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(was SOP-15.09)

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Effective Date: 02/09/07

Environment & Remediation Support Services

Standard Operating Procedure

for **CHAIN-OF-CUSTODY FOR ANALYTICAL DATA
RECORD PACKAGES**

APPROVAL SIGNATURES:

Subject Matter Expert:	Organization	Signature	Date
Keith Greene	ERSS	Signature on File	1128/06
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1.0 PURPOSE AND SCOPE

The purpose of this procedure is to describe the process for establishing and maintaining a proper chain-of-custody in the management and processing of analytical data record packages for Los Alamos National Laboratory (LANL or Laboratory) Environment & Remediation Support Services (ERSS) Division.

2.0 BACKGROUND AND PRECAUTIONS

2.1 Background

Controls are established to assure that only correct and acceptable items are used, installed, or analyzed. ERSS' work includes sampling and analysis activities, which require identification to be maintained on the items (i.e., samples) or in documents traceable to the items, or in a manner that assures that identification is established and maintained.

Sample identification is maintained from sample collection through analysis and reporting. The chain-of-custody form provides this traceability.

Physical identification is used to the maximum extent possible. Where physical identification on the item is either impractical or insufficient, physical separation, procedural control, or other appropriate means is employed. Identification markings are applied using materials and methods that provide a clear and legible identification and do not degrade the function or service life of the item. Markings are transferred to each part of an identified item when subdivided and may not be obliterated or hidden unless other means of identification are submitted.

Samples, sample preservation solutions, or any other items having limited shelf life are identified and controlled to preclude use of items whose shelf life has expired. These items are clearly marked with the date of expiration and are removed from service when the item has expired.

2.2 Precautions

None.

3.0 EQUIPMENT AND TOOLS

None.

4.0 STEP-BY-STEP PROCESS DESCRIPTION

4.1 Receive an Analytical Data Record Package from a Contract Laboratory

- | | | |
|---------------------|----|--|
| SMO Staff
Member | 1. | Log the analytical data record package into the SMO database by Request Number. |
| | 2. | Stamp the analytical data record package with a dated receipt stamp. |
| | 3. | Separate the field (duplicate) data package from the analytical data record package. |

4.2 Issue a Field Data Package

- | | | |
|---------------------|----|---|
| SMO Staff
Member | 1. | Stamp the field data package with the "Field Copy" stamp. |
|---------------------|----|---|

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- | | | |
|---------------------------------|----|---|
| SMO Staff Member
(Continued) | 2. | Notify the LANS technical representative identified in the SMO Sample Tracking Application database that the field data package is ready for pick-up. |
| | 3. | Issue the field data package to the data user, who signs for it; no further tracking of this copy is maintained. |

4.3 Initiate an Analytical Data Record Package

- | | | |
|------------------|----|--|
| SMO Staff Member | 1. | Provide the following information in Section I of the Data Validation Cover Sheet form (see Attachment 1) and attach the cover sheet to the analytical data record package: <ul style="list-style-type: none"> • the LANL charge code; • the Request Number; • the name of the contract laboratory; and • the analytical suites contained in the analytical data record package. |
| | 2. | Send the analytical data record package to the contract laboratory that is responsible for editing and routine data validation. |
| | 3. | After receipt following editing and validation by the contract laboratory, place the analytical data record package into a temporary records management location within the SMO controlled access area. |

4.4 Issue an Analytical Data Record Package

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|------------------|----|--|
| SMO Staff Member | 1. | Provide the following information to Section I of the Data Record Package Chain-of-Custody (COC) form (see Attachment 2): <ul style="list-style-type: none"> • the Request Number for each analytical data record package being transferred; and • the name of the requestor of the data record package. |
| | 2. | Sign and date Section II of the COC form on the "Relinquished by" line. |
| Data User | 3. | Sign and date Section II of the COC form on the "Received by" line. |
| SMO Staff Member | 4. | Transfer a copy of the COC form with the data record package to the Data User. |
| | 5. | Duplicate the COC form and place the copy in the data file folder maintained at the SMO for each respective Request Number listed in the COC form. |

4.5 Manage an Analytical Data Record Package

- | | | |
|------------------|----|--|
| Data User | 1. | Retain the duplicate COC form generated by the SMO for each analytical data record package in the data user's custody. |
| SMO Staff Member | 2. | Notify the Data User to return the analytical data record package when it has not been returned to the SMO within thirty (30) calendar days of being checked out. |
| | 3. | Notify management to the existence of the delinquent analytical data record package when it has not been returned within three (3) working days of the notification. |

4.6 Return an Analytical Data Record Package to the SMO

- | | | |
|------------------|----|---|
| Data User | 1. | Return the analytical data record package to the SMO. |
| | 2. | Sign and date the COC form in the “Relinquished by” section. |
| SMO Staff Member | 3. | Sign and date the COC form in the “Received by” section. |
| | 4. | Retain the original copy of the COC form upon transfer of the analytical data record package. |
| Data User | 5. | Retain a copy of the COC form. |
| SMO Staff Member | 6. | Place a copy of the COC form in the data file folder for each respective Request Number. |
| | 7. | Return the analytical data record package to the data record package management location within the controlled access area. |

4.7 Records

- | | | |
|------------------|----|--|
| SMO Staff Member | 1. | Submit the following records generated from this procedure to the Records Processing Facility: <ul style="list-style-type: none"> • SMO copy of the COC form (only the most current completed form); • Completed analytical data record package; • Data Validation Cover Sheet form; and • any other pertinent information (e.g., internal memoranda). |
|------------------|----|--|

5.0 PROCESS FLOW CHART

Flow chart is to be included at a later date.

6.0 ATTACHMENTS

Attachment 1: 5085-1 Data Validation Cover Sheet (1 page)

Attachment 2: 5085-2 Data Record Package Chain-of-Custody (1 page)

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7.0 REVISION HISTORY

Author: Keith Greene

Revision No. <i>[Enter current revision number, beginning with Rev.0.0]</i>	Effective Date <i>[DCC inserts effective date for revision]</i>	Description of Changes <i>[List specific changes made since the previous revision]</i>	Type of Change <i>[Technical (T) or Editorial (E)]</i>
0.0	02/09/07	New document number, reformatted and renumbered. Supersedes SOP-15.09.	E

[Using a CRYPTOCARD, click here to record "self-study" training to this procedure.](#)

If you do not possess a CRYPTOCARD or encounter problems, contact the ERSS training specialist.

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ATTACHMENT 1: DATA VALIDATION COVER SHEET

5085-1 Data Validation Cover Sheet	Records Use only
	

Section I

Request number:	Validation date:	LANL charge code:						
Contract Laboratory name:								
Validator:		Organization:						
Analytical suite (check all that apply) <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> volatile organics</td> <td><input type="checkbox"/> high explosives</td> </tr> <tr> <td><input type="checkbox"/> semivolatile organics</td> <td><input type="checkbox"/> inorganics</td> </tr> <tr> <td><input type="checkbox"/> organochlorine pesticides/polychlorinated biphenyls</td> <td><input type="checkbox"/> radiochemistry</td> </tr> </table>			<input type="checkbox"/> volatile organics	<input type="checkbox"/> high explosives	<input type="checkbox"/> semivolatile organics	<input type="checkbox"/> inorganics	<input type="checkbox"/> organochlorine pesticides/polychlorinated biphenyls	<input type="checkbox"/> radiochemistry
<input type="checkbox"/> volatile organics	<input type="checkbox"/> high explosives							
<input type="checkbox"/> semivolatile organics	<input type="checkbox"/> inorganics							
<input type="checkbox"/> organochlorine pesticides/polychlorinated biphenyls	<input type="checkbox"/> radiochemistry							
Other (describe):								


Section II Completeness Check

Yes	No	n/a	Check One	Yes	No	n/a	Check One
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. Chain-of-custody form(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. Raw/BSS data
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. Case narrative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. Quality control forms
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. Sample result forms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8. Quantitation reports
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. Sample chromatograms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9. TICs forms
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. Standard chromatograms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10. TICs mass spectra

Identify any samples in the assigned request number that are missing:

Comments/problems noted (include information about requests for further information submitted to the contract laboratory and agreed upon date of resolution and contract laboratory point of contact):

Validator's signature:	Date:
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ATTACHMENT 2: DATA RECORD PACKAGE CHAIN-OF-CUSTODY	
5085-2	Records Use only
Data Record Package Chain-of-Custody	
	
Section I Data Package information (relinquisher completes)	
New issue? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Request number(s)	
Data package requestor (check one) <input type="checkbox"/> Editing/validation <input type="checkbox"/> User	
Name (print):	Phone:
ERSS Project Team:	Z number:
Section II Authorizing Signatures	
Relinquished by:	
Signature:	Date:
I accept custody of the above listed data package(s).	
Received by:	
Signature:	Date:
Relinquish by:	
Signature:	Date:
I accept custody of the above listed data package(s).	
Received by:	
Signature:	Date:
Comments:	
Validator's signature:	Date: