

**Commonwealth of Pennsylvania
Bureau of Safe Drinking Water
Lab/System Audit Checklist**

Item	Question
Sample Acceptance	
1	Does the laboratory have a sample acceptance policy?
1a	Does the sample acceptance policy specify the minimum required information on the submission form?
1b	If the minimum required information is not present, is the sample accepted for analysis?
1c	If the answer to 1b is "yes" what actions are taken to obtain the missing information?
Sample Collection	
2	Does the laboratory collect samples on behalf of the client?
2a	If no, does the laboratory provide adequate sample collection guidance to the client?
3	Does the laboratory have a sample collection plan?
3a	Does the sample collection plan address samples that have special collection requirements?
3b	Does the sample collection plan refer the user to a client specific sampling plan?
4	Are those responsible for sample collection trained according to the plan before being allowed to collect samples?
4a	Is refresher training provided? At what frequency?
5	If laboratory staff perform sample collection, do they follow the client sampling plan?
5a	Are the laboratory and/or client sampling plans available at the point of collection?
5b	Are field notes recorded?
5c	Is a description of the sample location included on the chain of custody or as part of the field notes?
5d	Are the date & time of collection recorded?
5e	Is the name of the collector recorded?
5f	What is done if a sample location identified in the client's sampling plan is unavailable at time of collection?
6	Are the samples placed on ice at the time of collection?
6a	If the samples are not transported to the laboratory immediately after collection are they held in a secure location that is free of potential contaminants?
6b	Are the samples preserved at the time of collection?
Chain of Custody	
7	Is a chain of custody form used?
7a	Is the chain of custody form filled out at the time the samples are collected?

**Commonwealth of Pennsylvania
Bureau of Safe Drinking Water
Lab/System Audit Checklist**

Item	Question
7b	Is the information recorded on the chain of custody examined for completeness, accuracy, and reasonableness?
7c	Is a pre-populated chain of custody form used?
7d	Are corrections or exceptions clearly noted?
Subcontracting	
8	Does the laboratory ever subcontract samples to another accredited laboratory?
8a	Does the lab provide the subcontracted laboratory with a chain of custody?
8b	Does the lab provide the subcontracted laboratory a copy of the original chain of custody?
9	Does the laboratory ever receive subcontracted samples from another accredited laboratory?
9a	Does the laboratory receive a copy of a chain of custody?
9b	Does the laboratory request/receive a copy of the original chain of custody?
10	Does the lab report results to DWELR on behalf of another accredited (subcontracted) lab?
10a	If reporting to DWELR on behalf of another laboratory, what laboratory ID is used?
Field Measurements (Accreditation by Rule Parameters)	
11	Does the laboratory report field testing results (i.e., chlorine)?
12	Does the laboratory perform the field testing?
12a	If the laboratory performs the field testing, are they accredited for the analysis?
12b	If the laboratory performs the field testing, do they report the results under their accredited lab ID?
13	Does the laboratory employ a certified operator?
13a	Is the certified operator compliant with the requirements for accreditation by rule parameters?
13b	Does the certified operator, or a designee trained & supervised by the certified operator, perform the field testing?
13c	Are the results reported under the system's or certified operator's registered lab ID?
14	If the laboratory does not perform the field testing:
14a	How are the results transmitted to the laboratory for reporting?
14b	Does the laboratory report the results under the system's registered lab ID?
1 Hour Reporting & 24 Hour Notification Requirements	
15	In the event of an MCL, MRDL, AL exceedance or TT violation, does the laboratory notify the client (PWS) within one hour?
16	In the event of an MCL, MRDL, AL exceedance or TT violation, does the laboratory notify the Department in writing within 24 hours?
Reporting to DWELR	
17	Are records entered manually or via spreadsheet upload?
18	Who is responsible for reporting data to DWELR?
18a	If more than one person reports data to DWELR, how is the work divided and coordinated to ensure all data is entered, and duplicate data is not entered?
19	Are printouts of each DWELR submission maintained?
20	Are error records examined each time data are submitted?
20a	What steps are taken to reduce the incidence of duplicate entries?
20b	If a spreadsheet is uploaded more than once, is the previous upload deleted?
20c	If error correction requires additional/corrected information from the client, are those communications documented?

**Commonwealth of Pennsylvania
Bureau of Safe Drinking Water
Lab/System Audit Checklist**

Item	Question
21	Are erroneous entries addressed (deleted or corrected) prior to the 10th of each month?
22	Are emails from DWELR reviewed by the submitter?
Requests to Report Qualified Data	
23	Has the laboratory ever submitted a Request to Report Qualified Data?
23a	Did the laboratory analyze an LCS spiked at or below the MCL?
23b	Did the laboratory request a replacement sample from the client before submitting the qualified data request?
23c	Did the laboratory perform an adequate Root Cause Analysis?
23d	Did the laboratory suggest appropriate Corrective Action(s)?