

	LOM 2.2 Risks and Opportunities	
	<i>Document #: 1334</i>	<i>Page 1 of 1</i>
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2.2 Risk and Opportunities Assessment

Assessing risks and opportunities is a proactive element of the Quality Management System used to identify opportunities for improvement such that the laboratory may achieve its purpose and objectives. Additionally, identifying and addressing risks and opportunities will prevent, or reduce, negative impacts on the quality of work produced during laboratory activities. All members of the Forensic Science Division are encouraged to identify risks and opportunities associated with laboratory activities. Members of the management team may initiate a Qualtrax workflow titled Risk Assessment. Analysts, examiners, technicians and administrative staff should forward potential risks and opportunities to their immediate supervisor for possible initiation of the Risk Assessment workflow. The workflow will capture details of the risk/opportunity, the owner of the risk/opportunity assessment and monitoring, the level of risk associated with the risk/opportunity and numerous additional factors. The workflow is designed to address the risk/opportunity, initiate corrective actions when necessary and monitor the change in risk tolerance over time. The actions taken to address or mitigate the risk/opportunity shall be proportional to the potential impact on the validity of the laboratory activities and operation.

Once the risk/opportunity workflow instance has been completed, it is maintained in a closed status and may be reviewed during auditing activities. During the annual Management System Review, the status and effectiveness of each Risk Assessment workflow instance will be evaluated for effectiveness.

Identification of risks and opportunities may include but is not limited to:

- Suggestions and recommendations from clients (e.g. Witness Evaluation form FSD-12, Testimony Technical Review, or the Crime Scene Evaluation form FSD-40), vendors, and employees (Opinion, Comments, and Suggestion Form FS-22)
- Review of the operational procedures
- Identification of instrument/equipment needs
- Observations of logs and maintenance records
- Monitoring proficiency test results
- Constructive discussions at Laboratory Director/Technical Leader meetings, unit meetings and division-wide meetings
- Exposure of analytical staff to new or refined processes, protocols, instrumentation and equipment at national or regional professional conferences, meetings, symposiums and workshops
- Participation in internal and external audits and assessments
- Process mapping
- Exit interviews

All Risk Assessment workflow instances shall be retained for future review/inspection.