QUALITY CHECKLIST

EVALUATION NUMBER: _____ **DATE: _____** **EVALUATOR: _____**

FACILITY: _____

RESULT KEY

S = SATISFACTORY U = UNSATISFACTORY N/A = NOT APPLICABLE NE = NOT EVALUATED

Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification Requirements	Result Key	Verification Conducted Describe documents reviewed, Personnel interviews and activities observed.
1	DOE 5700.6C Element 1	What QA document has been implemented to ensure that persons/organizations responsible for ensuring activities affecting quality have been identified? Identify ● Laboratory Manager ● QA Officer (independent of process activities) ● Sample Custodian ● Document Custodian ● Analysts assigned to projects/contracts ● Date of implementation		---------- ---------- ---------- ---------- ---------- ---------- ---------- ---------- ---------- ----------

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2	DOE 5700.6C Element 1	Does your document reflect your mission, policies, and objectives as designated by Sr. Management?		_____ _____
3		Do you have proper resources/staffing to meet project commitments? HowDOEs it compare to 1992?		_____ _____ _____
4		How do you promote positive emphasis on QA and QC?		_____ _____ _____ _____ _____

QUALITY
CHECKLIST (continued)

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5	DOE 5700.6C Element 1	Have responses by laboratory personnel with respect to QA and QC aspects of the project been open and direct?		_____ _____ _____
6	DOE 5700.6C Element 2	Have all laboratory personnel been trained according to site requirements?		_____ _____ _____
7		Are all laboratory personnel qualified to perform the work assigned to them?		_____ _____ _____ _____ _____ _____

QUALITY
CHECKLIST (continued)

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8	DOE 5700.6C Element 2	Do the rad analysts assigned to the project have the level and type of experience to successfully perform the work?		_____ _____ _____ _____
9		What system is in place to ensure that personnel continue to perform competently in their work?		_____ _____ _____ _____ _____ _____ _____ _____ _____

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CHECKLIST (continued)

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Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification RequirementsResultStatus		Verification Conducted Describe documents reviewed, personnel interviews and activities observed.
10	DOE 5700.6C Element 2	Where is documentation maintained for: -training plans - certification/training records of analysts -training records of management personnel		_____ _____ _____ _____
11	DOE 5700.6C Element 3	What system is in place to promote continuous improvement within your organization?		_____ _____ _____ _____ _____ _____ _____ _____

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CHECKLIST (continued)

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Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification RequirementsResultStatus		Verification Conducted Describe documents reviewed, personnel interviews and activities observed.
15	DOE 5700.6C Element 3	How do you verify implementation of corrective actions?		_____ _____
16	DOE 5700.6C Element 4	Do you use the tag out/ segregation method? Verify		_____ _____
17		What system is in place for the control, handling, collection, storage of quality records?		_____ _____ _____ _____ _____ _____ _____ _____

QUALITY
CHECKLIST (continued)

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Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification RequirementsResultStatus		Verification Conducted Describe documents reviewed, personnel interviews and activities observed.
18	DOE 5700.6C Element 4	Do you use an automated data entry system?		_____ _____ _____
19		Verify changes shall: -not obscure the original entry -indicate the reason for change -be flagged as changed -be dated, and -identify the individual making change		_____ _____ _____ _____ _____ _____ _____ _____ _____

QUALITY
CHECKLIST (continued)

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Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification RequirementsResultStatus		Verification Conducted Describe documents reviewed, personnel interviews and activities observed.
20	DOE 5700.6C Element 4	Do you maintain duplicate records?		_____
21		If not, are records maintained in a 2-hr fire rated cabinet? Verify		_____
22		Do you have check out sheets for quality records?		_____

QUALITY
CHECKLIST (continued)

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Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification RequirementsResultStatus		Verification Conducted Describe documents reviewed, personnel interviews and activities observed.
23	DOE 5700.6C Element 4	Do you have a listing of quality records with responsible person and length of retention specified? (Indexing System)		_____
24		Are analyst laboratory notebooks completed for all analyses?		_____
25		Are analyst laboratory notebooks permanently bound with preprinted consecutively numbered pages?		_____

QUALITY
CHECKLIST (continued)

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Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification RequirementsResultStatus		Verification Conducted Describe documents reviewed, personnel interviews and activities observed.
26	DOE 5700.6C Element 4	Do analyst logbooks contain the following information? -identification of analyst -analyte and parameter -analysis methods and sample prep used -samples analyzed -date and time of analysis -date and time of sample preparation -volume of sample used and dilution factors -analytical results -analytical problems encountered -corrective actions taken -all factors affecting results (including exceeded QC limits) -all raw and reduced data		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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27	DOE 5700.6C Element 4	Are all logbooks and other documentation legible?		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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CHECKLIST (continued)

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Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification RequirementsResultStatus		Verification Conducted Describe documents reviewed, personnel interviews and activities observed.
28	DOE 5700.6C Element 4	DOEs the lab have a secure designated area where all lab and sampling records are stored and: -is access restricted to authorized individuals? -are records maintained permanently? -is a master inventory list maintained? -do records match inventory?		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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CHECKLIST (continued)

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29	DOE 5700.6C Element 5	Are detailed SAMPLE logbooks routinely maintained and do they include the following details? -sampling time and location -unique sample identification -condition of sample upon receipt -analysis requested -documentation of sample preservation (Ph check) -sample analysis dates -data reporting dates -sample storage (dark, 4 deg. C)		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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CHECKLIST (continued)

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Checklist Item Number	Reference Document (Include No., Sect/Para)	Verification RequirementsResultStatus		Verification Conducted Describe documents reviewed, personnel interviews and activities observed.
30	DOE 5700.6C Element 5	How do you document? -date and time of release for shipment - shipping record -sample ID for splits sent offsite -sample disposal		_____ _____ _____
31		Are all samples traceable to all points from sample receipt to sample analysis reports?		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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CHECKLIST (continued)

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32	DOE 5700.6C Element 5	Do you maintain project files which include: -all sample and lab custody data -all analysis data -documents -records		_____ _____ _____
33		Are all documents in a project file uniquely and sequentially numbered?		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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CHECKLIST (continued)

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34	DOE 5700.6C Element 5	Are data calculations documented? - checked by a second person? - reviewed by supervisors?		_____ _____
35		Are limits of detection determined and reported for each analyte or parameter?		_____ _____
36		What standards are used, are they traceable to NIST?		_____ _____ _____ _____ _____ _____ _____ _____ _____

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37	DOE 5700.6C Element 5	Do you maintain a standards and preparation logbook that contains: -date of preparation -date of expiration -person preparing samples		_____ _____ _____
38		Are written procedures documented and accessible: -for maintenance procedures for each instrument used? -Mfg manual to support procedures? -log for each instrument? -for calibration of each instrument?-for preparation of analyst notebooks? -for custodians? -to all appropriate personnel?		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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39	DOE 5700.6C Element 5	What procedures address: -sample receiving -sample login -sample storage -sample analysis -sample disposal		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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CHECKLIST (continued)

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40	DOE 5700.6C Element 5	DOEs one person ensure that chain of custody procedures are met? - remain in one person's possession - remain in custody holder's view - placed insecure controlled- access area -accessible to authorized personnel only		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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41	DOE 5700.6C Element 5	What system do you have in place that ensures data for specified sample sets is accounted for? -data sheets -logs -daily log forms		_____ _____ _____
42		Verify equipment list.		_____
43	DOE 5700.6C Element 6	How is your laboratory structurally designed?		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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44	DOE 5700.6C Element 6	Describe your Laboratory Information Management System (LIMS).		_____ _____
45	DOE 5700.6C Element 7	How do you ensure that purchased items and services meet established requirements and perform as expected?		_____ _____ _____
46	DOE 5700.6C Element 8	What type of preventive maintenance program do you have?		_____ _____ _____ _____ _____ _____ _____ _____

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47	DOE 5700.6C Element 8	How do you ensure analytical data is validatable?		_____ _____
48	DOE 5700.6C Element 9	What type of management assessment program do you have in place?		_____ _____
49	DOE 5700.6C Element 10	What type of independent assessment program do you have in place? -surveillance -internal audits -self assessments		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____

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50	DOE 5700.6C Element 10	How are your lead auditors qualified?		_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____
51		What type of assessment tracking system do you have in place?		