

LLNL Environmental Restoration Division (ERD)
Standard Operating Procedure (SOP)

ERD SOP 5.2: Data Management Chain-of-Custody Receipt and Processing—Revision: 1

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1.0 PURPOSE

The purpose of this procedure is to establish the means for receiving and storing printed and electronic Chain-of-Custody (CoC) forms as received from samplers. This procedure is to ensure complete and consistent handling of all CoC forms within the Environmental Restoration Division (ERD) Data Management Team (DMT).

2.0 APPLICABILITY

This procedure applies to personnel performing quality affecting activities in the receipt and storage of CoC forms, which constitute QA records, under the scope of the Environmental Protection Department (EPD) Quality Assurance Management Plan (QAMP).

3.0 REFERENCES

3.1 Not applicable.

4.0 DEFINITIONS

See SOP Glossary.

5.0 RESPONSIBILITIES

5.1 Analytical Laboratories

Analytical laboratories are responsible for submitting CoC forms upon sample receipt and with analytical results to ERD's DMT within specified time periods. The analytical laboratories are responsible for performing analyses for each sample specified on the CoC form within the requested time period, taking action if necessary, to clarify requests.

5.2 Data Management Team (DMT)

The DMT is responsible for receiving and processing CoC forms outlined in this procedure. The DMT is also responsible for communicating with the analytical laboratories regarding corrections or adjustments to CoC requests.

5.3 Samplers

Samplers are responsible for collecting samples following appropriate procedures, including the creation of a properly completed CoC form. One copy of the CoC is to be delivered to the DMT as soon as possible.

6.0 PROCEDURE

6.1 CoC Preparation

6.1.1 CoC forms are obtained from: 1) incoming mail (Attachments A, B, and C), 2) samplers, and/or 3) courier lock box.

6.1.2 CoC forms are date stamped and separated by the following projects:

- Livermore Site
- Site 300
- Environmental Operations Group

NOTE: Staple all matching white and pink copies.

6.1.3 The hard copy CoC forms are entered into the Sample Tracking and CoC Tracking (SPACT) database tables as follows:

- Select the spact application and choose the "append" option.
- Complete an electronic CoC form (Attachment C) using a hard copy CoC form as a reference.
- Place a check mark by each sample and analysis on the hard copy CoC form after electronically entering.

- After processing each electronic CoC form, be sure to hit the “DO” key after the last sample entry, then select F13 (New Access #) to reset the screen for a new CoC form.

NOTE: File the hard copy CoC form in the appropriate bin.

6.1.4 After the original analytical result has been received and validated, the following must be completed:

- Match the original analytical result to the hard copy CoC form.
- Verify the sample name and receipt of the requested analysis by highlighting with a yellow highlighter the sample name and the box under the appropriate requested analysis next to the sample location name on the hard copy CoC form.
- Record the date the sample was received by the analytical laboratory on the hard copy CoC form concurrent with the analytical results.
- Record the date the analytical results were received by ERD on the hard copy CoC form, from the date noted on the DMT results.
- Record the log number of each sample or analysis on the hard copy CoC form.
- When all the analyses have been verified, place a check mark in the upper right corner of the hard copy CoC form with a yellow highlighter.

6.1.5 Update the SPACT database tables by using the SPACT application as follows:

- Select the “Update” menu option and retrieve the electronic CoC form by the accession number in the upper right corner in red on the CoC form.
- Electronically record the log numbers and date received by the analytical laboratory and the date received by the DMT.
- Cross check by pencil each sample and analysis on the hard copy CoC form. If the requested analysis codes do not match, verify that the correct analysis has been performed.
- When all the requested analytical results have been received, electronically enter “Y” in the coc_complete field. When completed, place a pen check mark on top of the yellow highlighter check mark in the upper right corner of the hard copy CoC form.

6.1.6 Once the printed analytical result receipt has been recorded, file data in the appropriate data storage (ERD SOP 5.1, “Data Management Printed Analytical Result Receipt and Processing”).

6.1.7 File the original white CoC printed form by site or project (Livermore Site, Site 300, and ORAD), media or matrix, and date, placing the most recent on top. Binders are maintained as a Lifetime QA Record. Discard the extra copies.

7.0 QA RECORDS

7.1 Chain-of-Custody documents.

7.2 Electronically stored hard copy Chain-of-Custody records.

7.3 Hard copy analytical reports and copies including revisions.

8.0 ATTACHMENTS

Attachment A—ERD Chain-of-Custody form

Attachment B—ORAD Chain-of-Custody form

Attachment C—ERD Electronic CoC form

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Attachment A

ERD Chain-of-Custody Form

ERD Chain-of-Custody Record and Analytic Instructions

A

Sampled By : _____
 Sampler's Employer: _____
 Project Name : _____

Requester, (circle one) S300 WGMG Livermore	Send all results to: Attn: ERD DMG L-528 Lawrence Livermore National Laboratory 7000 East Ave. Livermore, CA 94550
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Field Log Book# _____ Page ____ of ____
 LLNL Acct. # _____ Release # _____
 Analytical Laboratory Name _____
 Analytical Laboratory Log # _____

Analytical Lab Please
 Fax or Email copies to:

name _____ (circle one) Fax# 925-422-6950 / Email _____
 name _____ Fax# 925-422-6950 / Email _____

Analysis & Turnaround Required ¹										Additional Instructions to Lab

* Analytical Lab, when Email is requested always Email ERD_DMG!

Sample Identification	Sample Date/Time	Matrix ² Container ³	# of Cont.	Study Area
1				
2				
3				
4				
5				
6				
7				
8				
9				

Signature	Company	Time	Date
Relinquished by			
Received by			
Relinquished by			
Received by			
Relinquished by			
Received by			

- ¹ Enter the number of days or hours for TAT of the official printed report. See Requested Analysis code list for available TAT's for each type of analysis. Example: 24h = 24 hours / 20d = 20 day
- ² Sample Matrix Codes: **See list on back of pink copy**
- ³ Container type codes: **V** = VOA Bottle, **P** = Polyethylene Bottle, **G** = Glass Bottle, **T** = Brass Tube, **B** = Bag, **S** = Stainless Steel Tube, **O** = Other (specify under remarks)

To receive copies of this data from DMG

CC: _____

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Attachment B

ORAD Chain-of-Custody Form

Chain-of-Custody Record and Analytic Instructions

Page ____ of ____

B00000

Send all results and invoices to:

L -

Attn: ORAD Data Management Team L-633
Lawrence Livermore National Laboratory
P.O. Box 808, Livermore, CA 94550

ORAD

Field Log Book Page # _____ Release # _____

LLNL Acct. # _____ P.O. Number _____

Analytical Laboratory Name _____

Analytical Laboratory Log # _____

Also Fax copies to: _____ Fax # _____

Project Name: _____

Sampled By : _____ Sampler's Employer: _____

Analysis & Turnaround Required 1										Additional Instructions to Lab
Sample Identification	Sample Date/Time	Matrix/Type 2 Container/Type 3	# of Cont.	Study Area						

Signature	Company	Time	Date
Relinquished by			
Received by			
Relinquished by			
Received by			
Relinquished by			
Received by			

1. N = normal turnaround, F = 1-week turnaround
R = 24-hour turnaround, H = Hold do not analyze unless requested
2. Sample Matrix Codes: See list on back of pink copy
3. Container type codes: V = VOA Bottle, P = Plastic Bottle,
G = Glass Bottle, T = Brass Tube,
B = Bag, S = Stainless Steel Tube,
O = Other (specify under remarks)

Internal Use Only

CC: _____

Attachment C

ERD Electronic CoC Form

Chain-of-Custody Record and Analytic Instructions

Page ____ of ____

AE00000

Send all results to:

Requester: _____

Attn: ERD Data Management Team L-528
Lawrence Livermore National Laboratory
P.O. Box 808, Livermore, CA 94551



Field Log Book# (CoC#) _____ **Release #** _____

LLNL Acct. # _____ Sampling Request# _____

Analytical Laboratory Name _____

Analytical Laboratory Log # _____

Analytical Lab FAX or Email copies to:

Name _____ FAX 925-422-6950 or Email

Name _____ FAX 925-422-6950 or Email

*** Analytical Laboratory, when Email is requested always cc ERD_DMG!**

Project Name: _____

Sampled By _____ Sampler's Employer _____

Sample Identification	Sample Date/Time	Matrix	Cont	3Cont	# of Study Area	Analysis & Turnaround Required 1				Remarks

Additional Instructions to Lab

Signature	Company	Time	Date
Relinquished by			
Received by			
Relinquished by			
Received by			
Relinquished by			
Received by			

- Enter the number of days or hours for TAT of the official printed report. See Requested Analysis code list for available TAT's for each type of analysis. Example: 24h = 24 hours / 20d = 20 day
- Sample Matrix Codes: **See list on back of pink copy**
- Container type codes: **V** = VOA Bottle, **P** = Polyethylene Bottle, **G** = Glass Bottle, **T** = Brass Tube, **B** = Bag, **S** = Stainless Steel Tube, **O** = Other (specify under remarks)

Additional Copies from Data Mngmnt

CC:
