

13.0 Records

- 13.1 The laboratory maintains procedures for the identification, collection, indexing, access, filing, storage, maintenance and disposal of administrative and measurement-related records. All records are readily retrievable and maintained in a suitable environment. (See Appendix H, AP No. 22.)
- 13.2 To ensure that the laboratory records are secure and to prevent destruction or tampering, the laboratory records are kept in locked cabinets and access to the files are limited to the laboratory staff. Records include information required by regulation or associated with original test observations, calculations, and reported results. Type evaluation data is recorded in permanent form at the time of test, in bound notebooks, or on standard forms on file (see Appendix O, Forms). Permanent ink is used to record the actual data, and no erasures or whiteouts are made. Any corrections to data are made by drawing a single line through the entry and initialing the change with a note as to why the change was made. The type evaluation test number is included on the data sheets to ensure that the data and calculations are identifiable to the specific job. Type evaluation records contain sufficient detail to permit any necessary repetition of the evaluation and identification of the components of uncertainty. Records of original data include the following:
- 13.2.1 Test Procedure used;
 - 13.2.2 Description of, and reason for, any deviation from the standard operating procedure (SOP);
 - 13.2.3 Identity of the personnel performing testing;
 - 13.2.4 Identity and description of objects under test;
 - 13.2.5 Identity of equipment or apparatus used;
 - 13.2.6 Identity of standards used and reference to traceability;
 - 13.2.7 Date of test;
 - 13.2.8 Original test data;

- 13.2.9 Derived data;
 - 13.2.10 Type evaluation control number and State test number if appropriate;
 - 13.2.11 Environmental data during test when applicable (see Section 8 Laboratory Facilities and Environment); and
 - 13.2.12 Work order.
- 13.3 Records, including those in computer files, are accessible only to authorized personnel. Computer files are backed-up for protection against loss (see Appendix H, AP No. 22 Record Maintenance). [NOTE: Include a brief explanation of how your files are backed-up and how access to your electronic records are controlled.]
- 13.4 Two categories of records are maintained by the laboratory: administrative and measurement-related. The laboratory maintains and retains the following records in the locations stated for the specified amount of time. [Note: Laboratories should include a statement addressing the specific retention time of records according to State or laboratory policy.]

Administrative		
List of Records	Location	Retention Time
Audit		
Complaints/ Feedback/ Preventive and Corrective Action		
Deviations from Accepted Procedure		
Management Review		
List of Approved Signatories		
Subcontractors and Outside Suppliers (evidence of compliance to the quality system)		
List of Key Personnel Performing Other Duties		
Controlled Document Distribution List		
Personnel Training and Competency		
Contract (Application) Review and Client Discussions		
Internal Audits		
Validation of Test Methods		
Management Staff Authorization and Assignment for Testing		
Inspection and Verification of Support Services and Supplies and Resulting Actions		

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Measurement-Related		
List of Records	Location	Retention Time
Test Reports (Certificates)* and Amendments to Test Reports (Certificates)		
Original Test Data		
Environmental Conditions/Deviations Log		
Calibration and Maintenance (Standards and Equipment)		
Software Verification		
Working Standards Calibration Reports		
Equipment Assessment		
Assessment of Uncertainties		
Interlaboratory/Proficiency Test Results		
Equipment Operation and Instruction Manuals		

*Certificates are Certificates of Conformances (CC)