhancement
and Backlog Reduction Program

Start and End Dates: 01/01/2017 - 12/31/2018

Contact: Alissa Genovese

Award Number: 2016-DN-BX-0142	Award Bal.	Invoiced Total	To Invoice Total
Amount of Award:	\$ 741,000		
Grant Inception to date:	\$ (257,489)	250,356.02	(7,133.02)
Grant Balance:	\$ 483,511		

Status: Awarded

Awarding Agency: USDOJ-OJP-NIJ

Name of Project: NIJ FY 17 DNA Capacity Enhancement
and Backlog Reduction Program

Start and End Dates: 01/01/2018 - 12/31/2019

Contact: Monte Evans

Award Number: 2017-DN-BX-0027	Award Bal.	Invoiced Total	To Invoice Total
Amount of Award:	\$ 867,755		
Grant Inception to date:			-
Grant Balance:	\$ 867,755		

Status: Awarded

Awarding Agency: USDOJ-OJP-NIJ

Name of Project: Cap Enhancement for Drug and DNA
Testing in Sexual Assault Cases

Start and End Dates: 01/01/2018 - 12/31/2020

Contact: Monte Evans

Award Number: 2017-DN-BX-0176	Award Bal.	Invoiced Total	To Invoice Total
Amount of Award:	114,000.00	-	114,000.00
HFSC Match	38,000.00	-	38,000.00
Grant Inception to date:	-	-	-
Grant Balance:			

Status: Awarded

Awarding Agency: Texas Mutual (HFSC's insurance provider)

Name of Project: Safety Equipment - Ergonomic Chairs

Start and End Dates: **One Time Funding**

Amount of Award:	\$ 1,500		
Grant Inception to date:	\$ (1,500)	1,500.00	\$ -
Grant Balance:	\$ -		

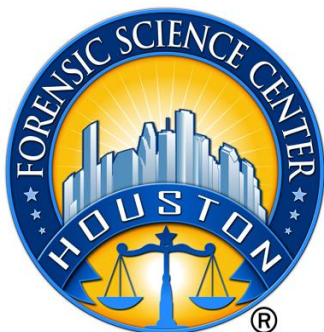
Status: Awarded

Awarding Agency: Texas Mutual (HFSC's insurance provider)

Name of Project: Hurricane Harvey Relief - Personnel Lost
workday

Start and End Dates: **One Time Funding**

Amount of Award:	\$ 10,000		
Grant Inception to date:	\$ (10,000)	10,000.00	\$ -
Grant Balance:	\$ -		



Houston Forensic Science Center

INTEROFFICE MEMO

To: Peter Stout, PhD, President and CEO

From: Lori Wilson, Quality Director

Cc: Amy Castillo, PhD, COO
Jerry Pena, Director, Crime Scene/Digital and Multimedia Division

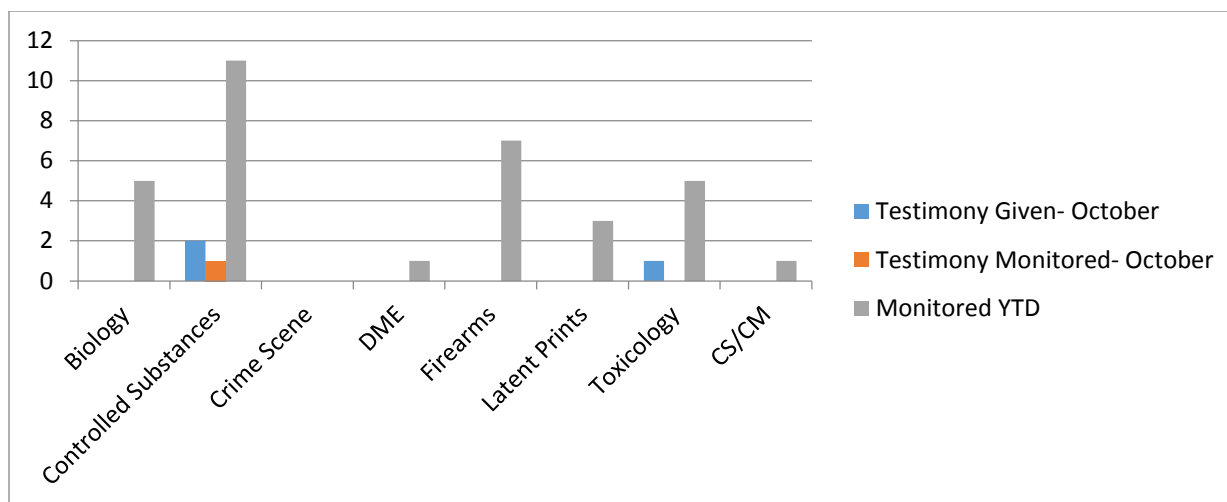
Date: November 1, 2017

Re: Quality Division Update for October 2017

TESTIMONY MONITORING

HFSC staff testified three times during the month as shown below. The testimony of one analyst was monitored. In addition, a Quality Specialist testified and was monitored in an out-of-state court for work done while employed at another laboratory. This testimony is not reflected in the below graphic. Testimony remains lower than usual due to flooding from Hurricane Harvey.

Two staff members testified this year but have not been monitored. HFSC intends to evaluate these individuals through transcript review, unless they testify again this year. If they do testify, they will be monitored in-person rather than via transcript. In first quarter 2018, HFSC will add yearly transcript review in addition to in-person testimony monitoring. We anticipate conducting transcript reviews on a quarterly basis. Information from transcript reviews will be included in monthly Quality Division reports.



PROFICIENCY TESTS

Proficiency activity is shown below.

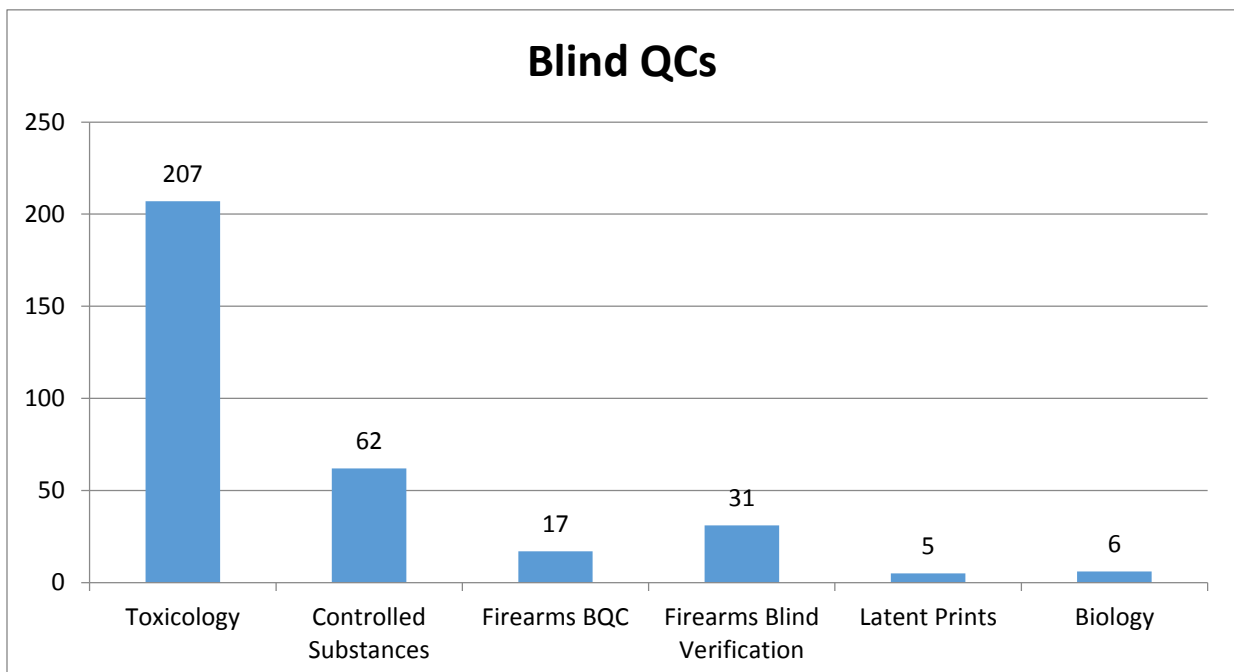
Test Identifier	Discipline	Number of Tests Assigned	Number of Participants	Date Assigned	Date Submitted to Provider	Issue?
17-5550	Digital: Mobile Device Examination	1	1	5/12/2017	5/18/2017	no
17-0201	Digital: Computer Examination	6	6	5/18/2017	7/10/2017	no
17-502	Controlled Substances (predistribution)	1	1	6/16/2017	7/13/2017	n/a
2017-1024-D	Forensic Multimedia: Video Analysis	5	5	6/23/2017	8/14/2017	n/a
PARF-B	Forensic Biology: Parentage	1	Varies	6/28/2017	8/10/2017	n/a
17-5704	Forensic Biology	9	Varies	7/19/2017	9/15/2017 (extended due to weather)	n/a
17-5661	Toxicology: Blood Drug	1	1	7/19/2017	8/22/2017	no
2017-2005	Forensic Multimedia: Audio Analysis	3	3	8/1/2017	9/14/2017	n/a
17-502	Controlled Substances: Drug Analysis	5	5	8/7/2017	9/12/2017	n/a

17-5705	Forensic Biology	9	Varies	9/15/2017	Due 11/02/2017	n/a
PARF-C 2017	Forensic Biology: Parentage	1	1	9/27/2017	Due 11/09/2017	n/a
17-5671	Toxicology: Urine Drug Analysis	1	1	9/29/2017	Due 11/24/2017	n/a
17-5191	Latent Print Processing	2	2	10/16/2017	Due 12/07/2017	n/a
17-527	Firearms Examination	5	5	10/20/2017	Due 12/14/2017	n/a

2017 BLIND QUALITY CONTROL PROGRAM

October activity is shown below.

Discipline	Number of Cases Assigned	Number of Cases Completed	Results
Toxicology	8	6	Satisfactory
Firearms – Blind Verification	2	1	Satisfactory
Firearms – Blind Quality Control	0	0	n/a
Controlled Substances	14	12	Satisfactory
Latent Print Processing	1	0	n/a
Biology	1	0	n/a



This above graph represents the number of BQC cases created since the beginning of the program (September 2015) through the end of October 2017.

See **Attachment 1** for additional BQC information.

INCIDENTS/CORRECTIVE/PREVENTIVE ACTIONS

Information regarding specific incidents and corrective actions reported during the month is included as **Attachment 2**.

COMPLAINTS

No complaints were received during the month.

DISCLOSURES

Latent Print corrective action 2017-055 (false negative) was disclosed to the Texas Forensic Science Commission on October 16. This self-disclosure will be discussed at the Commission meeting on November 3.

AUDITS and INSPECTIONS

The Quality Division conducted our yearly management review the week of October 23. The review was conducted in accordance with SOP and accreditation standards to ensure the suitability and effectiveness of our management system. We determined the management system is effective and made recommendations for continued improvement. See **Attachment 3** for a copy of the report.

Please let me know if you have any questions or need additional information.

Attachment 1



Blind Quality Testing Project Update – October 2017

Quality Division Goals

Discipline	Target Cases Assigned
Controlled Substances	8/month
Toxicology	8/month
Biology	2/month
Firearms – Blind Verification	1/month
Firearms – Blind Quality Control	1/month
Latent Print Processing	1/month
Latent Print Comparison	1/month

Challenges

- The new LIMS system will go online in the Latent Print section in November. The Quality Division will need to learn the new workflow so that the BQC cases are submitted according to the new procedure.
- Firearms BQC cases submitted are dependent on the destruction list. Targets are not met regularly.

Forensic Discipline

Cases Assigned

Controlled Substances	14
Toxicology	8
Biology	2
Firearms: Blind Verification	2
Firearms: Blind Quality Test	0
Latent Print Processing	1
Latent Print Comparison	0

On Target

Near Target

Target Not Met

October 2017 Results

Forensic Discipline	Cases Completed
Controlled Substances	12
Toxicology – BAC	6
Biology	0
Firearms – Blind Verification	1
Firearms – Blind Quality Control	0
Latent Print Processing	0
Latent Print Comparison	0

100%
Satisfactory

Mitigation

- The Burglary and Theft Division of HPD is assisting the BQC program by making case requests. This allows us to expand the case type submitted and ensure the cases mimic true casework.

Achievements

- The cases submitted in Controlled Substances were above target. If this can be sustained throughout November, the monthly target will increase.
- The Quality Division is still on track to implement BQCs in DME and Latent Prints in November.

Attachment 2

Quality Division Notifications

Incidents, Corrective and Preventive Actions

Thursday, November 02, 2017

9:17:33 AM

Page 1 of 1

Quality Notified

Summary of Notification

Comments

Audio Video

2017-IA-38 CAR	10/2/2017	Chain of custody errors were documented during a Forensic Multimedia Unit evidence audit.
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Biology

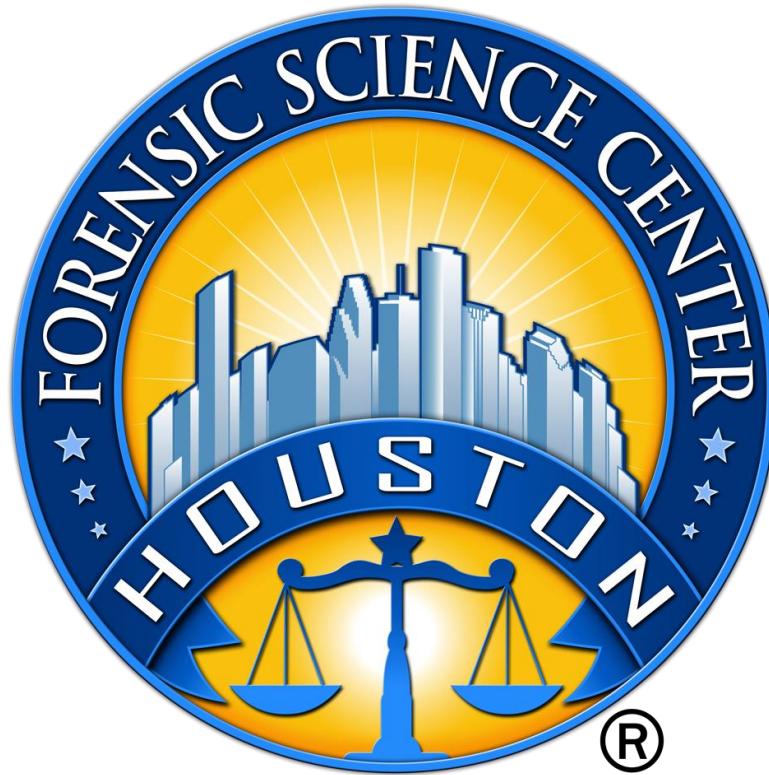
2017-082 IR	10/3/2017	The reagent blank was contaminated with the DNA of a Biology staff member.
-----------------------	-----------	----------------------------------------------------------------------------

2017-083 IR	10/20/2017	An incorrect file was imported onto the TECAN robot resulting in multiple samples having to be re-amplified.
-----------------------	------------	--------------------------------------------------------------------------------------------------------------

2017-084 IR	10/26/2017	Failure to follow SOP resulted in eight samples being compromised during the extraction process. Because they are low level DNA samples no attempt can be made to re-extract them unless permission to consume is obtained.
-----------------------	------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

HFSC's Quality Division investigates nonconforming work and helps develop solutions in compliance with accreditation and legal standards. With regard to the items listed above, the Division has not detected any use of inaccurate results in a criminal proceeding.

Attachment 3



Houston Forensic Science Center

Management Review 2017

Contents

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Purpose and Scope of the Management Review	3
Policies and Procedures	3
Manager and Supervisor Reports	5
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Incidents, Corrective Actions, and Preventive Actions	6
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Casework Requests	11
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Conflict Resolution	13
Recommendations for Improvement	13

This management system review was conducted the week of October 23-27, 2017, in accordance with Houston Forensic Science Center (HFSC) Quality Manual policy 4.15, ISO/IEC 17025:2005 clause 4.15, and ANAB supplemental requirement 4.15 and covers technical activities of the HFSC between September 2016 and September 2017.

The management system was found to be effective for the reasons stated throughout the report. However, recommendations for continuous improvement are listed in the [Recommendations](#) section.

Overview

HFSC is comprised of the following technical disciplines:

- Controlled Substances
- Crime Scene
- Digital and Multimedia
- Firearms
- Forensic Biology
- Latent Prints
- Toxicology

During this review period, HFSC discontinued offering analysis in the discipline of Trace Analysis due to a low number of requests. During the ANAB desk audit conducted in September 2017, HFSC asked ANAB to remove this discipline from HFSC's scope of accreditation.

As of this review, all disciplines except Crime Scene are accredited by ANAB to the ISO/IEC 17025 standard. The Crime Scene Unit is working to meet requirements of the ISO/IEC 17020 standard. The Controlled Substances, Firearms, Forensic Biology, and Toxicology sections are also accredited by the Texas Forensic Science Commission in accordance with Texas state law.

Purpose and Scope of the Management Review

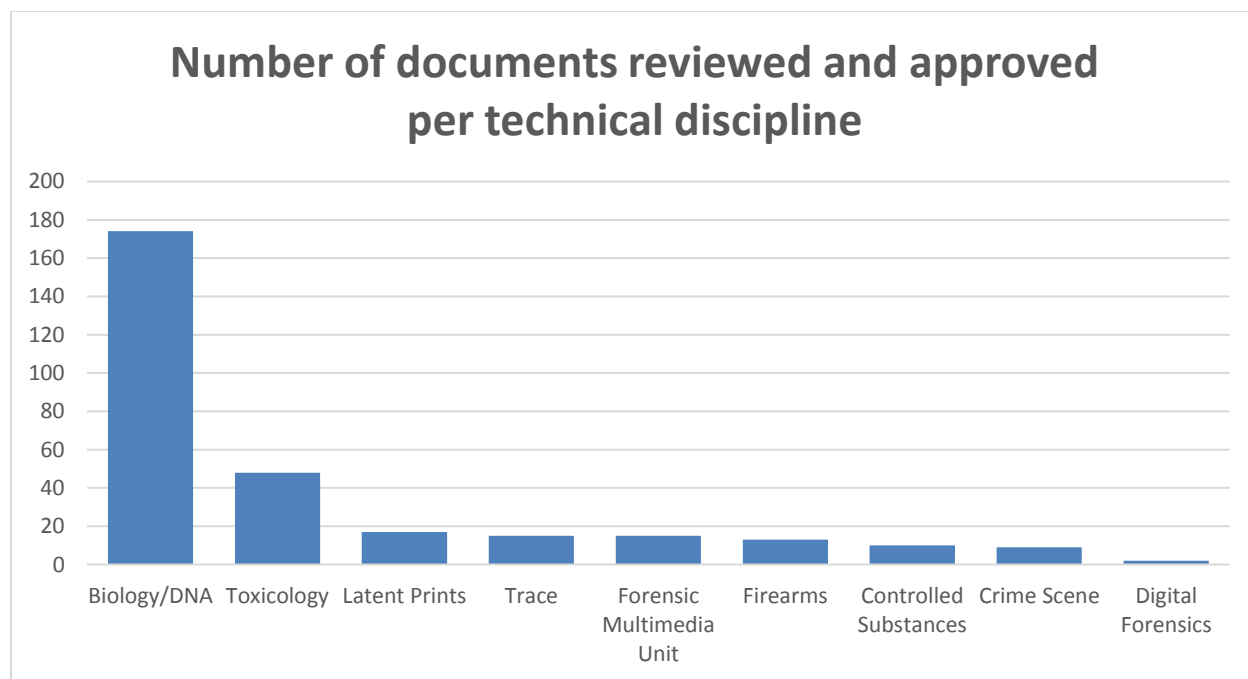
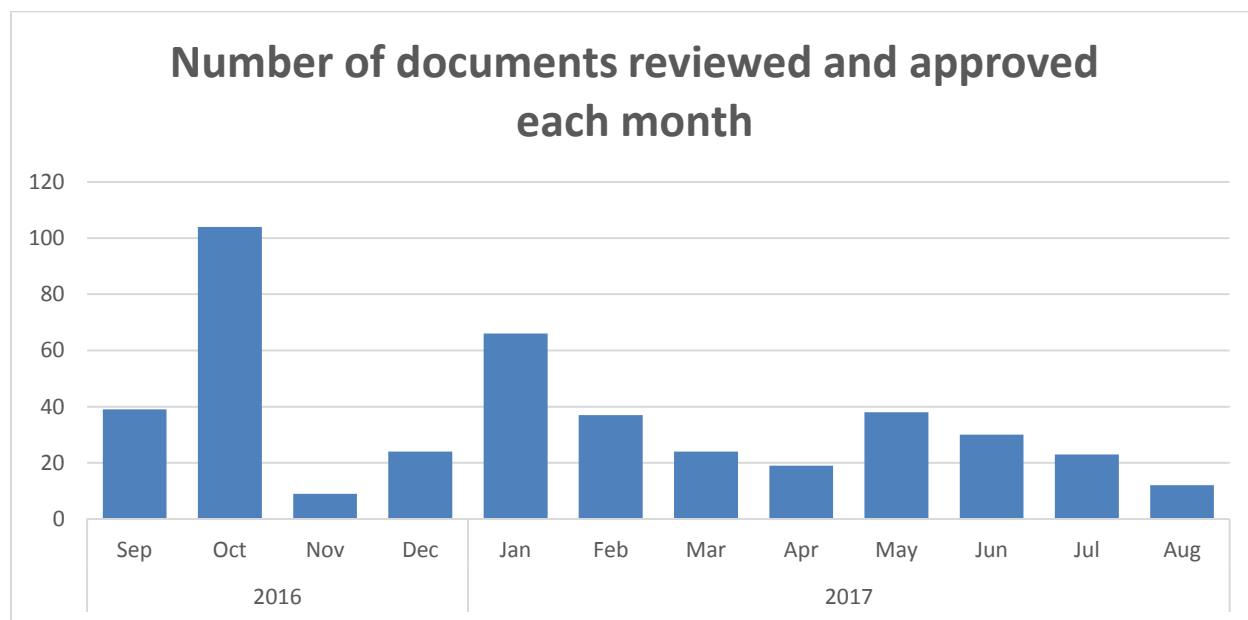
The purpose of this review is to ensure the suitability and effectiveness of HFSC's quality management system and to assess potential opportunities to improve our current system. For the purposes of this review, effective refers to the degree to which HFSC's objectives are achieved and the extent to which problems are solved. Management system refers to the policies, procedures, and processes in place that allow us to meet objectives. The review was conducted by Quality Director L. Wilson with assistance from Quality Division personnel A. Grimaldi, A. Harris, C. Hundl, C. Martinez, E. Ziemak, J. Moral, and P. Evans.

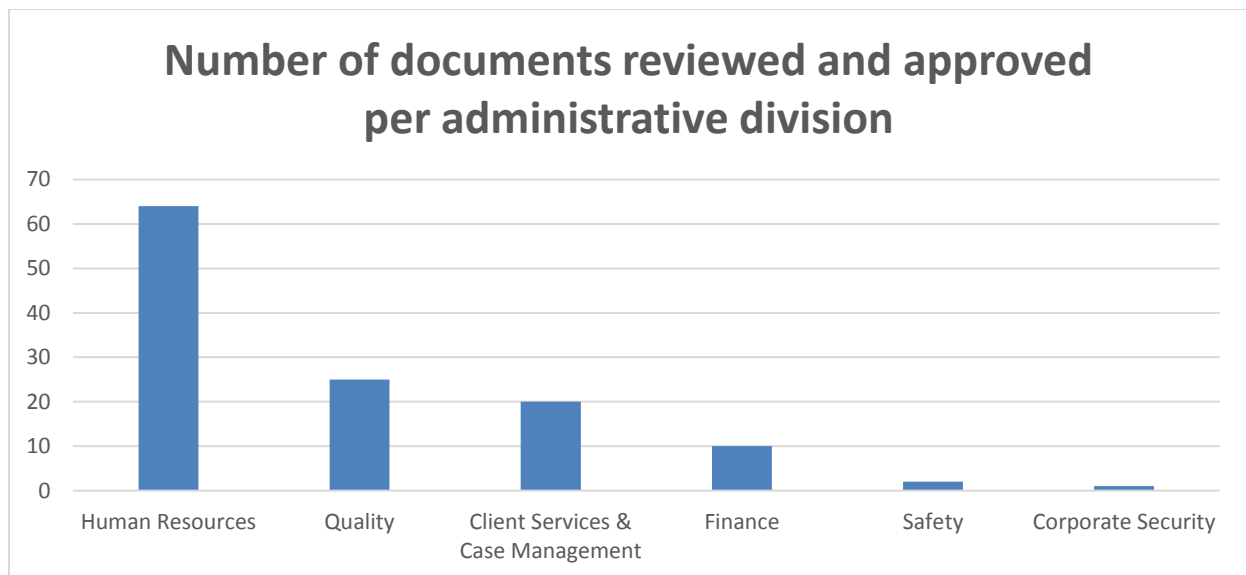
Policies and Procedures

The mission of HFSC is to receive, analyze, and preserve physical and digital evidence while adhering to the highest standards of quality, objectivity, and ethics. To meet these expectations, sectional policies and procedures are controlled, reviewed, and changes made as necessary. Technical documents are maintained in Qualtrax. Corporate policies and procedures are accessed through the HFSC intranet or

directly through Qualtrax. This past year, all technical procedures were reviewed as part of internal audits. Overall, the policies and procedures were determined to be suitable to the mission of HFSC and revisions were made as needed.

Many management system documents, including sectional SOPs, training manuals, and worksheets, were revised during the timeframe of this management review. Please see Qualtrax for specific information regarding these revisions.





Although the Quality Manual was reviewed, a revised version has not been published. SOPs that were not revised were reviewed during this review period or will be reviewed before the end of this calendar year.

Manager and Supervisor Reports

HFSC compiles manager and supervisory information that is shared monthly with the HFSC Board of Directors. This information includes, but is not limited to:

- Case metrics including requests received, requests completed, turnaround time, and backlog per discipline
- Training received and given
- Testimony
- Audits and assessments
- Incidents/Corrective Actions/Preventive Actions
- SOP revisions
- Budget

The budget and operations metrics are further discussed at monthly Company meetings that are open to all HFSC staff. These and additional topics, including quality, are discussed at bi-weekly management meetings.

Details pertaining to reports shared with or presented to the Board of Directors can be viewed by clicking <http://houstontx.swagit.com/play/10182016-517/>. Metrics are also posted on HFSC's public website and are updated weekly.

Internal Audits

The Quality Division, with assistance from HFSC staff, conducted internal audits of all accredited sections of the laboratory. Audits were conducted monthly in accordance with the calendar shown below. Included on the calendar are the yearly ANAB surveillance/desk audit and this management review.

Item	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
Controlled Substances	X											
Digital Forensics			X									
Forensic Multimedia			X									
Firearms				X								
Forensic Biology								X				
Latent Prints							X					
Toxicology		X										
Trace	X											
ANAB Desk Audit									X			
Management Review										X		

These audits were conducted using the ISO/IEC 17025:2005 standard, ANAB supplemental requirements, the FBI Quality Assurance Standards for DNA Testing Labs, and current policies and procedures, including the Quality Manual. A total of 38 nonconformances were noted during these audits. As of October 23, ten of these remain open, nine from Forensic Biology and one from the Forensic Multimedia Unit. See [Incidents, Corrective Actions, and Preventive Actions](#) for additional details.

Please review the audit reports and statements of qualifications for internal auditor credentials. All auditors were either trained assessors, certified quality auditors, or received audit training prior to participating in the audit process.

Incidents, Corrective Actions, and Preventive Actions

Incidents (IRs), corrective actions (CARs), and preventive actions (PARs) are tracked by the Quality Division using a database and Qualtrax workflows. During the time frame covered by this review, the following were documented by the Division:

- 74 Corrective Actions

- 38 were related to internal audits
- 4 action items were listed during the NDIS audit (see [External Assessments](#) for more information)
- 95 Incidents
- 3 Preventive Actions

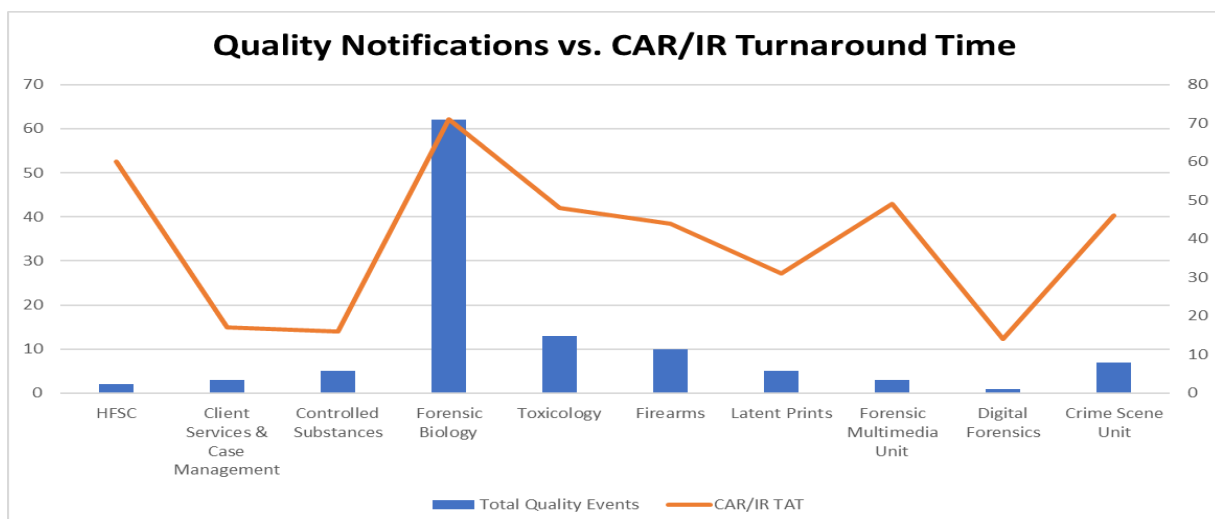
There were four incidents involving the proficiency testing program. An overview of each is included below. Please see the Quality Division for additional details.

- A transcription error was made on Latent Print test 16-517. The error was made when the examiner transcribed his results into the CTS web portal data sheets. Examination documentation showed consensus results were obtained.
- During an evidence audit conducted in December 2016, evidence from Biology test 16-571 was found in the Biology room temperature storage room. The chain of custody indicated the items associated with this test were still in the analyst's custody.
- On Latent Print test 16-5191, an examiner recorded the wrong quadrant in which a print was obtained. Examination documentation, including photographs, indicated the print was obtained from the quadrant listed in the CTS consensus results.
- One latent print processor used a pencil to complete the paper-based CTS data sheets for test 17-5190. This is a violation of Quality Manual clause 4.13.

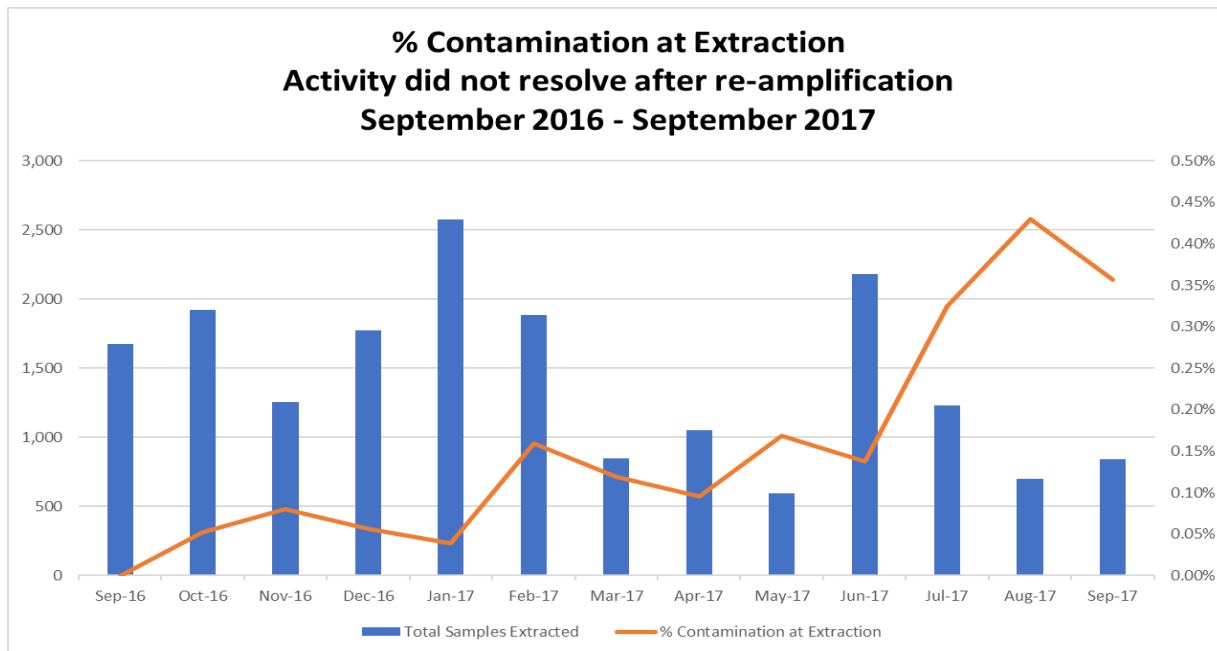
These tests were deemed successful by the Quality Division.

IRs, CARs, and PARs are added to LIMS as case reports viewable by clients authorized to access LIMS. IRs, CARs, and PARs are also available for review through HFSC's public eDiscovery website (<http://www.hfscdiscovery.org/>).

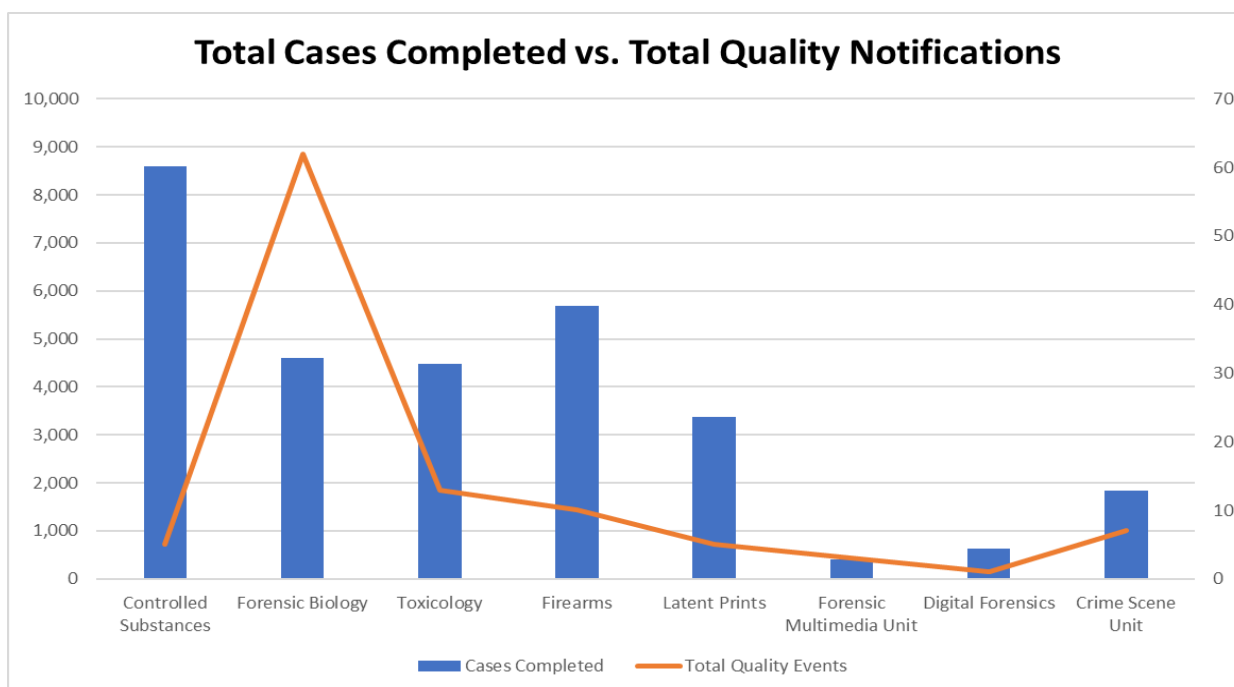
It is the opinion of Quality Division staff that multiple 2016 Forensic Biology IRs and CARs were not closed in a timely fashion. A CAR was opened to address this and to prevent a recurrence. Please see CAR 2017-IA-030 for more detail.



Between July and September 2017, an increase in contamination was observed in the Biology section. Some of these contamination events were classified as incidents at the time of occurrence. However, a corrective action was initiated, in accordance with the Biology SOP, to determine the root cause of the increased contamination events reported during this time.



The following graphic illustrates the numbers of occurrences reported to the Quality Division compared to the number of cases reported by discipline between September 2016 and 2017.



Total Quality Notifications does not include internal audit and NDIS audit nonconformances or preventive actions.

External Assessments

During the management review period, HFSC had our annual ANAB surveillance, conducted in September 2017 as a desk audit. ANAB determined HFSC was compliant with all accreditation standards reviewed during the audit. Please see ANAB's Enterprise Quality Manager (EQM) site (<http://anab.org>) for the desk audit report.

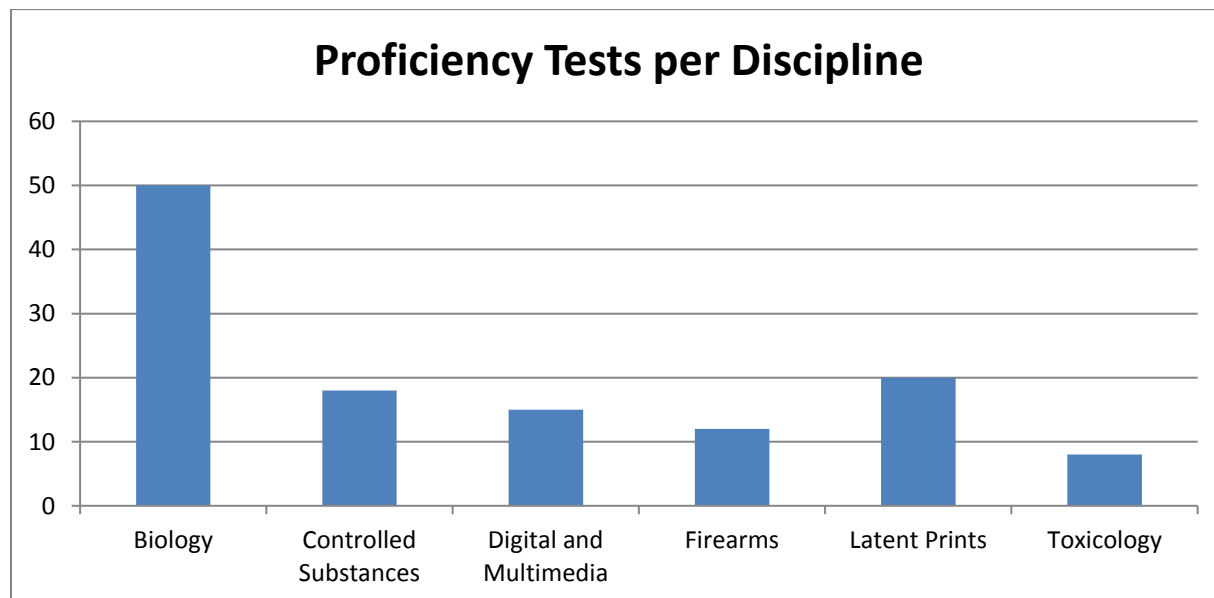
An NDIS Participation Assessment was conducted from April 11 to 13, 2017. The assessment team was selected by the FBI CODIS Unit. Please see the report dated May 8, 2017, for details of action items that required corrective action.

Proficiency Testing

Analysts completed proficiency tests in accordance with accreditation standards, QAS requirements, and HFSC policy. Tests were obtained from ISO/IEC 17043 accredited vendors Collaborative Testing Services, Inc. (CTS), the International Society of Forensic Computer Examiners, and Forensic Testing Services. The following non-accredited vendors were also used: College of American Pathologists (CAP) and Resolution Video. ANAB previously approved the use of the Resolution Video proficiency tests for the Audio/Video Unit and an internal proficiency program for the Crime Scene Unit.

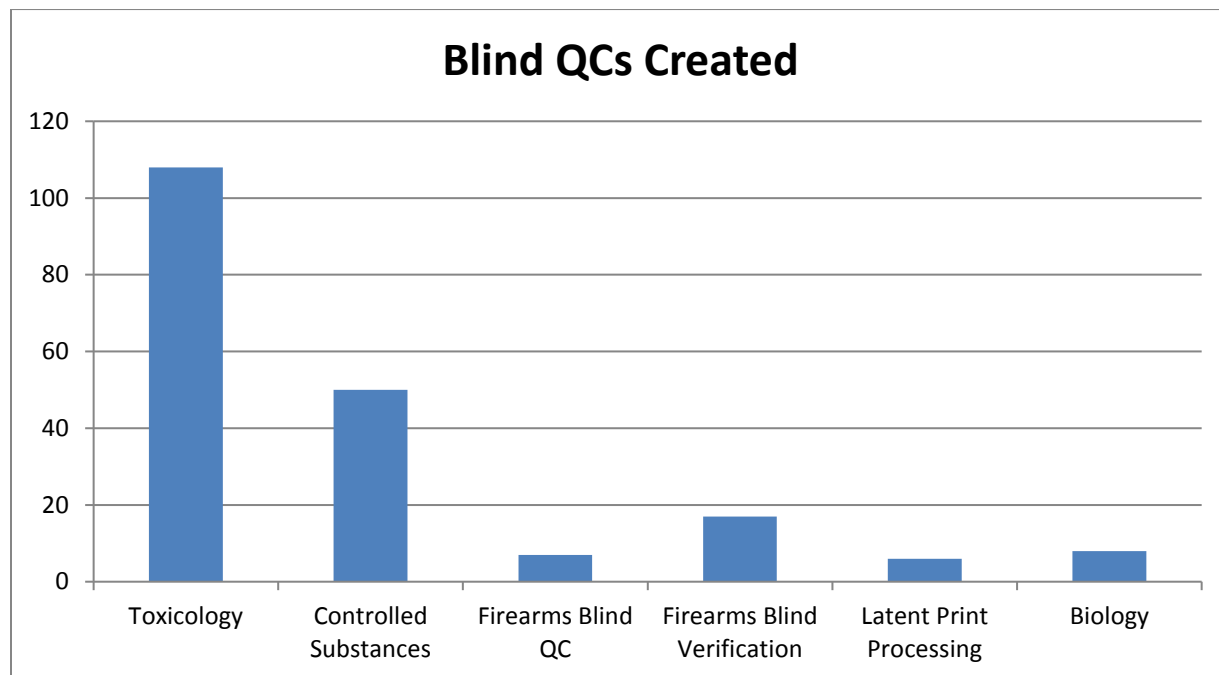
The HFSC Crime Scene Unit did not complete any proficiency tests during the review period.

Unless otherwise noted (see [Incidents](#), [Corrective Actions](#), and [Preventive Actions](#)), all proficiency tests were completed successfully. Please see the chart below for the number of tests distributed for each discipline.



The numbers above are representative of the number of proficiency tests assigned between September 1, 2016, and September 1, 2017.

Details on the Blind Quality Control (BQC) cases added to sectional workflows are shown below. These numbers also reflect a September to September timeframe.



Some obstacles associated with the BQC program were addressed during the review period. These include:

- The Quality Division has a BQC laboratory where equipment and supplies are stored. It is anticipated that a larger lab space will be available soon.
- Firearms are obtained from the Houston Police Property Room, used in the BQC program, and then returned to the Property Room within 30 days as requested by HPD.
- The Latent Print Section began using MorphoTrak in September 2017. MorphoTrak is a computer system that allows HFSC to access and search unknown latent prints stored in the Harris County Sheriff's Office Regional Record and Palm Print Repository. The ability to search prints locally typically results in "hits" being returned more quickly to the examiners. Prior to MorphoTrak, the Quality Division could not distribute blind LP comparison cases. With MorphoTrak, the Quality Division can advance the BQC program because 'record' prints (such as those from Quality Division staff) can be added to the repository. These prints will then be available for comparison during the blind tests. The Quality Division anticipates adding LP comparisons to the BQC program by the end of 2017.

The following issues either have not been addressed since the 2016 management review or arose during the review period:

- Obtaining forfeited controlled substances has proven difficult due to legal implications. We expect this process to be simplified by requesting the use of only those cases submitted for destruction.
- Current LIMS does not allow information to be concealed from analysts' view. The new LIMS, which is expected to be fully implemented by January 2018, may address this issue.

Due to the large caseloads in HFSC's technical sections, the Quality Division is no longer targeting BQC samples equaling 5% of the total caseload. Currently, at least one BQC sample is included in every Toxicology blood alcohol run (eight/month), and at least eight/month in Controlled Substances, two/month in Biology, and at least one/month in the other disciplines shown in the BQCs Created chart. In addition, by the end of calendar year 2017, the Digital and Multimedia Unit should be participating in the program. Drug toxicology was added in July 2017.

Casework Requests

Overall, requests for analysis have increased for HFSC disciplines. Detailed information related to requests for analysis, turnaround times, and average in-process analytical times are reported to the Board of Directors on a monthly basis. The monthly operations report is posted on the HFSC website at <http://houstonforensicscience.org>. Because this information is updated routinely, graphics will not be reproduced in this report.

Section	Beginning Backlog	Cases Received	Cases Completed	Ending Backlog	Average TAT from Receipt	Average TAT from Assignment (days)
Controlled Substances	3	8,526	8,603	6	12	6
Biology/DNA	730	5,690	4,288	826	83	46
Toxicology	380	4,289	4,458	19	36	14
Firearms	89	5,847	5,718	11	17	7
Latent Prints	3,175	3,843	3,374	2,736	119	21
DME	215	977	1,005	89	52	26
Crime Scene Unit	365	1,834	2,099	62	31	40

Metrics obtained from LIMS for the period September 2016-September 2017
Backlog is defined as analysis not completed within 30 days of receipt of request.

To keep up with the demands for analysis, some sections improved the efficiency of their workflows. Examples of this include:

- Continuation of Biology Lean Six Sigma project

- Preliminary AFIS Associations in the Latent Print Unit
- Controlled Substance analysts now receive case assignments twice/week rather than once. This resulted in a decrease in TAT by as much as five days.

HFSC Human Resources Division ensured that positions were filled in a timely fashion. This included filling 13 new positions that were created in the Crime Scene Unit (CSU). These 13 staff members completed the first HFSC Crime Scene Training Academy, an in-depth 400-hour training program.

HFSC also created additional supervisor and lead analyst positions in Forensic Biology as a result of the LSS project. Additional supervisor positions were also created in the CSU. Some staff members in administrative functions were reassigned to assist with the LIMS implementation project. A new position, Director of Information Strategy, was created to lead this and future projects. In many instances, current staff members were promoted into these positions, showing HFSC's dedication to developing and retaining staff.

Client Feedback

HFSC seeks client feedback in several ways. These include, but are not limited to:

- Website survey and Contact Us link <http://houstonforensicscience.org/contact-us.php>
- Evaluations of training provided and seminars hosted by HFSC
- Meetings between HFSC top management and high ranking officials of the Houston Police Department
- In person communications with clients such as San Jacinto County Sheriff's Office
- Business development meetings and tours with numerous agencies in the surrounding area

Feedback from the District Attorney's Office resulted in the Controlled Substance workflow change mentioned in the [Casework Request](#) section of this report.

The website survey has been ineffective in capturing client feedback. To date, no surveys have been completed.

Complaints Received

An internal concern with the Latent Print laboratory was handled by the Quality Division as a complaint. The complaint was investigated by the Quality Division in accordance with Quality Manual procedure 4.8.1 and determined to be unfounded. Specific details of the complaint will not be included in this report. Three complaints were filed with the Texas Forensic Science Commission (TFSC). Two involved DNA and the other involved fire debris analysis. Additional information can be found at <http://www.fsc.texas.gov/cases>.

HFSC disclosed several nonconformances to ANAB and the TFSC. Nonconformances disclosed to ANAB are also disclosed to TFSC in accordance with TFSC accreditation guidelines. The disclosures included:

- HFSC did not make timely notifications on all local DNA database hits

- The Forensic Multimedia Unit (FMU) issued some reports that contained the ANAB logo but the work was done before the section was accredited. One report included results of comparative analysis but the FMU is not accredited in comparative analysis.

TFSC self-disclosures involved the CSU and Controlled Substance, Biology, Latent Print, and Toxicology sections. See the TFSC website at www.fsc.texas.gov for details.

Conflict Resolution

Accreditation standards require a review of technical conflicts arising in the Latent Print Section to be included in this management report. Between September 2016 and September 2017, twenty-five consultations were documented in accordance with the [Latent Print Conflict Resolution and Consultation Procedures](#). Definitions of *conflict* and *consultation* are included in the above policy.

Although the Firearms Unit is not currently tracking conflicts, a resolution policy will be included in the next sectional SOP revision. Currently, technical disagreements that rise to the level of conflict are either resolved by section management or are forwarded to the Quality Division for resolution. No such disagreements were forwarded to Quality during this review period. Conflicts will also be tracked in the new LIMS which should be fully operational by early 2018.

Other Factors

- Qualtrax has allowed HFSC to better manage controlled documents and decrease the turnaround time on Quality incidents and corrective actions. Qualtrax also allowed improved tracking of completed training and has recently been used to track testimony evaluations.
- As previously stated, HFSC is in the process of implementing a new LIMS. Full implementation is expected by January 2018.
- In instances of business need, HFSC implemented a four day/ten-hour work schedule. This is another indication of HFSC's commitment to staff.
- Additional equipment such as Tecan robots, Quadrupole Time of Flight (QTOF) screening, and MorphoTrak allows HFSC to more quickly meet client requests for timely analysis.
- HFSC hosted the regional Southwestern Association of Forensic Scientists (SWAFS) conference in September 2016. Many staff members worked together to make this conference a success.

Recommendations for Improvement

Overall, the management system was found to be suitable and effective in meeting the needs and mission of HFSC. Within the timeframe of this report, productivity increased and turnaround times decreased. Timely notification of quality-related issues also improved. However, there are opportunities to continuously improve our current management system. The following are some recommendations.

- The crime scene accreditation project must continue moving forward. CSU staff must be willing to abandon 'historical ways of doing things' in favor of HFSC's policies, procedures, and Quality Manual requirements. The CSU should be accredited before the end of calendar year 2018.
- CSU staff did not complete any proficiency tests during the review period. Although not required since the unit is not accredited, proficiency tests add value and should be given to investigators on a yearly basis.
- HFSC should continue to grow the BQC program. This includes expanding into database-dependent casework such as DNA and Latent Print comparison analyses. Increasing the number of controlled substance tests is still heavily dependent upon obtaining testing material that mimics routine casework.
- Although the time between occurrence, notification, and close out of quality incidents has improved, additional improvements are needed to obtain and maintain the HFSC goal of a 30-working day turnaround time (TAT) between notification to the Quality Division and close-out. In most instances, IRs/CARs/PARs remain in the Edit stage in Qualtrax longer than any other stage in the workflow. The Quality Division has provided workflow training to Biology staff with plans to train all sections. With training given to all staff, the 30-day TAT goal should be attainable.
- Revised corporate policies are uploaded to Qualtrax in accordance with document control procedures. However, notification of revision is not always given to staff members affected by the change(s).
- Although not required by policy, it is the intent of HFSC to have all SOPs posted on the eDiscovery site. All documents are not currently posted.