

Identifier: SOP-5269  
(formerly EP-ERSS-SOP-5085, R0)

Revision: 0



Effective Date: 02/09/2010

Next Review Date: 02/09/2015

## Environmental Programs Waste & Environmental Services

### Standard Operating Procedure

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

#### APPROVAL SIGNATURES:

<b>Subject Matter Expert:</b> Joylene Valdez	<b>Organization</b> WES-EDA	<b>Signature</b> Signature on file	<b>Date</b> 2/2/2010
<b>Responsible Line Manager:</b> Craig Eberhart	<b>Organization</b> WES-EDA	<b>Signature</b> Signature on file	<b>Date</b> 2/2/2010

Title: Chain-of-Custody for Analytical Data Record Packages	No.: SOP-5269	Page 2 of 5
	Revision: 0	February 9, 2010

## 1.0 PURPOSE AND SCOPE

This standard operating procedure (SOP) states the responsibilities and describes 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).

This procedure integrates the criteria of the Quality Assurance Plan for the Environmental Programs, hereinafter referred to as the Quality Assurance Plan.

All **SMO team members** shall implement this procedure when processing analytical data record packages.

## 2.0 BACKGROUND AND PRECAUTIONS

### 2.1 Background

This procedure conforms to the requirements of legal defensibility of Analytical Data.

Controls are established to assure that only correct and acceptable items are used, installed, or analyzed. WES' 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.

### 2.2 Precautions

Due to the high volume of analytical data record packages that are processed by the Sample Management Office (SMO); authorization has been delegated to the SMO to process their own records in accordance with the Laboratory's Record Management Procedure (P1020-1). This is done to gain programmatic efficiency and avoid backlog at the ADEP Records Processing Facility (RPF). The SMO Team completes the LANL Form 1701 Records Transfer Request and submits hardcopies directly to the offsite Federal Records Center in Denver, CO., which has been authorized by the LANL IRM-RMMSO Records Center.

## 3.0 EQUIPMENT AND TOOLS

None.

## 4.0 STEP-BY-STEP PROCESS DESCRIPTION

### 4.1 Receive Analytical Data Record Package from Contract Laboratory

- SMO Team**
1. Ensure that the following items have been received from the contract analytical laboratory:
    - Hardcopy (paper) EPA defined Level IV analytical data package,
    - PDF copy of the data package, and
    - Electronic Data Deliverable (EDD).

All must be received to consider the analytical request complete for payment of services.

Title: Chain-of-Custody for Analytical Data Record Packages	No.: SOP-5269	Page 3 of 5
	Revision: 0	February 9, 2010

#### 4.2 Manage the Analytical Records

- SMO Team**
1. Store the hardcopy (paper) data package in numerical succession in controlled area of the SMO facility.

---

  2. Log the data package into the SMO database.

---

  3. Load the EDD into the SMO database.

---

  4. Load the PDF copy into the network folder for access by the verification staff. The data flow then follows EP-ERSS-SOP-5013, R0.

#### 4.3 Prepare Analytical Data Record Package

- SMO Team**
1. Obtain the data validation report.

---

  2. Combine, in preparation for scanning, the following:
    - Original hardcopy analytical data package from the contract analytical laboratory,
    - Data validation report, and
    - Corresponding chains-of-custody from the field records.

#### 4.4 Issue an Analytical Data Record Package for Scanning

- SMO Team**
1. Complete Section I of the Data Record Package Chain-of-Custody (COC) form (see Attachment 1):

---

  2. Sign and date Section II of the COC form on the "Relinquished by" line.

---

  3. Request that scanning staff sign and date the "Received by" section of the COC form.

---

  4. Transfer the original COC form with the data record package to the scanning staff for offsite scanning.

---

  5. Copy 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 Receive Analytical Data Record Package to the SMO from Scanning

- SMO Team**
1. Receive analytical data record package to SMO.

---

  2. Ensure the original COC form was "Relinquished by" scanning staff.

**SMO Team (cont.)**

3. Sign and date the original COC form in the "Received by" section.

---

4. Retain the original copy of the COC form upon transfer of the analytical data record package back to the SMO.

---

5. Provide a copy of the COC form to the scanning staff.

---

6. Return the analytical data record package to the data record package management location within the controlled access area.

---

7. Follow the IRM procedure P1020-1 for long term disposition.

**4.6 Records Management**

- SMO Team**
1. Complete Form 1701 Records Transfer Request and send to IRM-RMMSO to capture records being transferred to the offsite Federal Records Center (FRC) in Denver, CO. Prepare, package and submit records and/or documents directly to the offsite FRC.
    - Completed Chain-of-Custody
    - Completed Analytical Request Form
    - Analytical Data Package with Analytical Lab Results

**5.0 DEFINITIONS**

None.

**6.0 PROCESS FLOWCHART**

None.

**7.0 ATTACHMENTS**


Attachment 1 Data Record Package Chain-of-Custody

**8.0 REVISION HISTORY**

Revision No. <i>[Enter current revision number, beginning with Rev.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	02/09/2010	New document; Supersedes EP-ERSS-SOP-5085, R0.	T/E

[Using a CRYPTO Card, click here for "Required Read" credit.](#)

If you do not possess a CRYPTOCARD or encounter problems, contact the EP Central Training Office.

ATTACHMENT 1	
<b>SOP-5269-1</b>  <b>DATA RECORD PACKAGE CHAIN-OF-CUSTODY</b>	Records Use Only  

DATA RECORD PACKAGE CHAIN-OF-CUSTODY	
<b>Section I. Data Package Information</b> <i>(Relinquisher completes)</i>	
Request number(s)	
<b>Section II. Authorizing Signatures</b>	
Relinquished by:	
Signature:	Date:
I accept custody of the above listed data package(s).	
Received by:	
Signature:	Date:
Relinquished by:	
Signature:	Date:
I accept custody of the above listed data package(s).	
Received by:	
Signature:	Date:
Comments:	
Validator's Signature:	Date: