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environmental restoration project

**A Department of Energy**
**Environmental Cleanup Program**

Environmental Restoration Project
Standard Operating Procedure

for:

# Chain of Custody for Analytical Data Packages


**Los Alamos**
NATIONAL LABORATORY
Los Alamos, New Mexico 87545



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# Chain of Custody for Analytical Data Packages

## Table of Contents

1.0 PURPOSE ..... 3

2.0 TRAINING ..... 3

3.0 DEFINITIONS ..... 3

4.0 BACKGROUND AND PRECAUTIONS ..... 4

5.0 EQUIPMENT ..... 4

6.0 PROCEDURE ..... 4

7.0 REFERENCES ..... 4

8.0 RECORDS ..... 7

9.0 ATTACHMENTS ..... 7

# Chain of Custody for Analytical Data Packages

**NOTE:** Environmental Restoration (ER) Project personnel may produce paper copies of this procedure printed from the controlled-document electronic file located at http://erinternal.lanl.gov/documents/Procedures/sops.htm. However, it is their responsibility to ensure that they are trained to and utilizing the current version of this procedure. The Quality Program Project Leader may be contacted if text is unclear.

## 1.0 PURPOSE

This Standard Operating Procedure (SOP) describes the process for establishing and maintaining a proper chain of custody (COC) in the management and processing of ER Project data record packages.

## 2.0 TRAINING

2.1 All users of this SOP are trained by self-study, and the training is documented in accordance with QP-2.2.

2.2 The **Information Management Project Leader** will monitor the proper implementation of this procedure and ensure that relevant team members have completed all applicable training assignments in accordance with QP-2.2.

## 3.0 DEFINITIONS

3.1 *Controlled-access area* — An area within the Sample Management Office (SMO) that is specifically designated for the management and storage of analytical-data record packages. This area is accessible only when accompanied by designated escort personnel. Designated personnel are listed at the entrance to the controlled area.

3.2 *Chain of custody (COC)* — The requirement for demonstration of possession of an item by only authorized individuals. COC is maintained when an item is in your possession, or is in your view after being in your possession, or was in your possession and you locked it up in a secured area where only authorized persons have access. The COC process provides confidence and documentation in analytical-data integrity by establishing the traceability of the data from the time of receipt, through processing, to final maintenance as a record.

3.3 *Data record package* — The controlled package received from the analytical laboratory that is placed and maintained under COC and becomes the official record.

3.4 *Field data package* — A duplicate of the data record package, marked as "Field Copy," issued to the data user as preliminary information only. This copy is not controlled.

3.5 *Request number (RN)* — The unique identification number assigned to a sample, or group of samples, sent to an analytical laboratory for analysis.

3.6 *Sample Management Office (SMO)* — The organization responsible for receipt, coordination, and temporary records management of ER Project data record packages. The SMO is part of the Information Management Focus Area and is located at the Field Support Facility (FSF).

3.7 *Data user* — Anyone who receives the data record package under COC (e.g., data owner, editors, RFI report authors, etc.).

## 4.0 BACKGROUND AND PRECAUTIONS

None.

## 5.0 EQUIPMENT

None.

## 6.0 PROCEDURE

**Note:** Deviations from SOPs are made in accordance with QP-4.2.

6.1 Receiving a Data Record Package from an Analytical Laboratory

**Note:** The SMO staff member normally receives two copies of a data record package from the analytical laboratory.

6.1.1 The **SMO staff member** logs the data record package into the SMO database by RN.

6.1.2 The **SMO staff member** stamps the data record package with a dated receipt stamp.

6.1.3 The **SMO staff member** separates the field (duplicate) data package from the data record package.

6.2 Issuing a Field Data Package

6.2.1 The **SMO staff member** stamps the field data package with the notation “FIELD COPY.”

6.2.2 The **SMO staff member** contacts the customer identified on the COC in the field “Send Record Package To…” and notifies him or her that the field data package is ready for pick-up.

6.2.3 The **SMO staff member** issues the field data package to the data user, who signs for it; no further tracking of this copy is maintained.

6.3 Initiating a Data Record Package

6.3.1 The **SMO staff member** initiates the applicable sections of a Data Validation Cover Sheet (Section I), which contains the following information, and attaches it to the data record package:

- the Los Alamos National Laboratory charge code,
- the RN,
- the name of the analytical laboratory, and
- the suites of analyses contained in the data record package.

6.3.2 The **SMO staff member** sends the data record package to the contractor that is responsible for editing and routine data validation.

6.3.3 After these tasks have been completed, the **contractor** returns the data record package and completed cover sheet to a SMO staff member.

6.3.4 The **SMO staff member** places the data record package into a temporary records-management location within the SMO controlled-access area.

6.4 Issuing a Data Record Package

**Note:** To maintain analytical-data integrity, non-SMO personnel who access the data-management area must sign into the SMO logbook before entering and upon exiting the area. The controlled-access area requires designated FSF personnel escort for entry.

6.4.1 The **SMO staff member** completes the applicable portion of an Data Record Package Chain of Custody form (Section I) that includes the following information:

- an indication as to whether the data package is being issued for the first time,
- the RN for each data package being transferred, and
- the name of the requestor of the data package(s).

6.4.2 The **SMO staff member** signs and dates the COC form on the "Relinquished by" line (Section II).

6.4.3 The **customer** signs and dates the COC form on the "Received by" line (Section II).

6.4.4 The **SMO staff member** transfers a copy of the COC with the data record package.

6.4.5 The **SMO staff member** duplicates the COC form and places a copy in the data file folder that is maintained at the SMO for each respective RN listed in the COC.

6.5 Data Record Package Management by Data User

The **data user** maintains the COC generated by the SMO for each data record package in their custody. COC is maintained when an item is in the data user's possession, or is in the data user's view after being in his or her possession, or was in the data user's possession and she or he locked it up in a secured area where only authorized persons have access.

**Note:** When a data package has not been returned to the SMO within 30 calendar days of being checked out, a SMO staff member may notify the data user to return the data record package. If the data record package has not been received within three (3) working days of the notification, the SMO staff member will alert management to the existence of the delinquent data record package.

6.6 Returning a Data Record Package to the SMO

6.6.1 The **data user** returns the data record package to the SMO.

6.6.2 The **data user** signs and dates the COC form in the "Relinquished by" section.

6.6.3 The **SMO staff member** signs and dates the COC form in the "Received by" section.

6.6.4 The **SMO staff member** retains the original copy of the COC form upon transfer of the data record package.

6.6.5 The **data user** retains a copy of the COC form,

6.6.6 The **SMO staff member** places a copy of the COC form in the data file folder for each respective RN.

6.6.7 The **SMO staff member** returns the data record package to the data record package management location within the controlled-access area.

## 7.0 REFERENCES

The following documents have been cited within this procedure.

QP-2.2, Personnel Orientation and Training

QP-4.2, Standard Operating Procedure Development

QP-4.4, Record Transmittal to the Records Processing Facility

## 8.0 RECORDS

The **SMO staff member** is responsible for submitting the following records (processed in accordance with QP-4.4) to the Records Processing Facility.

8.1 SMO COC form (only the most current completed form is submitted) and the completed data record package.

8.2 The Data Validation Cover Sheet that shows the transfer of a field copy of the data record package to data user.

8.3 Any other pertinent information (e.g., internal memoranda).

## 9.0 ATTACHMENTS

The document user may employ documentation formats different from those attached to/named in this procedure—as long as the substituted formats in use provide, as a minimum, the information required in the official forms developed by the procedure.

Attachment A: Data Validation Cover Sheet (Example) (1 page)

Attachment B: Data Record Package Chain of Custody form (Example) (1 page)

# Data Validation Cover Sheet

## Section I.

Request Number:_____ Validation Date:_____ Lab Code:_____

Contract Laboratory Name:_____

Validator:_____ Organization:_____

Analytical Suite (check all that apply): ☐ Volatile Organics ☐ Semivolatile Organics ☐ Organochlorine Pesticides/Polychlorinated Biphenyls ☐ High Explosives ☐ Inorganics ☐ Radiochemistry

Other (describe): _____

## Section II. Completeness Check

| Yes | No | n/a | (check one) | Yes | No | n/a | (check one) |
|---|---|---|---|---|---|---|---|
| ☐ | ☐ | ☐ | 1. Chain-of-custody form(s) | ☐ | ☐ | ☐ | 6. Raw/BSS data |
| ☐ | ☐ | ☐ | 2. Case narrative | ☐ | ☐ | ☐ | 7. Quality control forms |
| ☐ | ☐ | ☐ | 3. Sample result forms | ☐ | ☐ | ☐ | 8. Quantitation reports |
| ☐ | ☐ | ☐ | 4. Sample chromatagrams | ☐ | ☐ | ☐ | 9. TICs forms |
| ☐ | ☐ | ☐ | 5. Standard chromatagrams | ☐ | ☐ | ☐ | 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):

(Attach additional comment sheets as necessary)

Validator's signature: _____ Date: _____

ER-SOP-15.09

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Example

# Data Record Package Chain of Custody

**Section I.** Data Package Information (relinquisher completes)

New issue? ☐ Yes ☐ No

Request Number(s): _____ _____ _____ _____ _____

_____ _____ _____ _____ _____ _____

_____ _____ _____ _____ _____ _____

Data package requestor (check one): ☐ Editing/validation ☐ User

Name (print): _____ Telephone: _____

Focus area: _____ Z number: _____

**Section II.** Authorizing Signatures (relinquisher and receiver both complete)

Relinquished by: _____ Date: _____
(print name, then sign)

I accept custody of the above listed data package(s).

Received by: _____ Date: _____
(print name, then sign)

Relinquished by: _____ Date: _____
(print name, then sign)

I accept custody of the above listed data package(s).

Received by: _____ Date: _____
(print name, then sign)

Comments:

Example
This form is available online via a link from the form title in Section 7.0.

ER-SOP-15.09

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