Mentoring Session:

Using Technology to Assist with the Accreditation Process

TNI Training Disclaimer

The material presented in this session is for informational purposes only. It is designed to promote understanding, consistency and clarification of technical and accreditation requirements. It should not be considered a change or alteration of the Accreditation standards, the published methods, a regulatory agency requirement or a position of TNI.

TNI Training Disclaimer

The opinions expressed by the learned speakers, trainers or panel participants are their own and are not necessarily intended to infer an official decision or interpretation by TNI or an accrediting authority. Interpretations of requirements are solely in the purview of the accrediting authorities and TNI board of directors.

Questions and issues raised may be referred to the appropriate TNI committee or decision making body for consideration or action as appropriate.

Introductions & Agenda

- Speakers
  - Tim Fitzpatrick, LDC
  - Mei Beth Shepherd, STS
  - Susan Wyatt, MN-ELAP
- Applications & Accreditation Status
- Proficiency Testing
- Assessments & Corrective Actions
- Document Control

Objectives

- Outline the issues related to monitoring compliance with accreditation requirements
- Demonstrate ways technology may assist labs and ABs
- Receive feedback for improvement and identify other options available

The Issues

- Receiving and distributing information
  - Within an AB
  - Between two or more ABs
  - Between a laboratory and its AB
  - To interested parties
- Accuracy
- Consistency
- Efficiency

Why use technology?

- Manual process is paper intensive.
- Manual process is mind numbingly tedious.

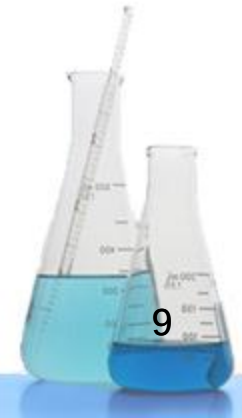
Why a Database Application?

- Fundamental nature of the accreditation information is DATA.
- Allows for analysis and further use of the captured information.

Why a Web-based Application?

- It's easier…
  - To build
  - To make portable
  - To support
  - To sell or supply
    - (no license requirements to software companies).

- Single, centralized database.

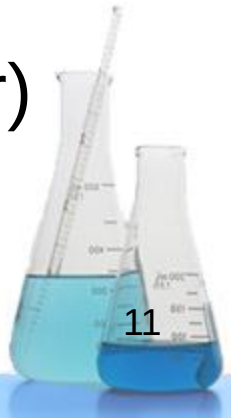


Why an Enterprise Application?

- Manages workflows
- Restricts usage based on job roles
- Accessible by HUNDREDS of users at the same time

Who can use these tools?

- Individual Laboratories
- Assessors
- Accreditation Bodies
- Advisory Boards (i.e. TNI, DoD)
- Permissions defined in 3 Parts
  - Organization (Lab/AB)
  - Role (QA Manager/Assessor/Lab Director)
  - Assessment Status/Activity



Application & Accreditation Status

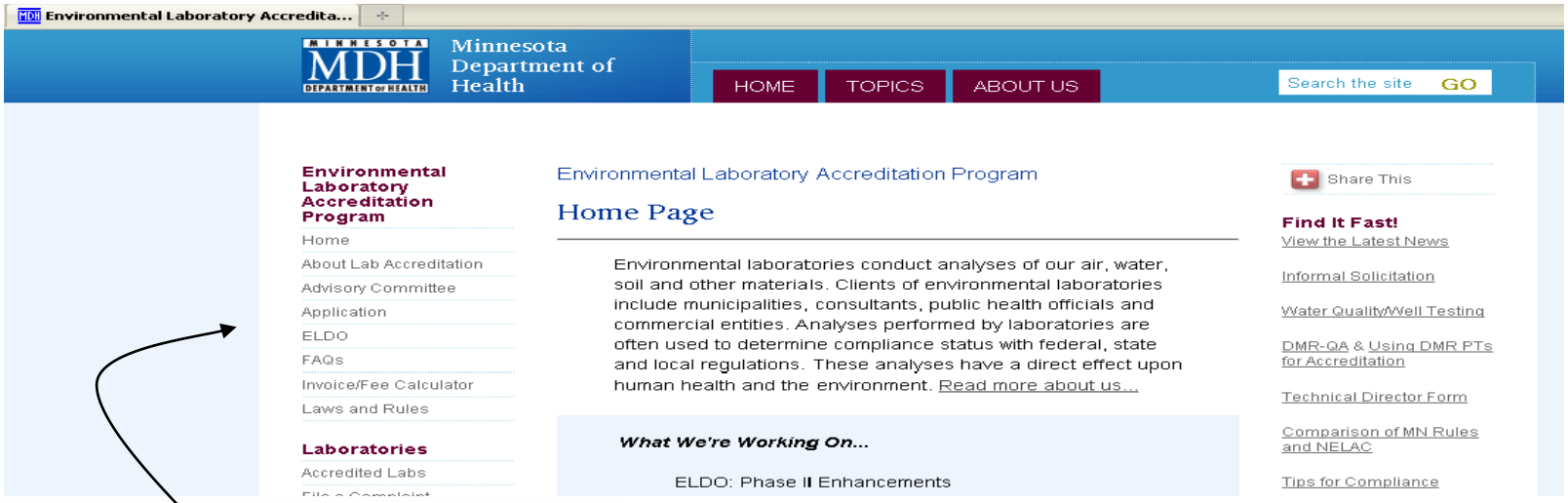
Environmental Laboratory Data-Online (ELDO)

Susan Wyatt, MN-ELAP

Basic Features of ELDO

- Four main modules
  - Application
  - Assessments (Corrective Action)
  - Documents
  - Proficiency Testing
- Other features
  - Reports
  - Administrative

Web-accessible

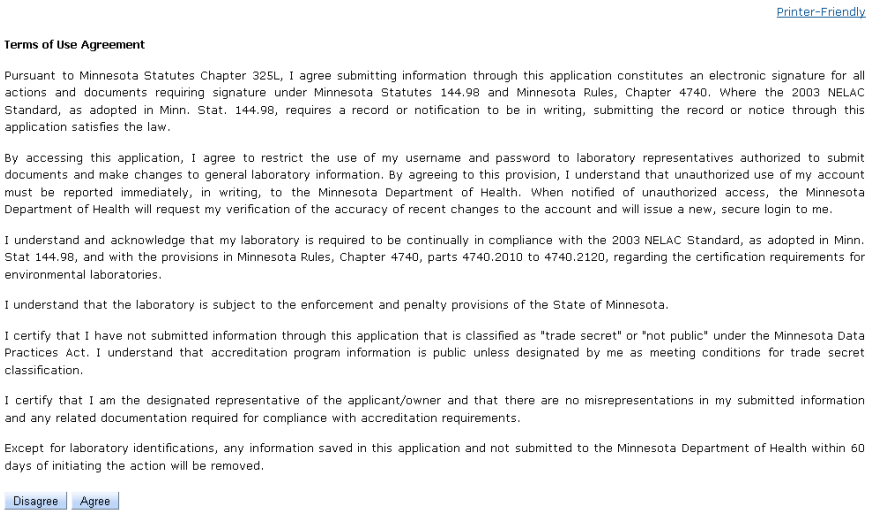


A link is available through the Application page or via the shortcut link on the left-side banner on the MN-ELAP home page.

Approved users include: MNELAP accredited labs; MNELAP assessors and contractors; TNI ABs; and state/federal agencies

Where Do I Sign?

- ELDO allows electronic signature through acceptance of the Terms of Use Agreement.
- Agreement appears with each log-in attempt



Printer-Friendly

Terms of Use Agreement

Pursuant to Minnesota Statutes Chapter 325L, I agree submitting information through this application constitutes an electronic signature for all actions and documents requiring signature under Minnesota Statutes 144.98 and Minnesota Rules, Chapter 4740. Where the 2003 NELAC Standard, as adopted in Minn. Stat. 144.98, requires a record or notification to be in writing, submitting the record or notice through this application satisfies the law.

By accessing this application, I agree to restrict the use of my username and password to laboratory representatives authorized to submit documents and make changes to general laboratory information. By agreeing to this provision, I understand that unauthorized use of my account must be reported immediately, in writing, to the Minnesota Department of Health. When notified of unauthorized access, the Minnesota Department of Health will request my verification of the accuracy of recent changes to the account and will issue a new, secure login to me.

I understand and acknowledge that my laboratory is required to be continually in compliance with the 2003 NELAC Standard, as adopted in Minn. Stat 144.98, and with the provisions in Minnesota Rules, Chapter 4740, parts 4740.2010 to 4740.2120, regarding the certification requirements for environmental laboratories.

I understand that the laboratory is subject to the enforcement and penalty provisions of the State of Minnesota.

I certify that I have not submitted information through this application that is classified as "trade secret" or "not public" under the Minnesota Data Practices Act. I understand that accreditation program information is public unless designated by me as meeting conditions for trade secret classification.

I certify that I am the designated representative of the applicant/owner and that there are no misrepresentations in my submitted information and any related documentation required for compliance with accreditation requirements.

Except for laboratory identifications, any information saved in this application and not submitted to the Minnesota Department of Health within 60 days of initiating the action will be removed.

Disagree Agree

The Application Form

New Certificate Application for MyLab

Add or Change General Laboratory Information

Laboratory Name (legal):* MyLab

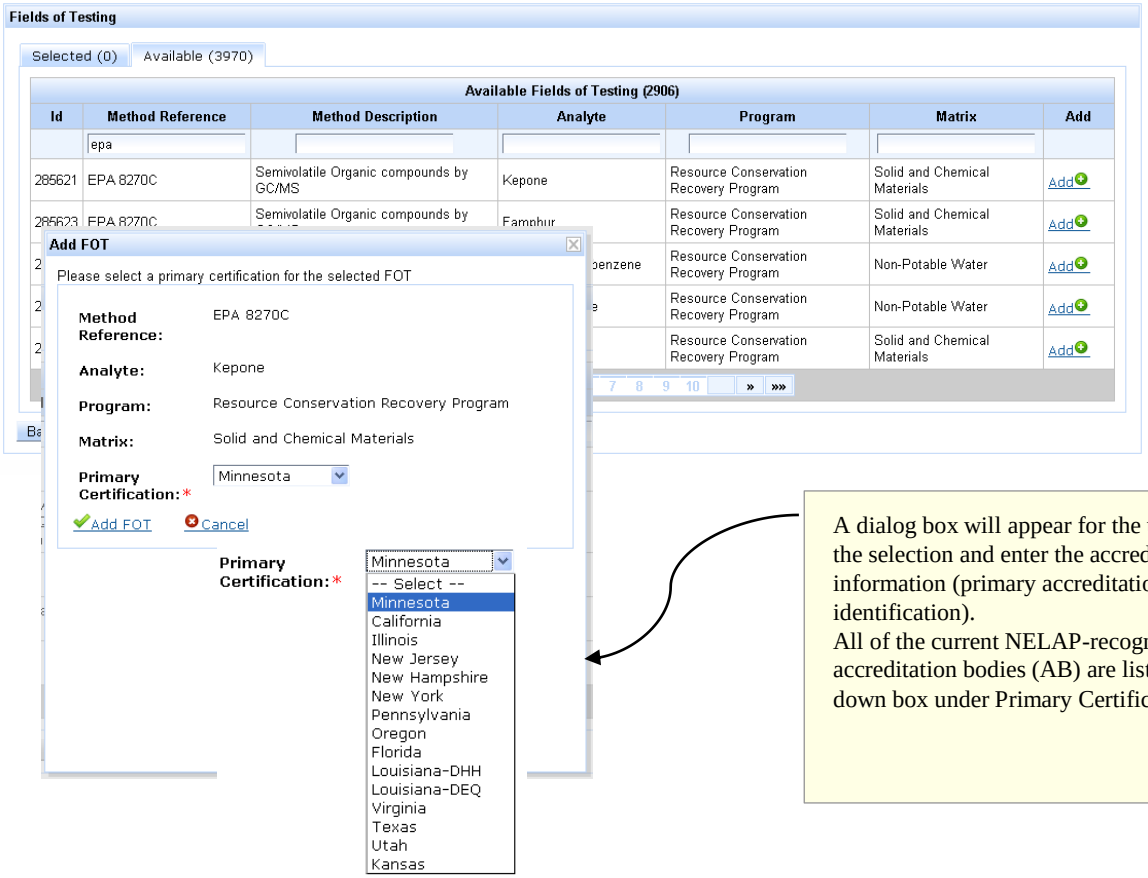
Lab Description:* -- Select --

Accepts samples from private home owners:

Business Hours:*

Next » | Instructions | Reset Page | Save & Exit | Cancel

Selecting Tests



A dialog box will appear for the user to confirm the selection and enter the accreditation body information (primary accreditation body identification).
All of the current NELAP-recognized accreditation bodies (AB) are listed in a drop-down box under Primary Certification.

Evaluating Applications

Evaluate Certificate Applications

Id	Lab	Type	Status	Submission Date	Assessor	
170065	Legend Technical Services of Arizona, Inc.	Change Foa	Waiting for Review	10/18/2010 02:13 PM	Denise Schumacher	Evaluate
168570	Environmental Science Corporation	Renew	Waiting for Review	10/06/2010 01:34 PM	Lynn Boysen	Evaluate
173026	New Prague Municipal Wastewater Treatment Facility	Renew	Waiting for Review	01/19/2011 12:21 PM	Denise Schumacher	Evaluate
173306	MyLab	Renew	Waiting for Review	01/26/2011 02:34 PM	Stephanie Drier	Evaluate

Evaluate Renew Certificate Application for MyLab

Lab Info | Accreditation

Fields Of Testing | Testing Variances | Preparation Techniques | Preparation Technique Variances | Comparison Studies

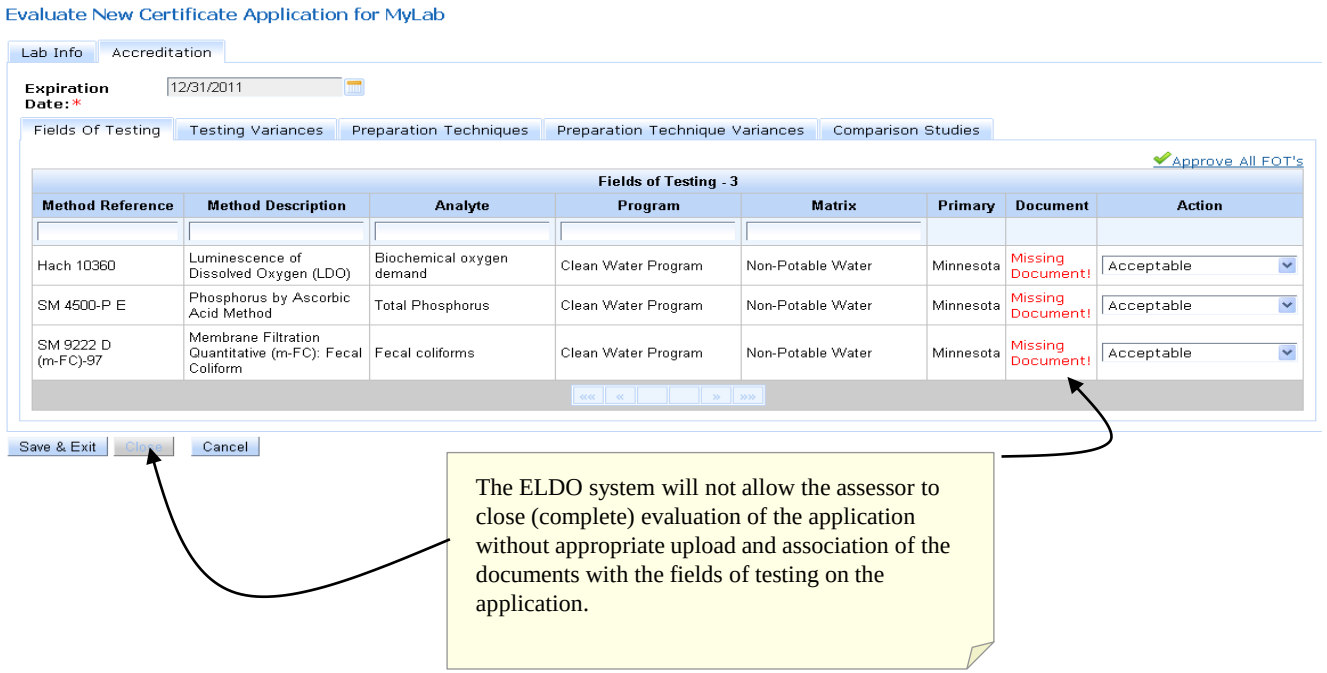
Approve All FOT's

Fields of Testing - 3

Method Reference	Method Description	Analyte	Program	Matrix	Primary	Document	Action
SM 4500-P E	Phosphorus by Ascorbic Acid Method	Total Phosphorus	Clean Water Program	Non-Potable Water	Minnesota	r2-fina...	Waiting for Evaluation
Hach 10360	Luminescence of Dissolved Oxygen (LDO)	Biochemical oxygen demand	Clean Water Program	Non-Potable Water	Minnesota	r2-fina...	Waiting for Evaluation
SM 9222 D (m-FC)-97	Membrane Filtration Quantitative (m-FC): Fecal Coliform	Fecal coliforms	Clean Water Program	Non-Potable Water	Minnesota	r2-fina...	Waiting for Evaluation

Enterprise Application: Workflow for Review

- Will not allow processing application without documents upload



Certificate and Scope

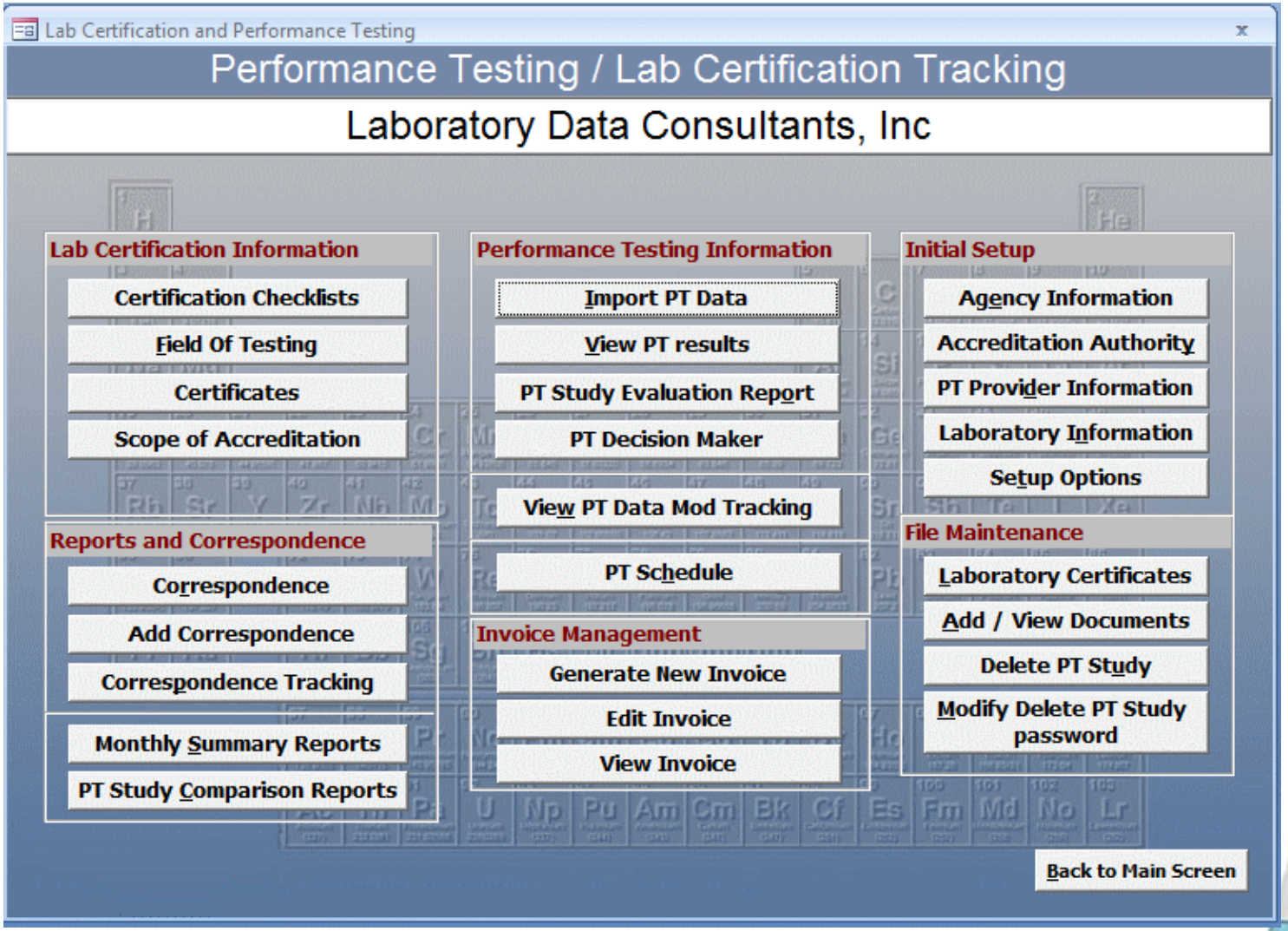
- Under Reports Tab on main menu
- Controlled distribution
  - Official “Display”
  - Easy to ‘withdraw’ upon revocation, withdrawal from program
- Conforms to NELAP content requirements

Application & Accreditation Status

Automated Audit System (AAS)

Tim Fitzpatrick, LDC

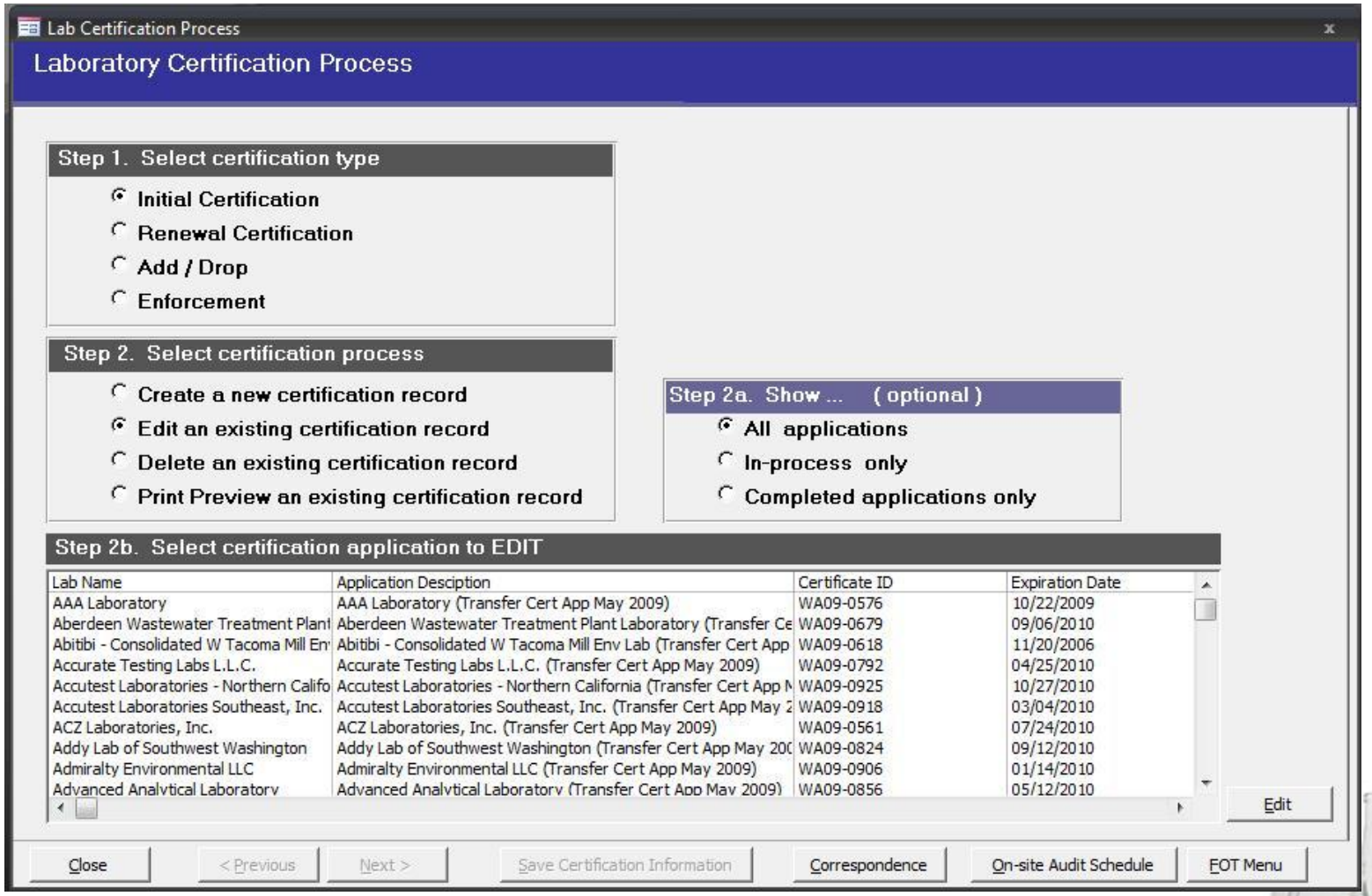
PT/Cert Module Main Screen



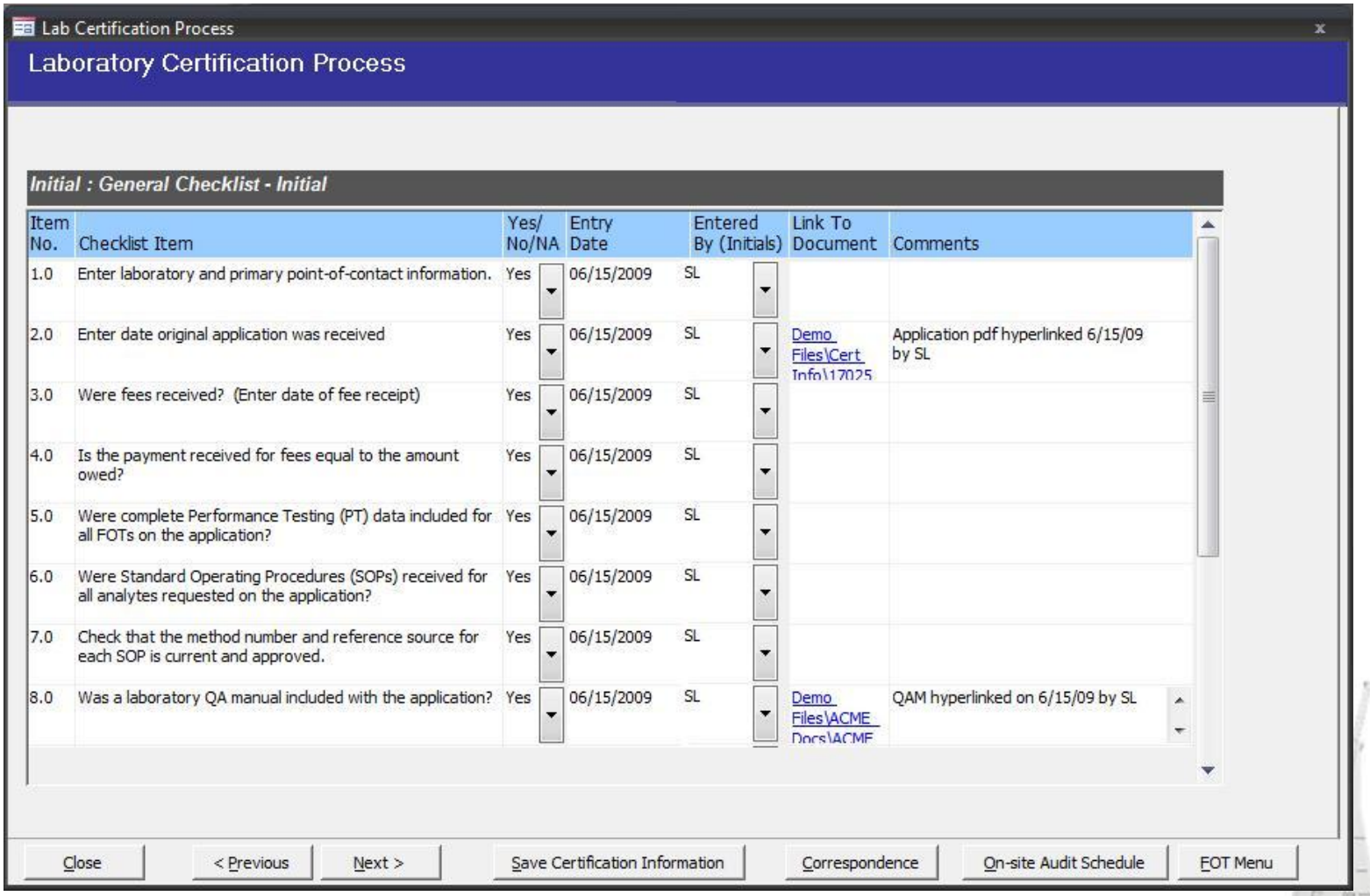
Certification Module Features

- Maintains record of all certifications and status of each certification for each laboratory in the database
- Checklist based
- Generates report listing all FOTs for each laboratory certificate with real-time status of each FOT
- Automatic generation of form letters for communication with lab (MS Word)
- Electronic application form in MS Excel
- Certification Renewal/Audit Due dates at a glance
- Add/withdraw FOTs
- Optional Custom Invoice Module generates invoices based on FOT and state-specific rules

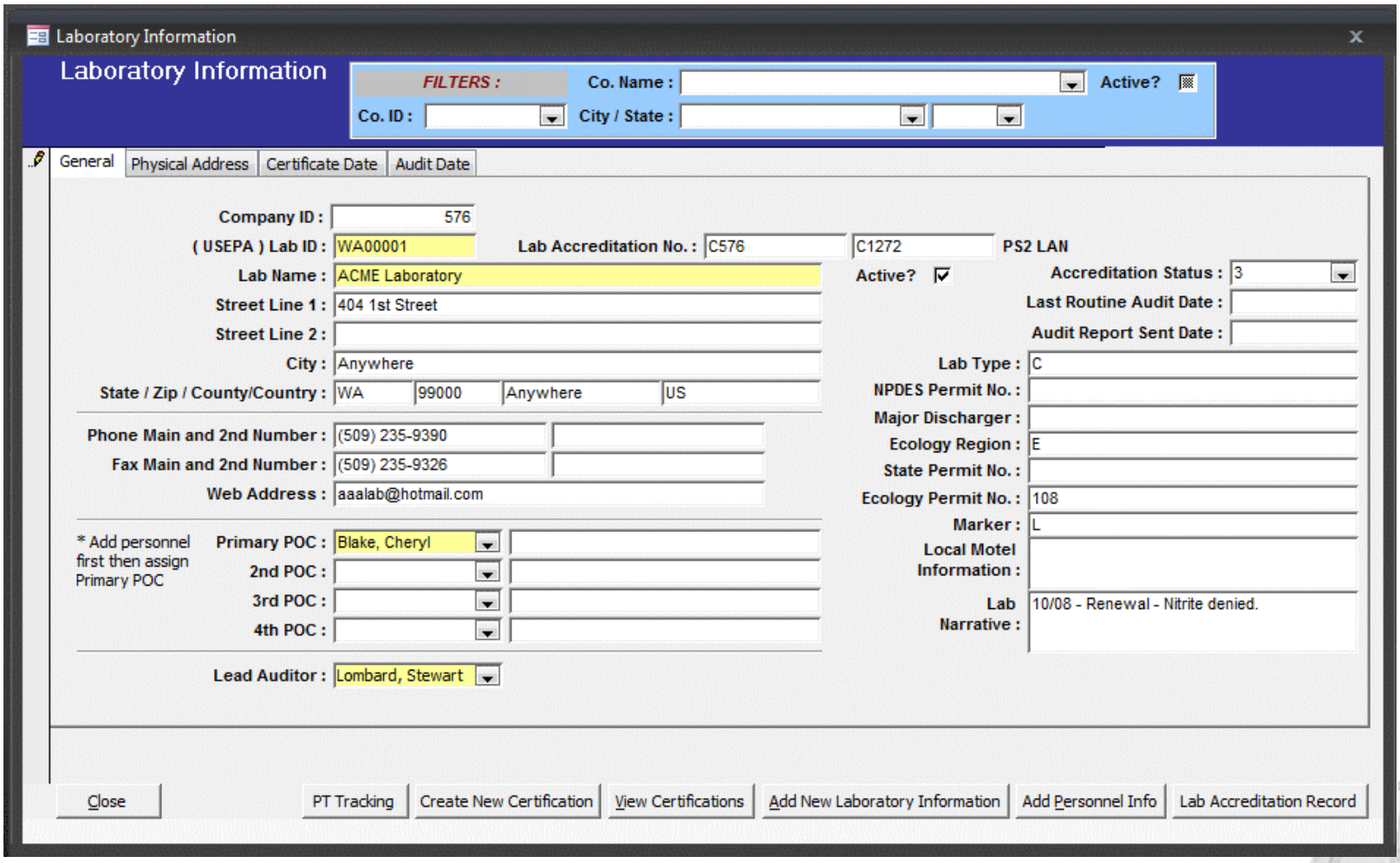
Certification Checklists



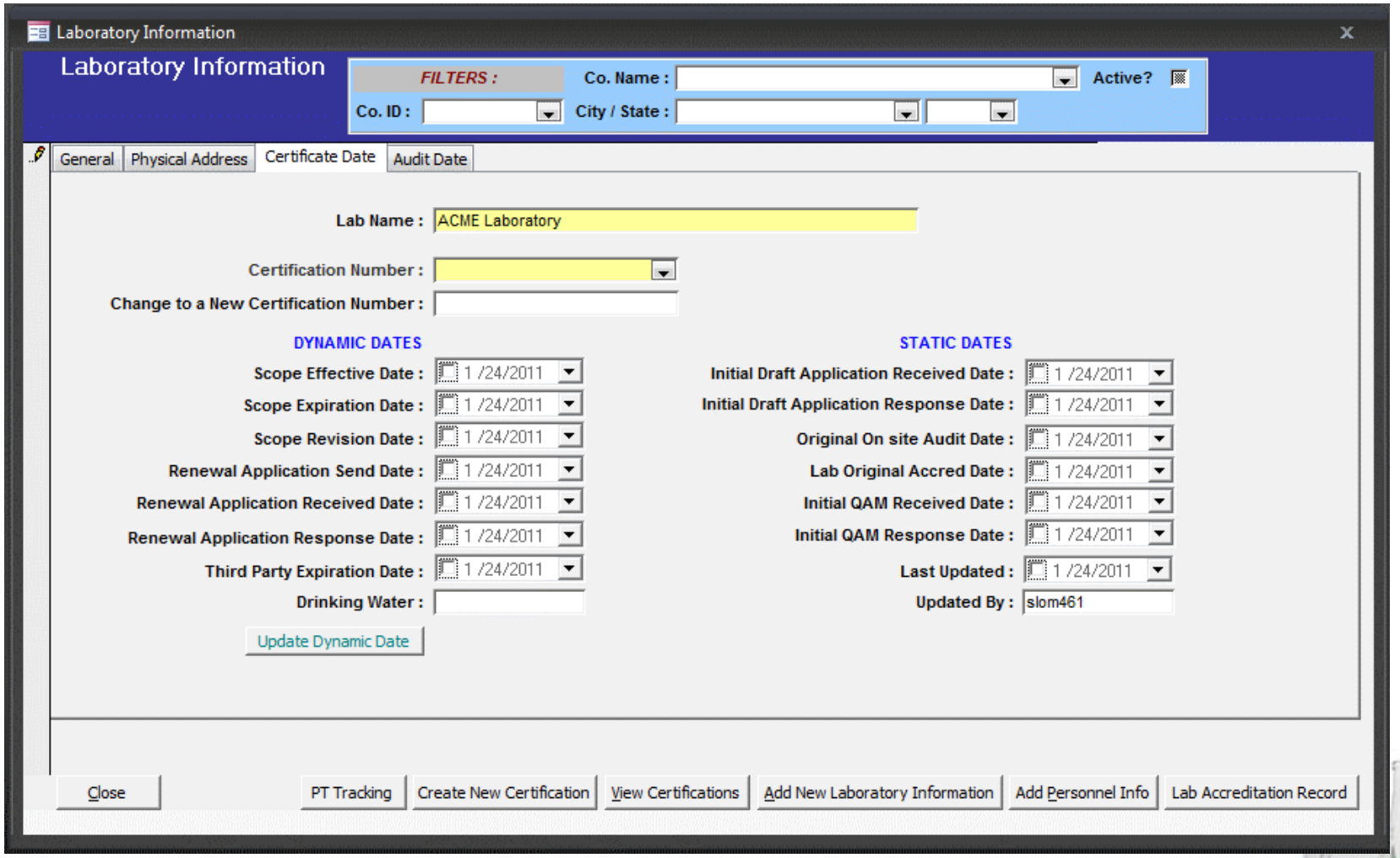
Cert Checklist Details



Lab Info Summary Screen



Certification Key Date Tracker



Query Screen

Proficiency Testing

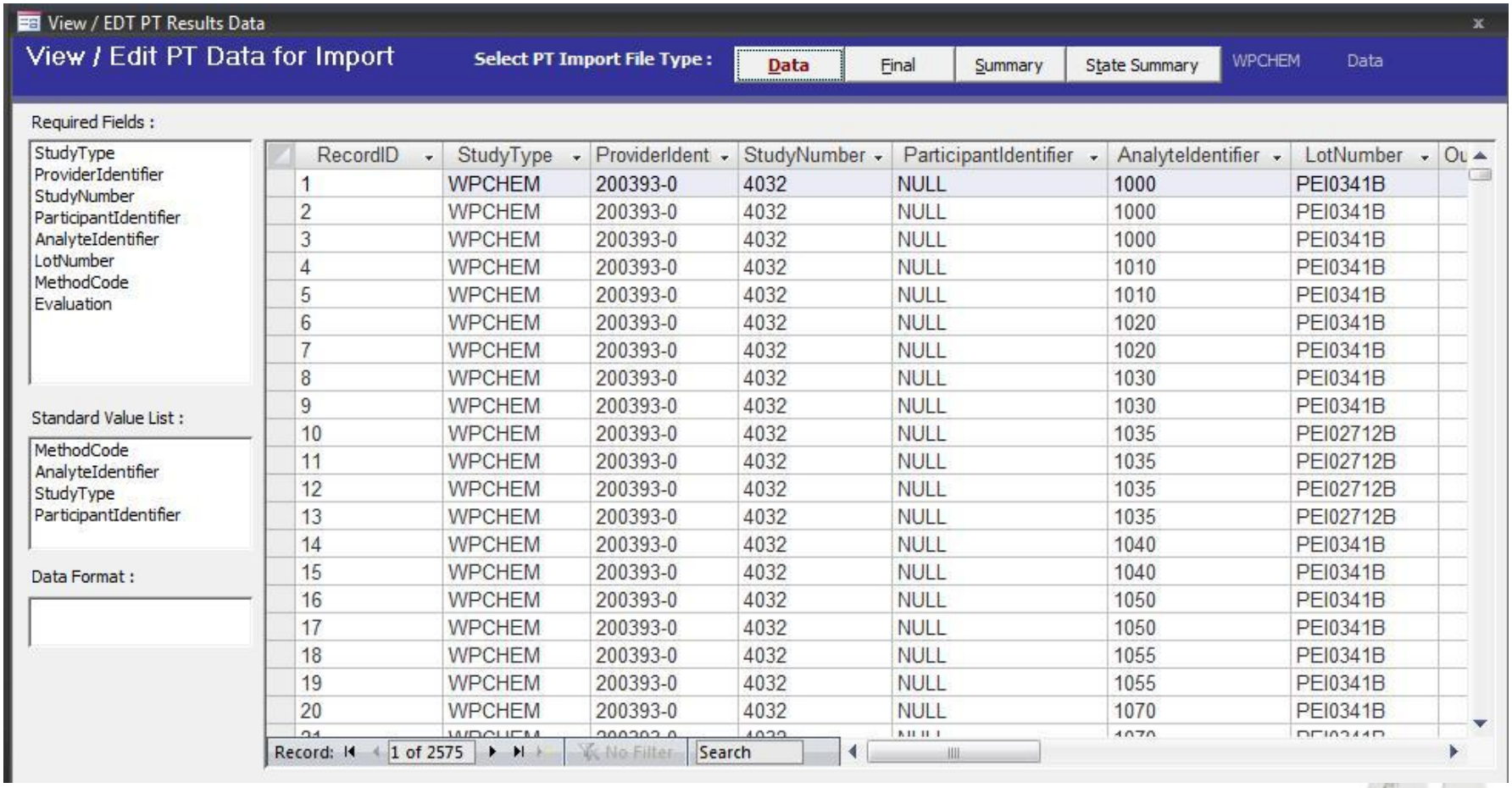
Automated Audit System (AAS)

Tim Fitzpatrick, LDC

PT Features

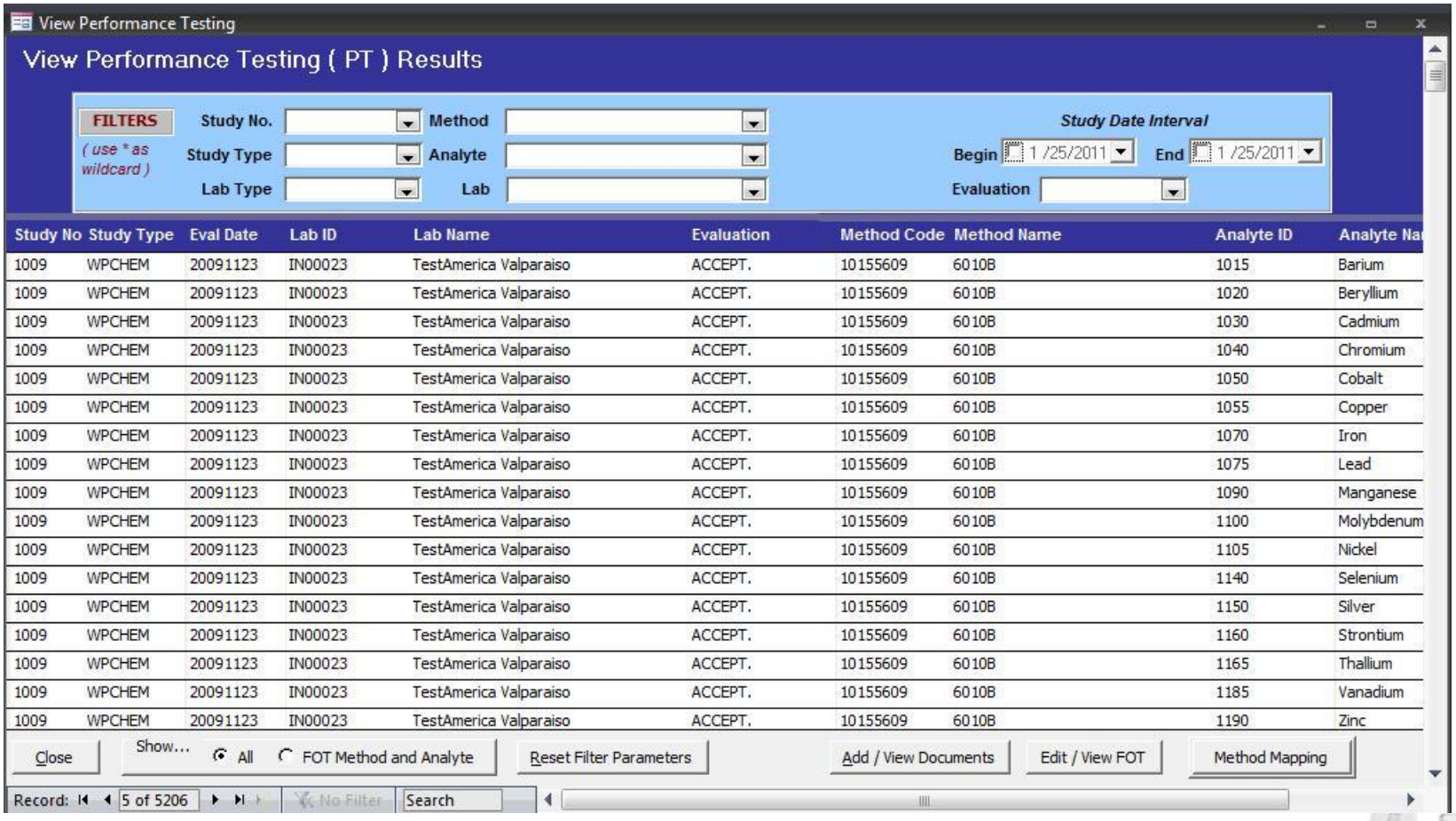
- Direct upload of electronic results from PT Provider
- PT data is stored in temporary table and is checked for errors, formatting and usability before appending to main database
- PT Decision Maker
- PT Evaluation Report
- Retrieval of PT results by lab, study type, date range, evaluation result status
- Classifies status of each FOT as Good, Warning, Suspended, Revoked or Withdrawn
- Decision Maker uses TNI logic but can use any logic
- Method Equivalency Mapping Tool
- PT Evaluation Tool gives entire PT history at a glance including exceptions

Import/Check Electronic PT Results



RecordID	StudyType	ProviderIdent	StudyNumber	ParticipantIdentifier	AnalyteIdentifier	LotNumber	Ou
1	WPCHEM	200393-0	4032	NULL	1000	PEI0341B	
2	WPCHEM	200393-0	4032	NULL	1000	PEI0341B	
3	WPCHEM	200393-0	4032	NULL	1000	PEI0341B	
4	WPCHEM	200393-0	4032	NULL	1010	PEI0341B	
5	WPCHEM	200393-0	4032	NULL	1010	PEI0341B	
6	WPCHEM	200393-0	4032	NULL	1020	PEI0341B	
7	WPCHEM	200393-0	4032	NULL	1020	PEI0341B	
8	WPCHEM	200393-0	4032	NULL	1030	PEI0341B	
9	WPCHEM	200393-0	4032	NULL	1030	PEI0341B	
10	WPCHEM	200393-0	4032	NULL	1035	PEI02712B	
11	WPCHEM	200393-0	4032	NULL	1035	PEI02712B	
12	WPCHEM	200393-0	4032	NULL	1035	PEI02712B	
13	WPCHEM	200393-0	4032	NULL	1035	PEI02712B	
14	WPCHEM	200393-0	4032	NULL	1040	PEI0341B	
15	WPCHEM	200393-0	4032	NULL	1040	PEI0341B	
16	WPCHEM	200393-0	4032	NULL	1050	PEI0341B	
17	WPCHEM	200393-0	4032	NULL	1050	PEI0341B	
18	WPCHEM	200393-0	4032	NULL	1055	PEI0341B	
19	WPCHEM	200393-0	4032	NULL	1055	PEI0341B	
20	WPCHEM	200393-0	4032	NULL	1070	PEI0341B	

View/Query PT results



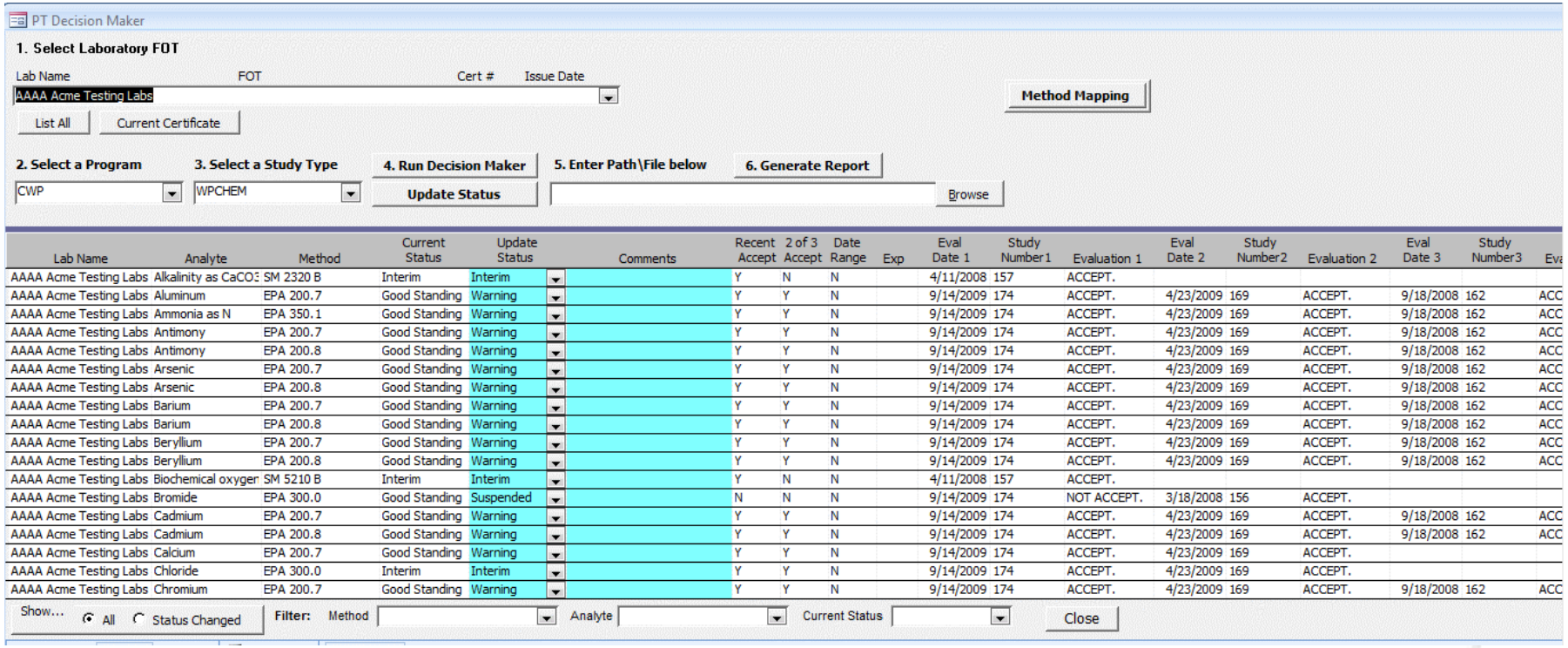
Study No	Study Type	Eval Date	Lab ID	Lab Name	Evaluation	Method Code	Method Name	Analyte ID	Analyte Na
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1015	Barium
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1020	Beryllium
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1030	Cadmium
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1040	Chromium
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1050	Cobalt
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1055	Copper
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1070	Iron
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1075	Lead
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1090	Manganese
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1100	Molybdenum
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1105	Nickel
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1140	Selenium
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1150	Silver
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1160	Strontium
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1165	Thallium
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1185	Vanadium
1009	WPCHEM	20091123	IN00023	TestAmerica Valparaiso	ACCEPT.	10155609	6010B	1190	Zinc

PT History with Exception Report

	A	C	D	E	F	G	H
1		PT Study Evaluation Worksheet					
2							
3	Laboratory Name: AAAA Acme Testing Labs						
4	EPA ID: WA00050						
5	State ID: C553						
6							
7	Program Type: CWP						
8							
				03/18/2008	04/11/2008	06/25/2008	09/18/2008
9	Fraction	Analyte Name	Analyte ID	Method Name	WPCHEM-156	WPCHEM-157	RCRA-62	WPCHEM-162
10		Total Hardness	1755	SM 2340 C		ACCEPT.		
11	Metals	Aluminum	1000	EPA 200.7		ACCEPT.		ACCEPT.
12	Metals	Antimony	1005	EPA 200.7		ACCEPT.		ACCEPT.
13	Metals	Antimony	1005	EPA 200.8		ACCEPT.		ACCEPT.
14	Metals	Arsenic	1010	EPA 200.7		ACCEPT.		ACCEPT.
15	Metals	Arsenic	1010	EPA 200.8		ACCEPT.		ACCEPT.
16	Metals	Barium	1015	EPA 200.7		ACCEPT.		ACCEPT.
17	Metals	Barium	1015	EPA 200.8		ACCEPT.		ACCEPT.
18	Metals	Beryllium	1020	EPA 200.7		ACCEPT.		ACCEPT.
19	Metals	Beryllium	1020	EPA 200.8		ACCEPT.		ACCEPT.
20	Metals	Cadmium	1030	EPA 200.7		ACCEPT.		ACCEPT.
21	Metals	Cadmium	1030	EPA 200.8		ACCEPT.		ACCEPT.
22	Metals	Calcium	1035	EPA 200.7				
23	Metals	Chromium	1040	EPA 200.7		ACCEPT.		ACCEPT.
24	Metals	Chromium	1040	EPA 200.8		ACCEPT.		ACCEPT.

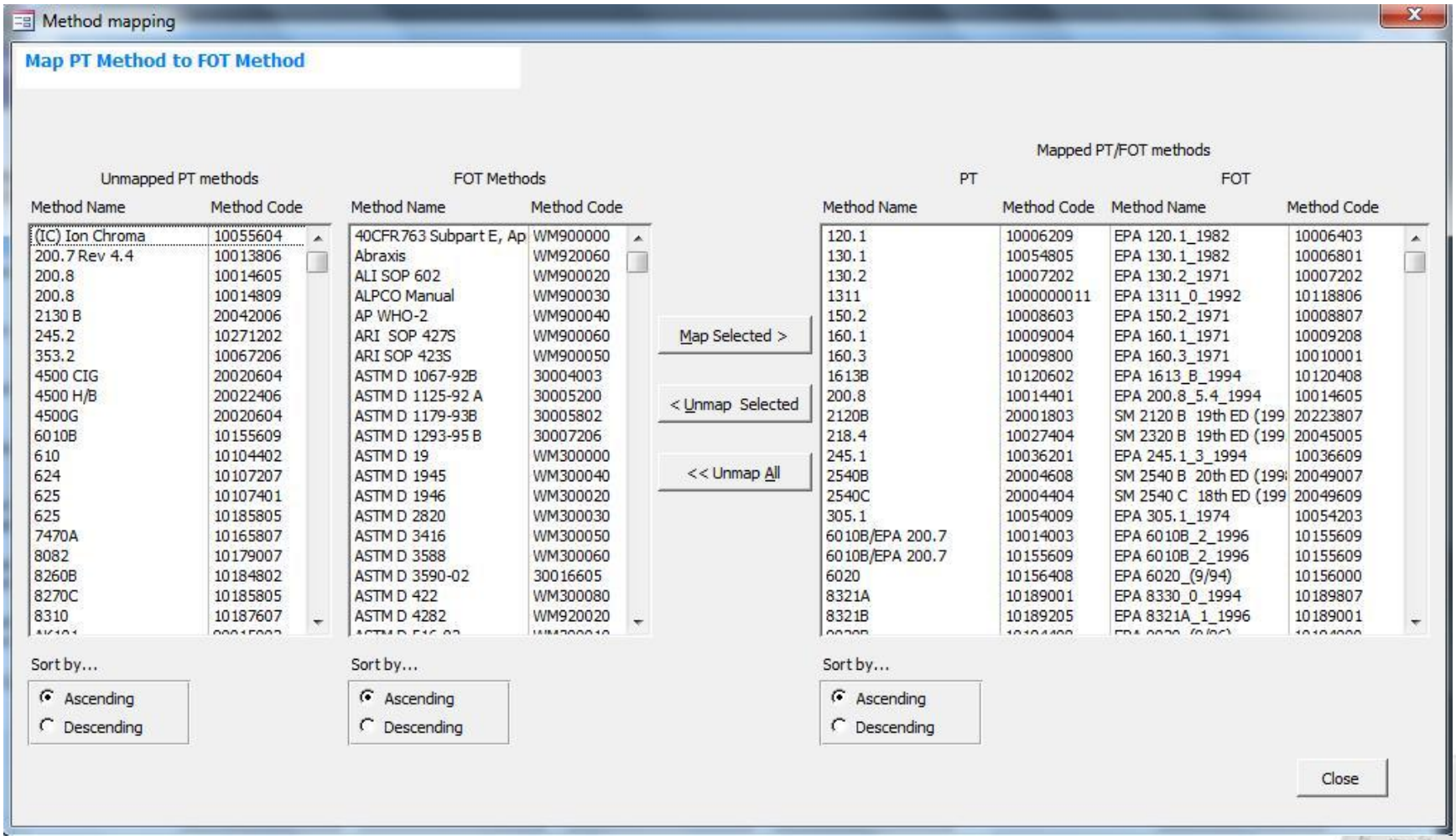
PT Result | Exception | Sheet3

TNI PT Evaluation Tool

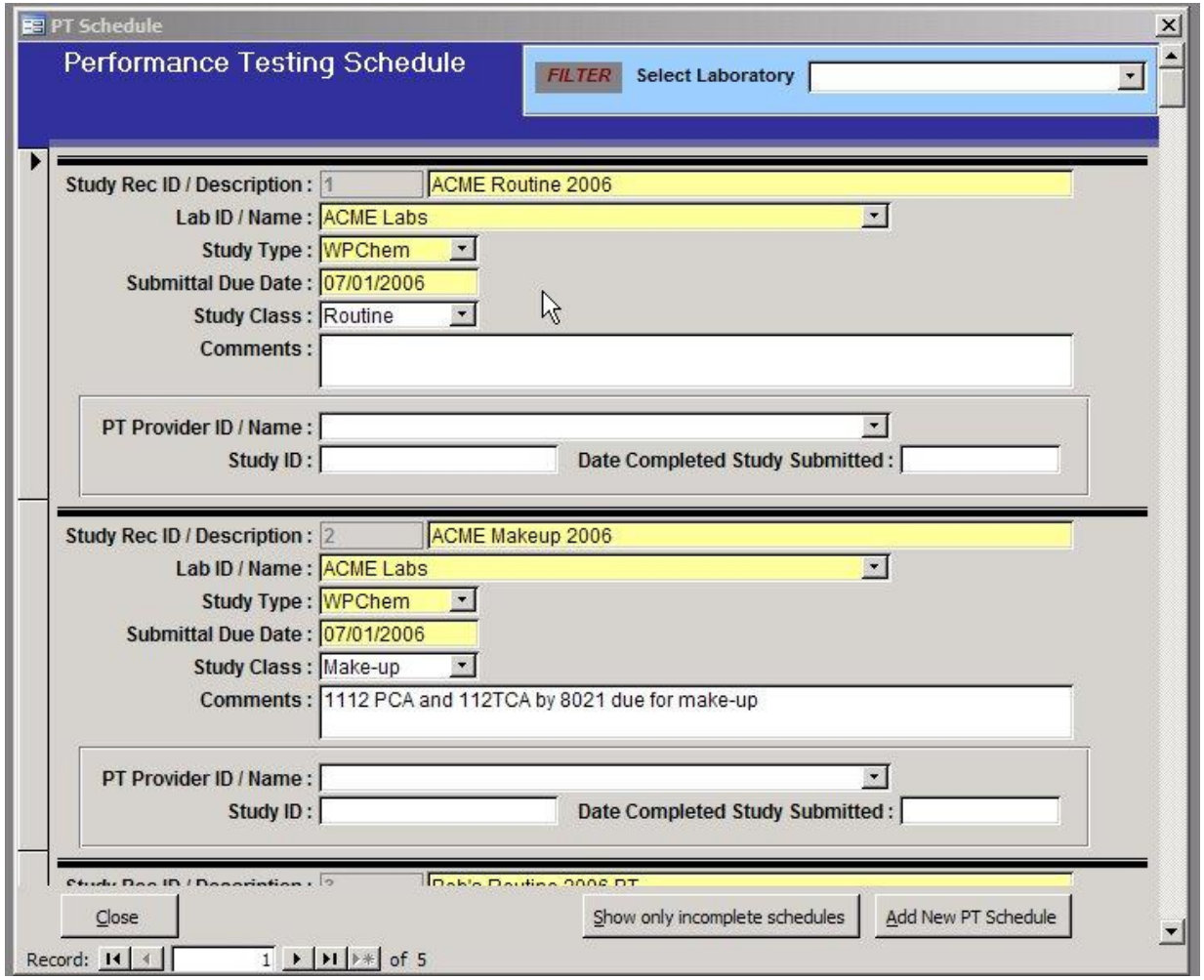


Lab Name	Analyte	Method	Current Status	Update Status	Comments	Recent Accept	2 of 3 Accept	Date Range	Exp	Eval Date 1	Study Number1	Evaluation 1	Eval Date 2	Study Number2	Evaluation 2	Eval Date 3	Study Number3	Eva
AAAA Acme Testing Labs	Alkalinity as CaCO3	SM 2320 B	Interim	Interim		Y	N	N		4/11/2008	157	ACCEPT.						
AAAA Acme Testing Labs	Aluminum	EPA 200.7	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Ammonia as N	EPA 350.1	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Antimony	EPA 200.7	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Antimony	EPA 200.8	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Arsenic	EPA 200.7	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Arsenic	EPA 200.8	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Barium	EPA 200.7	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Barium	EPA 200.8	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Beryllium	EPA 200.7	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Beryllium	EPA 200.8	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Biochemical oxygen	SM 5210 B	Interim	Interim		Y	N	N		4/11/2008	157	ACCEPT.						
AAAA Acme Testing Labs	Bromide	EPA 300.0	Good Standing	Suspended		N	N	N		9/14/2009	174	NOT ACCEPT.	3/18/2008	156	ACCEPT.			
AAAA Acme Testing Labs	Cadmium	EPA 200.7	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Cadmium	EPA 200.8	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC
AAAA Acme Testing Labs	Calcium	EPA 200.7	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.			
AAAA Acme Testing Labs	Chloride	EPA 300.0	Interim	Interim		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.			
AAAA Acme Testing Labs	Chromium	EPA 200.7	Good Standing	Warning		Y	Y	N		9/14/2009	174	ACCEPT.	4/23/2009	169	ACCEPT.	9/18/2008	162	ACC

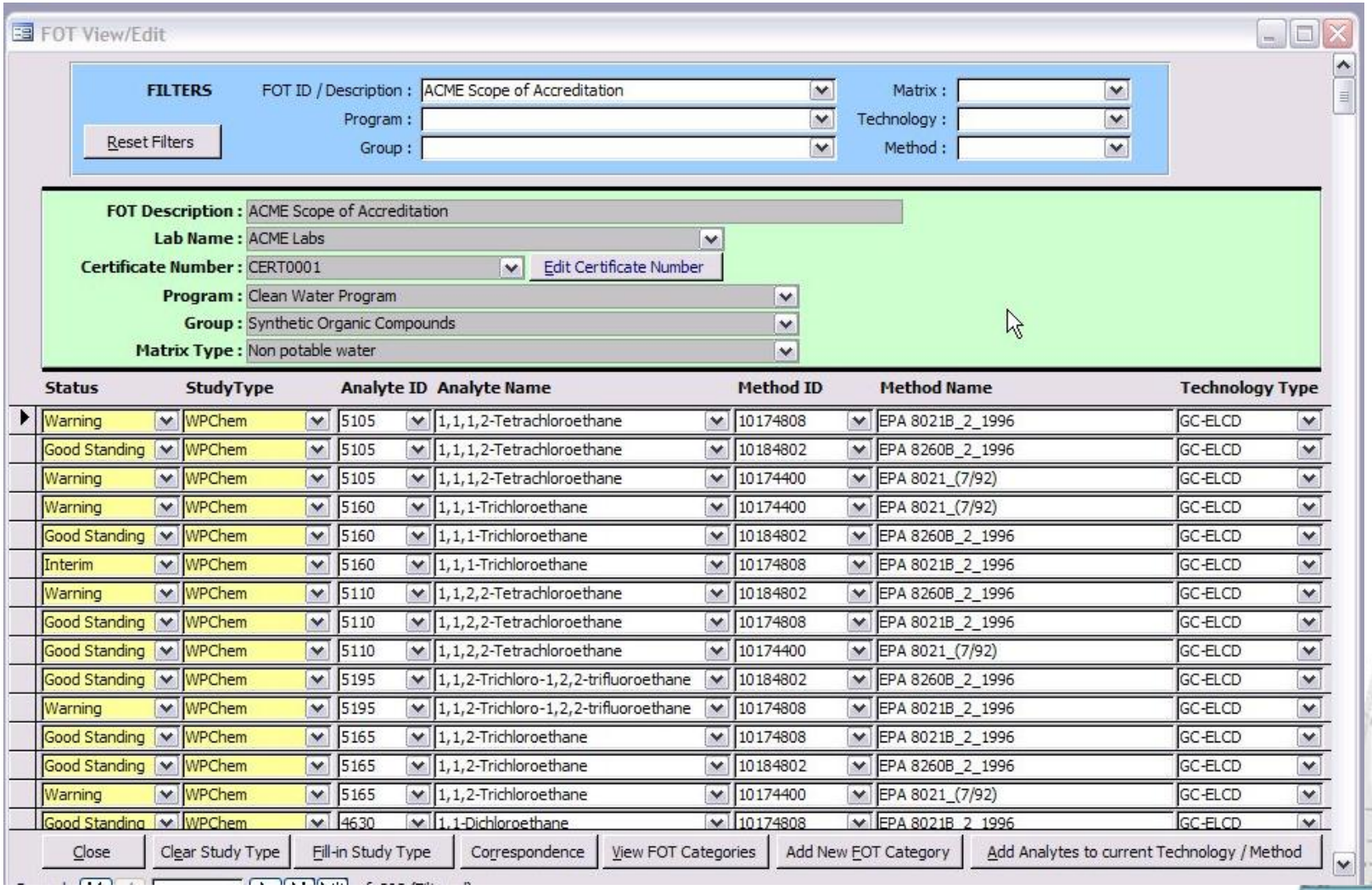
Method Mapping Tool



Schedule PT Testing



Real Time FOT status



Proficiency Testing

Environmental Laboratory Data-Online (ELDO)

Susan Wyatt, MN-ELAP

ELDO Features for PTs

- Upload electronic data from vendors
  - XML format: allows validation prior to delivery to MNELAP, readable files
- Business rules applied for evaluating PTs according to NELAP
  - Associates ‘required PTs’ for labs
  - Features for 2009 TNI Standard already incorporated (LOQ, analysis date)

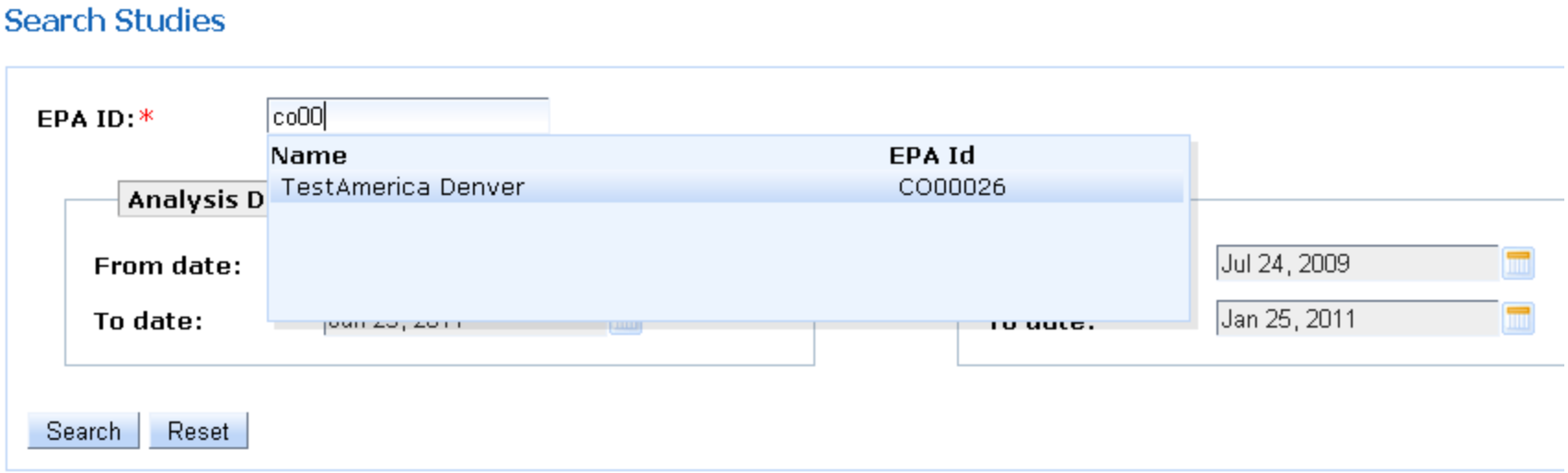
Identification of Vendors

Edit Vendor

Name: *	Wibby Environmental
Vendor Id: *	2427.01
Website:	www.wibby.com
Phone:	(303)940-0033
Email:	cwibby@wibby.com

Update Cancel

Finding Studies (by lab)



View Study Details

Lab Study Details

Study Id: 123567
Vendor: vendor 123
Vendor Code: vendor123
Lab: TestAmerica Denver
Lab EPA Id: CO00026

Study Items (1154)

Analyte	Method	Matrix	Lot#	Eval	Analysis Date	Close Date	Open Date	Report Date	Assigned Value	LOQ	Reported Value	Limits	Unit
Benzo(g,h,i)perylene	EPA 8310	Non-Potable Water	lot123	Acceptable	12/17/2010	12/17/2010	12/17/2010	12/17/2010	24	200	<5	1/200	g/l
Chloroethane (Ethyl chloride)	EPA 8260B	Solid and Chemical Materials	lot123	Acceptable	12/17/2010	12/17/2010	12/17/2010	12/17/2010	24	200	<5	1/200	g/l
Trichloroethene (Trichloroethylene)	EPA 8021B	Solid and Chemical Materials	lot123	Acceptable	12/17/2010	12/17/2010	12/17/2010	12/17/2010	24	200	<5	1/200	g/l
	EPA	Non-Potable											

View List of PTs Required

Required PT's

EPA ID:* CO00026

Analysis Date:

From date: Jul 24, 2009

To date: Jan 25, 2011

Close Date:

From date: Jul 24, 2009

To date: Jan 25, 2011

Search Reset

Required PT Results (2360)

Analyte	Matrix	Method	Technology	Status	Vendor Eval	Vendor	Study #	Reported Value	Closing Dat
				All	All				
Disulfoton	Solid and Chemical Materials	EPA 8270C	Gas Chromatography-Mass Spectrometry	ACC	Acceptable	vendor 123	123567	<5	Dec 17, 2010
Disulfoton	Solid and Chemical Materials	EPA 8270C	Gas Chromatography-Mass Spectrometry	ACC	Acceptable	vendor 123	12345	<5	Dec 29, 2010
Phorate	Solid and Chemical Materials	EPA 8141A	Gas Chromatography-Nitrogen/phosphorus Detection	ACC	Acceptable	vendor 123	123567	<5	Dec 17, 2010

Constraints

- Undefined FoPT list
- Incomplete method codes and analyte codes lists
- PT vendor files inconsistent
- Inconvenient transfer files
- No TNI-established identification for PT vendors

TNI, Please Help Us!!

Assessments

Checklist Tool

Mei Beth Shepherd, STS

Checklist Tool Features

- Access Assessments over the Web
- All levels (Laboratory, Assessors, AB, Advisory Board) see real time status
- Easily find the question of interest among the 1300ish in the NELAC checklist
- Automated creation of reports
  - Single assessment
  - Across multiple assessments

Create Assessment

Use the form below to add a new audit. Items marked with * are required. Click the Cancel button to go back to the list of audits.

*Assessment Id:		Client:	Select...
Start Date:		-OR- NEW Client/Location:	Client Location
End Date:		Address:	
*Standard:	Select...	City:	
*Status:	Open	State:	Select...
Type:	External / Internal	Zip:	
*FOAs and Capabilities:	Air, Asbestos, Microbiology, Organics, Radio Chemistry, Toxicity Testing, In House Lab, PT Samples, Sampling, Sampling Equipment, Sub Contractors, Work Cells	Phone:	
		Fax:	
		http://	
		Laboratory Title:	
Classification:	Select...	Contact First Name:	
Assessor Co.:	Select...	Contact Last Name:	
Accrediting Body:	Select...	Contact Email:	
Advisory Board:	Select...		

Apply Cancel

Assessor Definition

- Assessors

Use the form below to add an Audit Assessor to this Audit. Click the Cancel button to go back to the list of Audits.

Assessor Co.:	Shepherd Technical Services
NEW Assessor	
Name:	
Email:	
	– OR –
EXISTING Assessor	Select...
	Apply Cancel
Assessor(s):	There are no Audit Assessors in the database for this Audit.

Interviewee Definition

- Interviewees

Use the form below to add an Audit Interviewee to this Audit. Items marked with * are required. Click the Cancel button to go back to the list of Audits.

*Name:	
Email:	
*Functional Area:	
Meeting Type:	☐ Opening ☐ Closing ☐ Interview
	Apply Cancel
Interviewee(s):	There are no Audit Interviewees in the database for this Audit.

Document Definition

- Documents

Use the form below to add an Audit Document to this Audit. Items marked with * are required. Click the Cancel button to go back to the list of Audits.

Document Type:

- Audits
- Corrective Action Reports
- Data Records
- DOC
- Instrument/Reagent/Standard Tracking Records
- Method SOPs
- Miscellaneous
- Personnel Qualifications
- PT
- Quality Documents
- Support
- Test Reports
- Training Records

Apply | Cancel

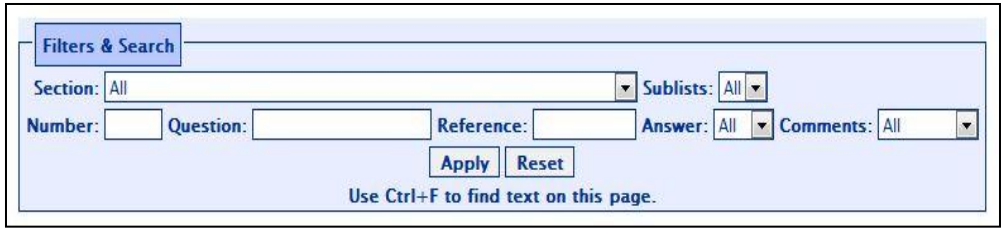
Document(s): There are no Audit Documents in the database for this Audit.

Sublist Definition

- Sublists such as Method Checklists

Find Questions

- Search for Relevant Checklist Question
  - Number
  - Standard Section
  - Full Text search



- Add Comments
  - Prior to onsite assessment
  - During Assessment
  - After Assessment

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Enter Findings

Use the form below to update this answer. Click the Cancel button to go back to the list of answers for this audit.

Standard:	2003 d
Section:	5.4 – Management Requirements
Question:	35. Do the technical director(s) meet the requirements specified in the Accreditation Process? (see 4.1.1.1)
Reference:	5.4.1.5.h
Answer:	○ N/A ○ No ◉ Yes
Comment:	

Add a New Finding

Sort Order:	
Critical:	◉ No ○ Yes
Repeat:	◉ No ○ Yes
Category:	Select...
Finding Details:	
Days to Complete:	30
Request Assessor Approval:	◉ No ○ Yes

Apply Cancel

Single Assessment Reports

- Cover Page
- Preview Findings
- NELAC General
- Documents
- DOCs
- Summary

Multiple Assessment Reports

- Used for
  - Training
  - Standard Improvement
- Deficiency Summary
  - Which questions have the most findings?
- Cross Assessment Report
  - What are the findings for each question?

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Report Examples

Deficiency Summary

Change report parameters. Number of Audits in Sample: 57

Standard	Question	Deficiency Count
2003 d	1	3

Close

Print

Cross Assessment Findings

Change report parameters.
Number of Audits in Sample: 5
Number of Findings in Sample: 144

Standard	Number	Question	Category	Reference	Deficiencies or Findings	Critical	Repeat	Section
2003 d	2	Does the laboratory demonstrate compliance with more stringent standards if required in a mandated test method or regulation?	T-1 - Analytical and Program Requirements	5.1.1	The laboratory's SOP for EPA Method 1664A calls for using 35-70 mesh silica gel for the silica gel treated portion of the analysis. This mesh size corresponds to 210-500 micron particle size. Section 7.7 of the reference method specifies 75-100 micron particle size material.	N	N	5.4 - Management Requirements
2003 d	2	Does the laboratory demonstrate compliance with more stringent standards if required in a mandated test method or regulation?	T-1 - Analytical and Program Requirements	5.1.1	The laboratory's SOP for performing TCLP extractions employs a dry weight determination rather than the percent solids procedure described in Section 7.1.1 of the reference method.	N	N	5.4 - Management Requirements
2003 d	35	Do the technical director(s) meet the requirements specified in the Accreditation Process? (see 4.1.1.1)	P - Positive Findings	5.4.1.5.h	Mr. Robert Stowe and Ms. Erica Trickey are recognized as meeting the qualifications requirements for Technical Director for Toxicity Testing as defined at NELAC 4.1.1.1.	N	N	5.4 - Management Requirements
2003 d	35	Do the technical director(s) meet the requirements specified in the Accreditation Process? (see 4.1.1.1)	P - Positive Findings	5.4.1.5.h	TCEQ recognizes Ms. Norma James as meeting the qualifications requirements for Technical Director as defined at NELAC 4.1.1.1.	N	N	5.4 - Management Requirements
2003 d	44	Does the laboratory appoint deputies for key managerial personnel including the technical director(s) and/or quality manager?	M-1 - Organization	5.4.1.5.j	The laboratory has not appointed deputies for key managerial personnel, including the technical director and the quality manager.	N	N	5.4 - Management Requirements
2003 d	45	For purposes of qualifying for and maintaining accreditation, does each laboratory participate in a proficiency test program as outlined in Chapter 2?	T-3 - Proficiency Testing	5.4.1.5.k	Corrective action reports for failed proficiency test studies are not submitted to the accrediting authority as required in NELAC 2.7.4.	N	N	5.4 - Management Requirements
2003 d	47	Does the laboratory document its policies, systems, programs, procedures and instructions to the extent necessary to assure the quality of the environmental test results?	M-2 - Quality Systems	5.4.2.1	The laboratory has failed to document policies and procedures for several key quality systems. Documented procedures do not exist for: • Purchasing, • Review of Contracts, Requests, and Tenders, • Internal Audits, • Management Review, • Corrective Action, and • Data Integrity. Due to fundamental nature of these systems to implementation of the overall standard, this finding is judged to be a Critical Finding.	Y	N	5.4 - Management Requirements

Future Development

- Enhancements
  - Additional checklists (e.g., 2009 TNI standard)
  - Off-line version
  - Canned database reporting tools
  - Direct entry of CAB corrective action(s)
  - Additional reports, as needed.

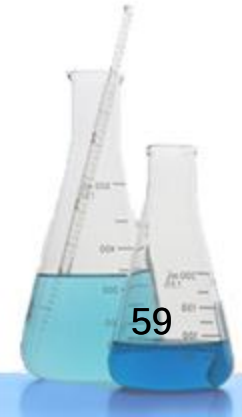
Assessments

Automated Audit System (AAS)

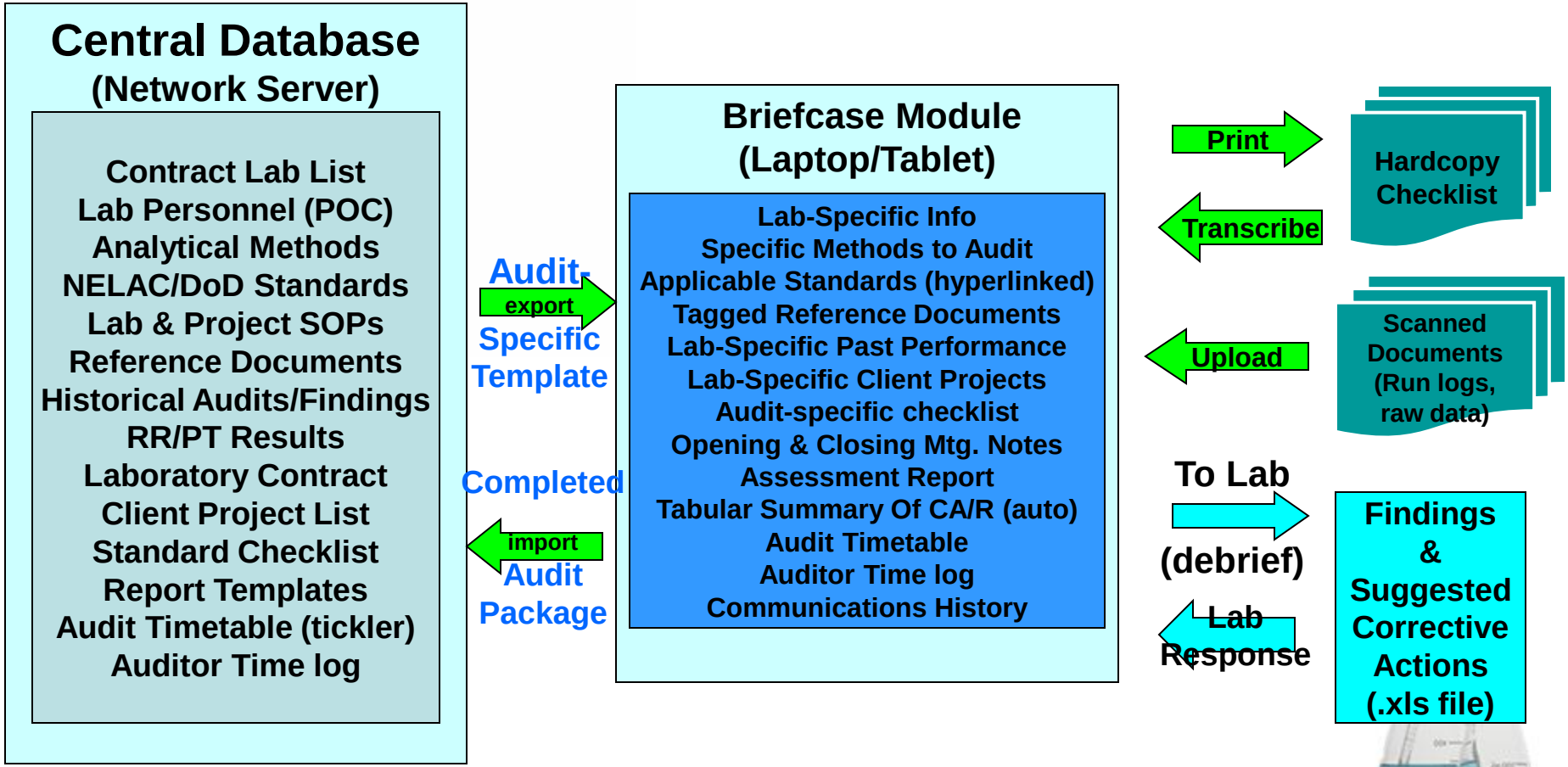
Tim Fitzpatrick, LDC

Audit Module Features

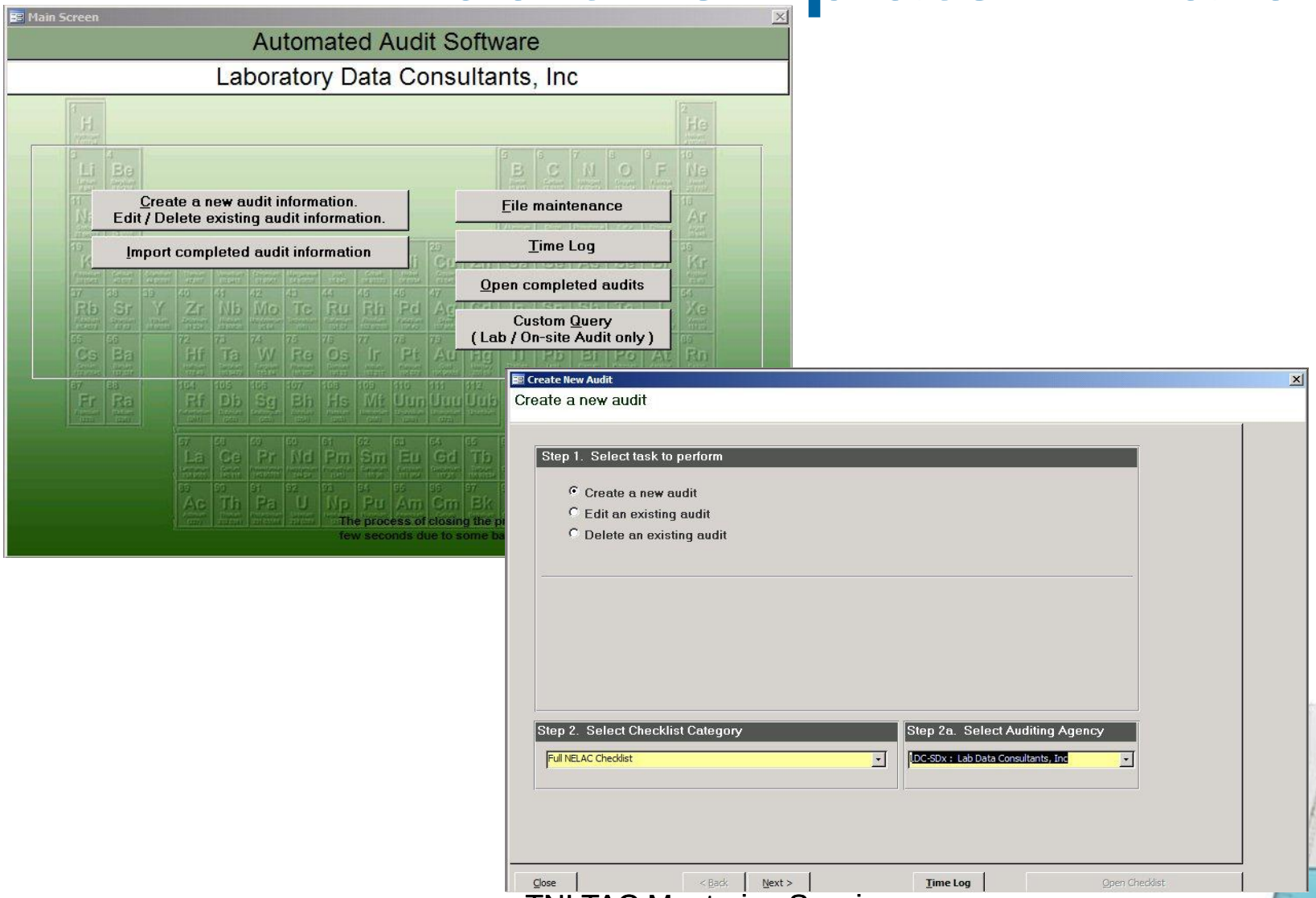
- Standardization of audit process and audit reporting through automation
- Uses TNI and other agency or project-specific checklists and requirements to guide the user through the audit
- Centralized storage of audit records for review by audit team
- Query tool for findings, CA and trend analysis
- Real time retrieval of audit reference documents by hyperlinks
- Generation of clear, concise and technically sound reports for the laboratory and data users
- Field Sampling Audit version available
- Attach electronic exhibits for findings



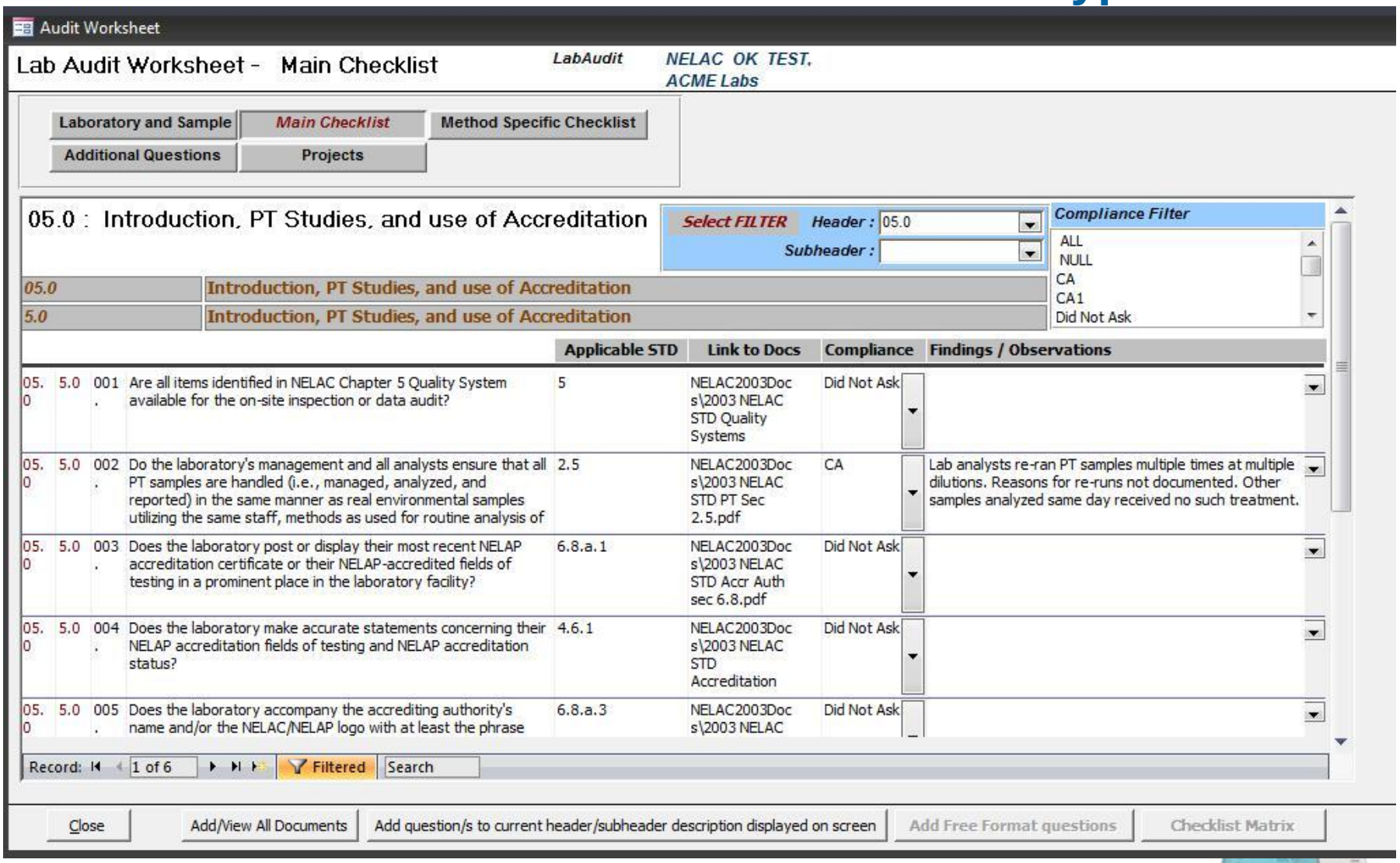
Electronic Audit Process Overview



Audit Template Wizard



Customizable Checklists with Hyperlinks



Summary Findings Table I/O in Excel

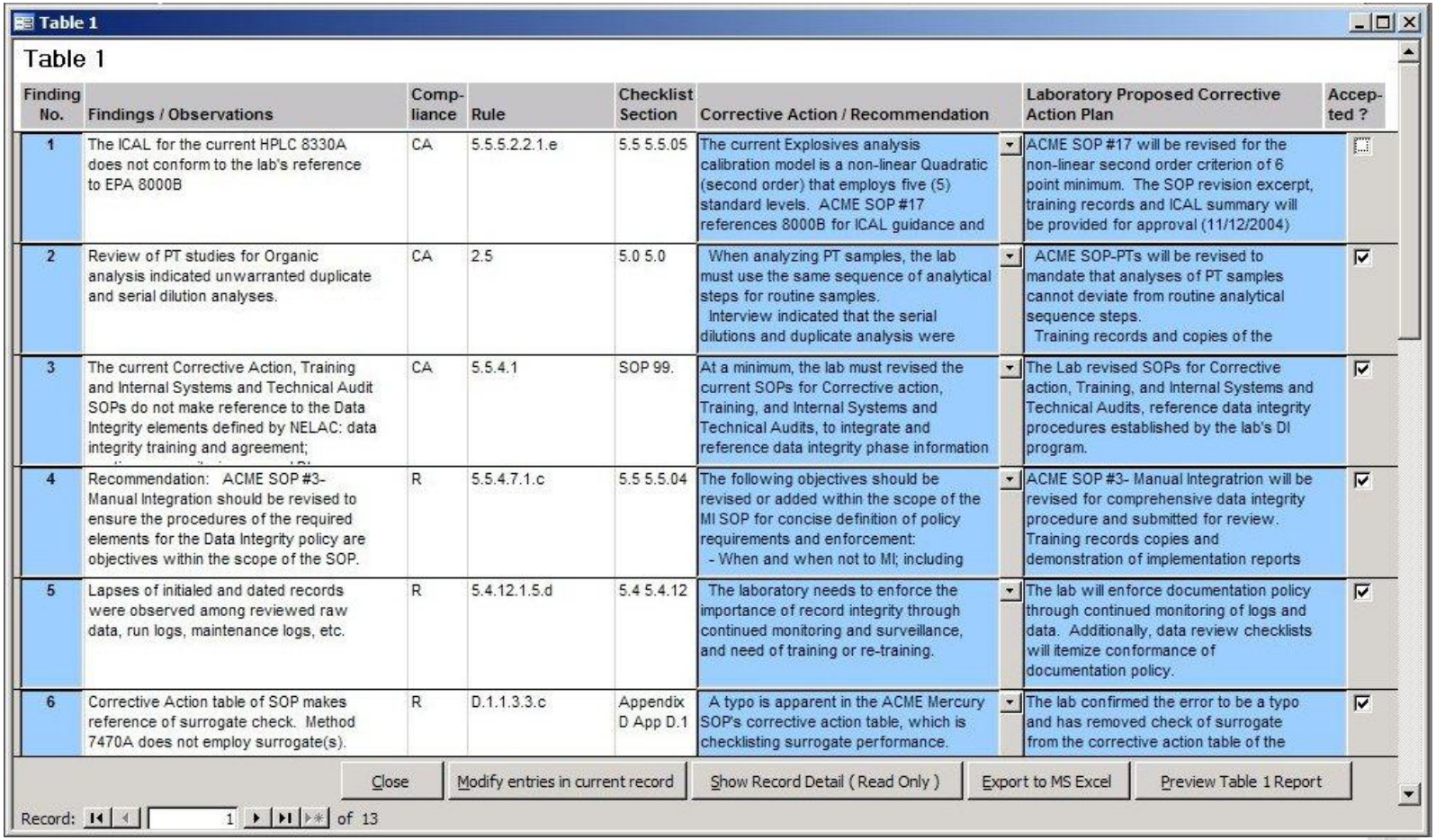


Table 1

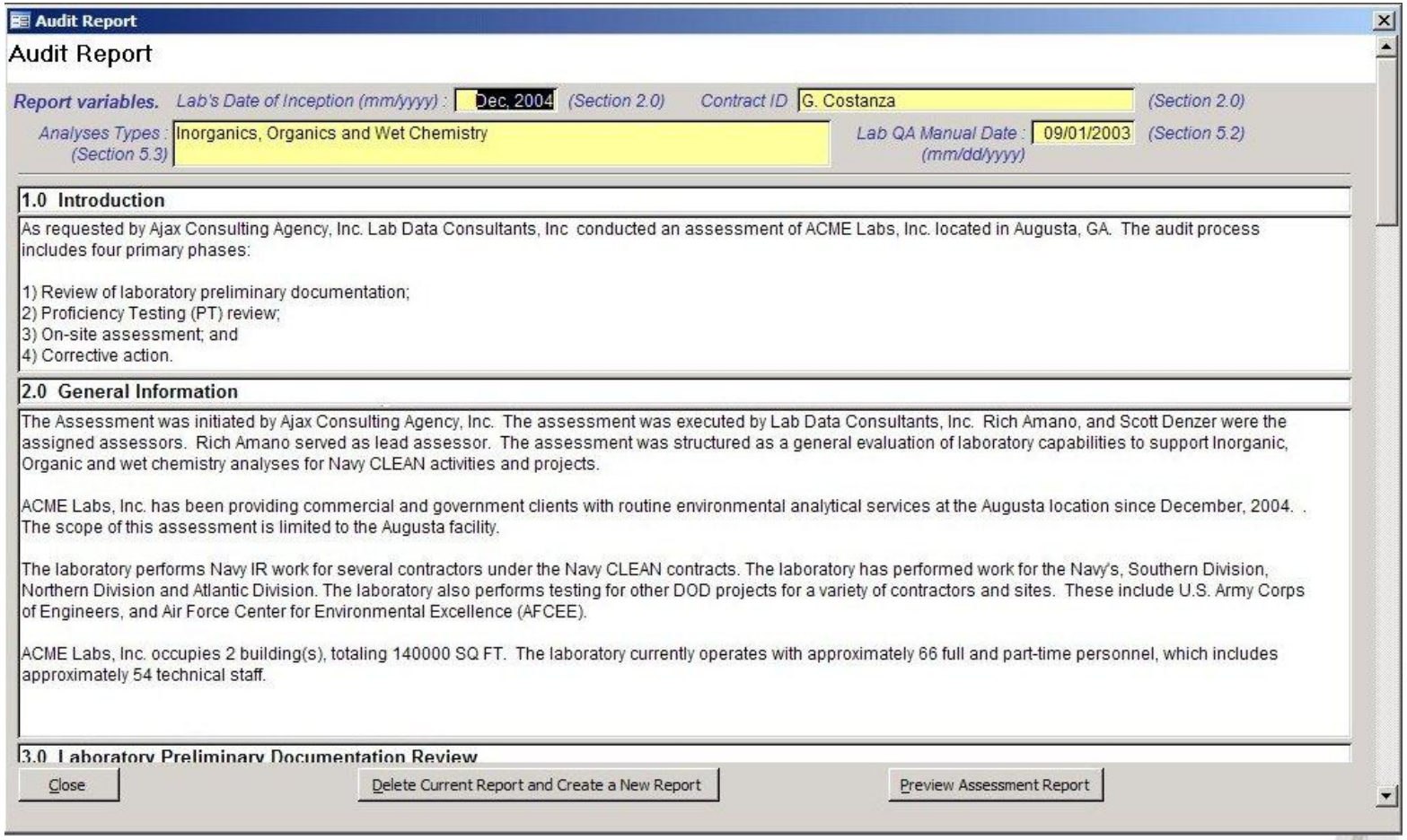
Table 1

Finding No.	Findings / Observations	Comp-liance	Rule	Checklist Section	Corrective Action / Recommendation	Laboratory Proposed Corrective Action Plan	Accep-ted ?
1	The ICAL for the current HPLC 8330A does not conform to the lab's reference to EPA 8000B	CA	5.5.5.2.2.1.e	5.5 5.5.05	The current Explosives analysis calibration model is a non-linear Quadratic (second order) that employs five (5) standard levels. ACME SOP #17 references 8000B for ICAL guidance and	ACME SOP #17 will be revised for the non-linear second order criterion of 6 point minimum. The SOP revision excerpt, training records and ICAL summary will be provided for approval (11/12/2004)	☐
2	Review of PT studies for Organic analysis indicated unwarranted duplicate and serial dilution analyses.	CA	2.5	5.0 5.0	When analyzing PT samples, the lab must use the same sequence of analytical steps for routine samples. Interview indicated that the serial dilutions and duplicate analysis were	ACME SOP-PTs will be revised to mandate that analyses of PT samples cannot deviate from routine analytical sequence steps. Training records and copies of the	☑
3	The current Corrective Action, Training and Internal Systems and Technical Audit SOPs do not make reference to the Data Integrity elements defined by NELAC: data integrity training and agreement;	CA	5.5.4.1	SOP 99.	At a minimum, the lab must revised the current SOPs for Corrective action, Training, and Internal Systems and Technical Audits, to integrate and reference data integrity phase information	The Lab revised SOPs for Corrective action, Training, and Internal Systems and Technical Audits, reference data integrity procedures established by the lab's DI program.	☑
4	Recommendation: ACME SOP #3-Manual Integration should be revised to ensure the procedures of the required elements for the Data Integrity policy are objectives within the scope of the SOP.	R	5.5.4.7.1.c	5.5 5.5.04	The following objectives should be revised or added within the scope of the MI SOP for concise definition of policy requirements and enforcement: - When and when not to MI; including	ACME SOP #3- Manual Integratrion will be revised for comprehensive data integrity procedure and submitted for review. Training records copies and demonstration of implementation reports	☑
5	Lapses of initialed and dated records were observed among reviewed raw data, run logs, maintenance logs, etc.	R	5.4.12.1.5.d	5.4 5.4.12	The laboratory needs to enforce the importance of record integrity through continued monitoring and surveillance, and need of training or re-training.	The lab will enforce documentation policy through continued monitoring of logs and data. Additionally, data review checklists will itemize conformance of documentation policy.	☑
6	Corrective Action table of SOP makes reference of surrogate check. Method 7470A does not employ surrogate(s).	R	D.1.1.3.3.c	Appendix D App D.1	A typo is apparent in the ACME Mercury SOP's corrective action table, which is checklisting surrogate performance.	The lab confirmed the error to be a typo and has removed check of surrogate from the corrective action table of the	☑

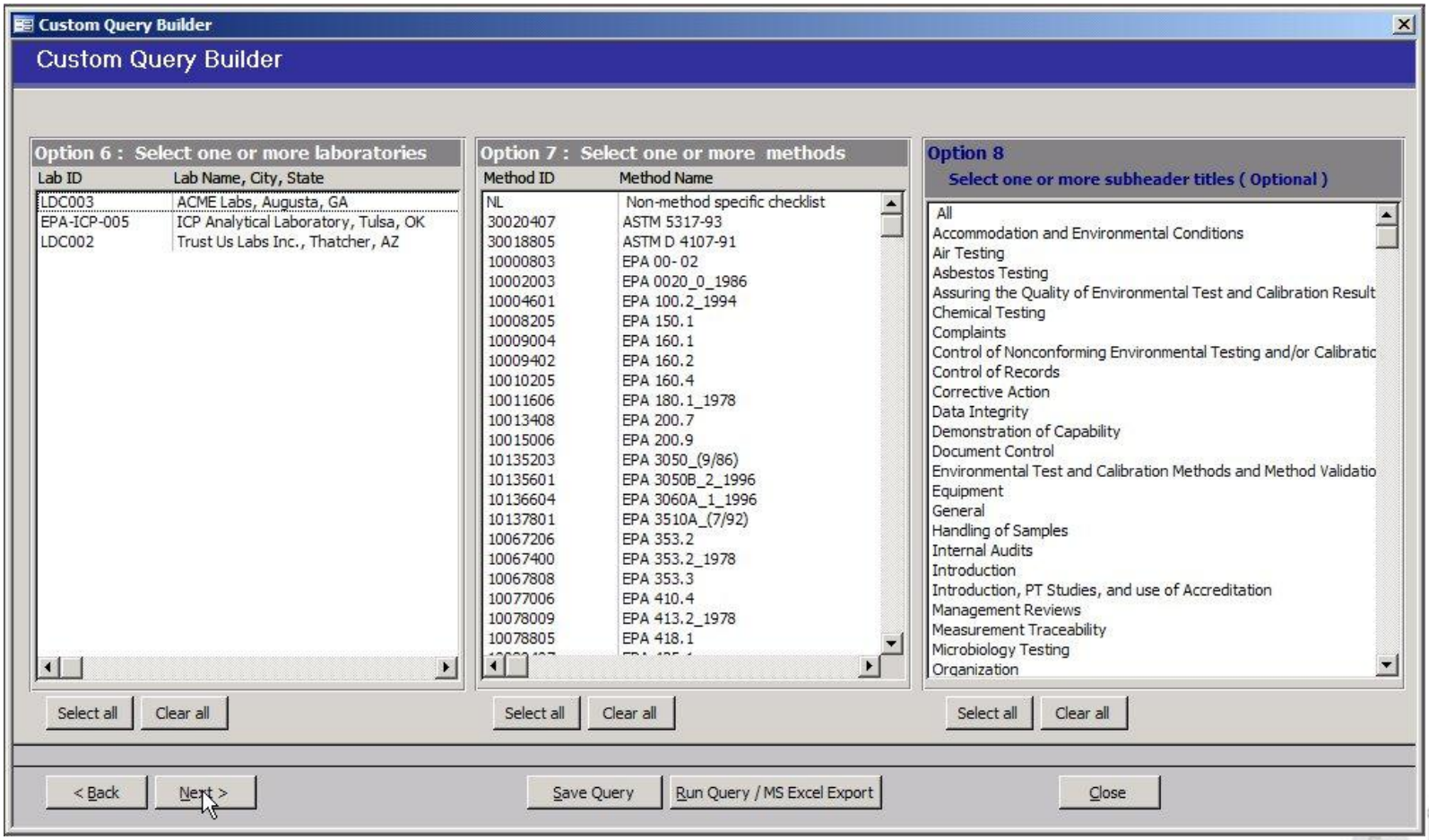
Close | Modify entries in current record | Show Record Detail (Read Only) | Export to MS Excel | Preview Table 1 Report

Record: 1 of 13

Report Template (MS Word)



Query Tool Findings/CA



Assessments

Environmental Laboratory Data-Online (ELDO)

Susan Wyatt, MN-ELAP

ELDO Features: Assessments

- Real-time assessment reporting and responses
  - No transfer files; enter directly into system
- Pre-programmed report citations with “hints” for use
- Multiple assessor access to draft reports
- System-required peer review
- Automated messaging and delivery of reports and lab responses

Create Assessments

Add Assessment

Assessment ID:

Selected lab EPA Id: *

Lab Name:

Lab State Code:

Lab EPA Id:

Physical Address:

Type: * -- Select --

Assessment Date: * 01/10/2011 12:00 AM

End Date: *

Report Date:

Status: Draft

Lead Assessor: Stephanie Drier

Other Assessors: Add

Lab Attendants: Add

Responsibility Areas: *

AIR
All Areas
Inorganic Chemistry
Metals
Microbiology
Other Organic Comp

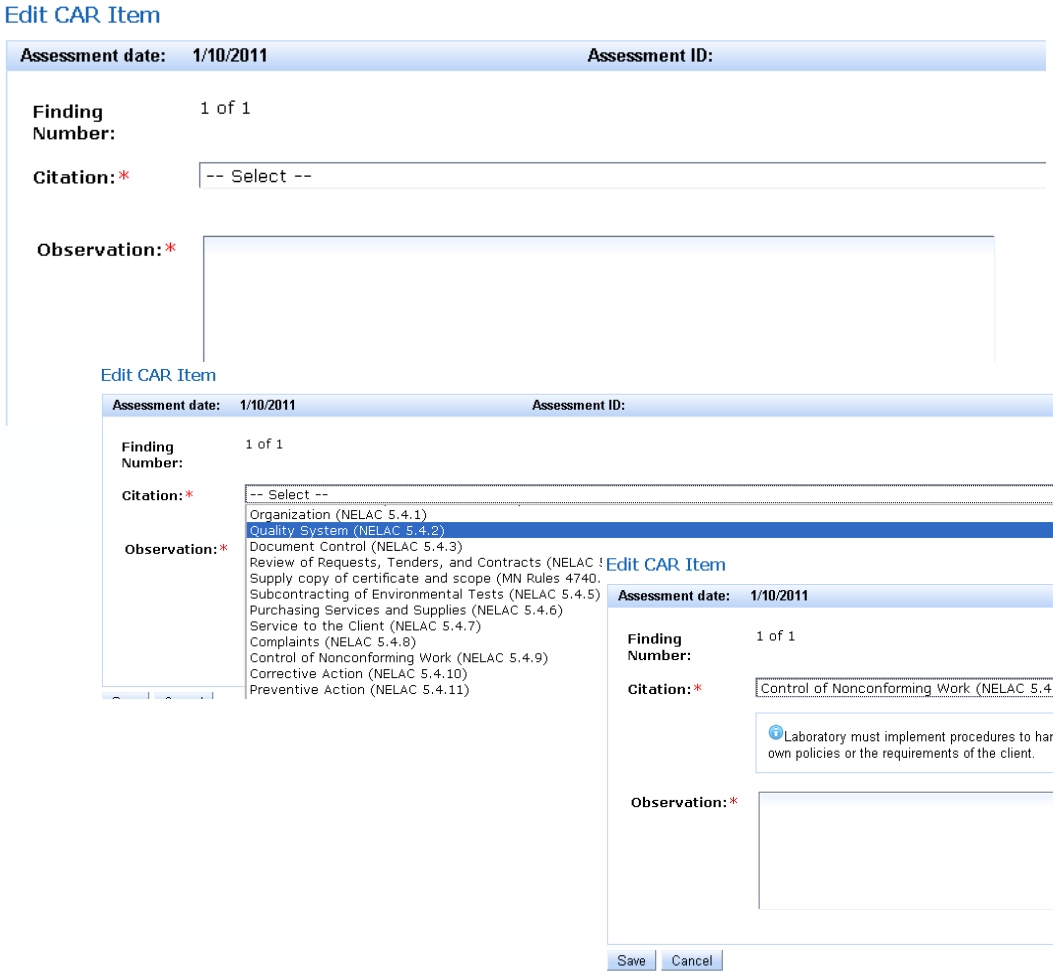
Add all | Add | Remove | Remove All

CAR Items (0)

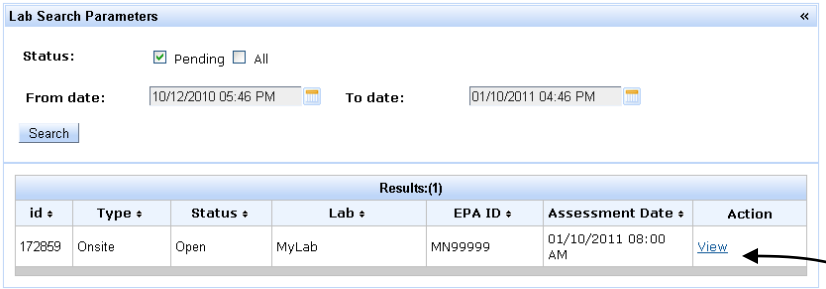
#	Citation	Action

Add CAR

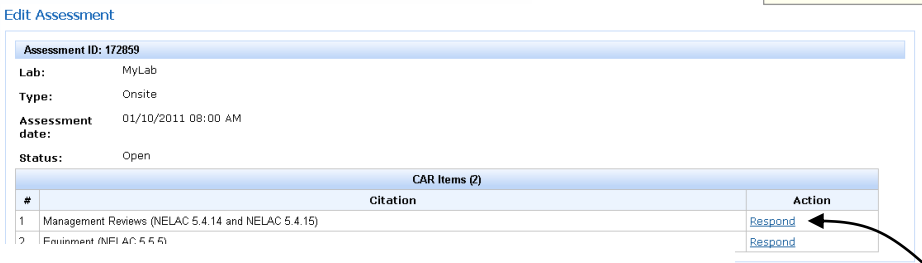
Record Findings

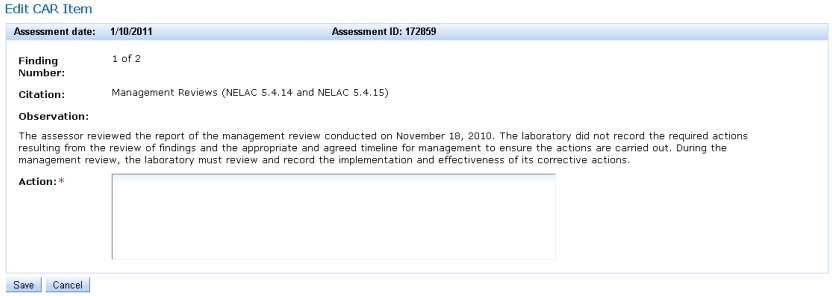


View and Respond to Assessments ONLINE



Select the View link at the end of the row to view the corresponding assessment report.





Select the Respond link at the end of the row to view observations for each of the citations in the report.

Enterprise Application: Managing Workflow for Assessments

Edit CAR Item

Assessment date: 1/10/2011 **Assessment ID:** 172859

Finding Number: 1 of 2

Citation: Management Reviews (NELAC 5.4.14 and NELAC 5.4.15)

Observation:

The assessor reviewed the report of the management review conducted on November 18, 2010. The laboratory did not record the required actions resulting from the review of findings and the appropriate and agreed timeline for management to ensure the actions are carried out. During the management review, the laboratory must review and record the implementation and effectiveness of its corrective actions.

Action: The laboratory has modified its management review procedure to ensure that all corrective actions are reviewed for effectiveness and meet the timelines of the standard. A revised procedure is uploaded in the ELDO system for review.

Status: NOT Acceptable

Observation:

The ELDO system does not have a record of your laboratory's revised procedure. Please log into the system and assure that you have uploaded the document correctly and submitted it for review.

Action: *

Save Cancel

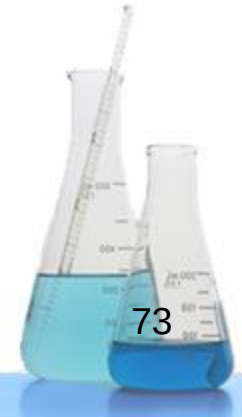
Document Control

Environmental Laboratory Data-Online (ELDO)

Susan Wyatt, MN-ELAP

Our History

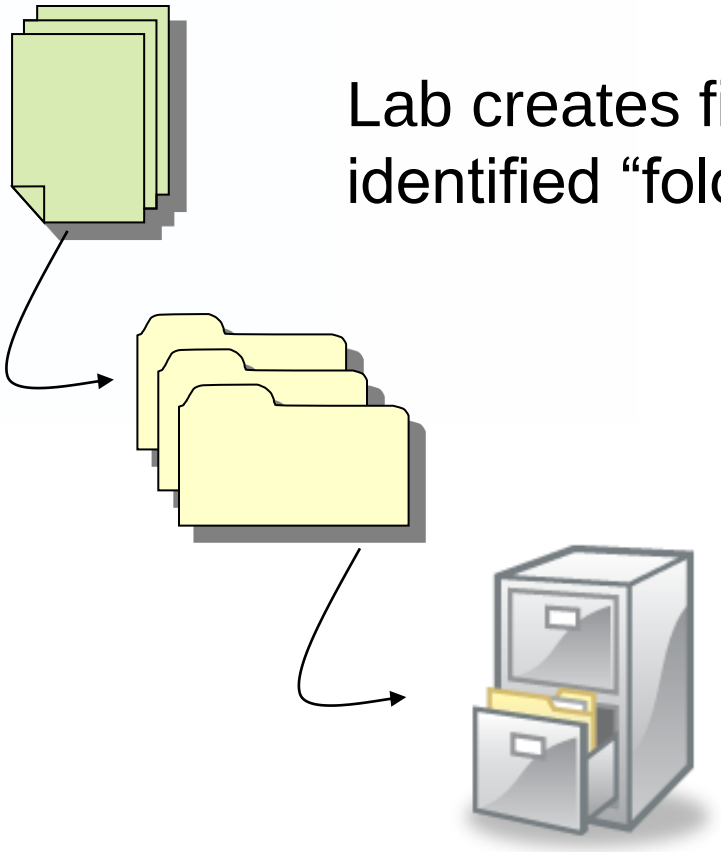
- In the beginning….there was **paper** (lots and lots of paper)
- Then **scanning** (lots and lots of scanning)
- Next **indexing**….(lots and lots of indexing)
- And we still had not begun to USE the documents….



Then…along came ELDO

- Upload or update documents online
- Maintains “Table of Contents” and list of effective dates per NELAP
- Ensures documents received by MNELAP prior to accreditation approval

Uploading, Accepting, and Viewing Documents



Lab creates files and sorts into pre-identified “folders” on ELDO

Folders are ‘sent’ to MNELAP and placed in file cabinet. Files are accessible to ELDO users

Document Information

QAM Documents

Upload Quality Assurance Manuals/ Single Document

Title: *

Revision: *

Reviewed by: *

Review date: *

Effective Date: *

File: *

Browse...

Rov	Rule Requirement	Page
1	Quality policy statement	
2	Organizational structure	
3	Records retention procedure	
4	Document control procedure	
5	Job descriptions	
6	Identification of approved signatories	
7	Traceability procedures	
8	List of test procedures	
9	Project management procedures	
10	Calibration procedures	

« Back | Next » | Save & Exit | Cancel

Accepting Documents into ELDO

Evaluate Documents Request for lab "New Prague Municipal Wastewater Treatment Facility"

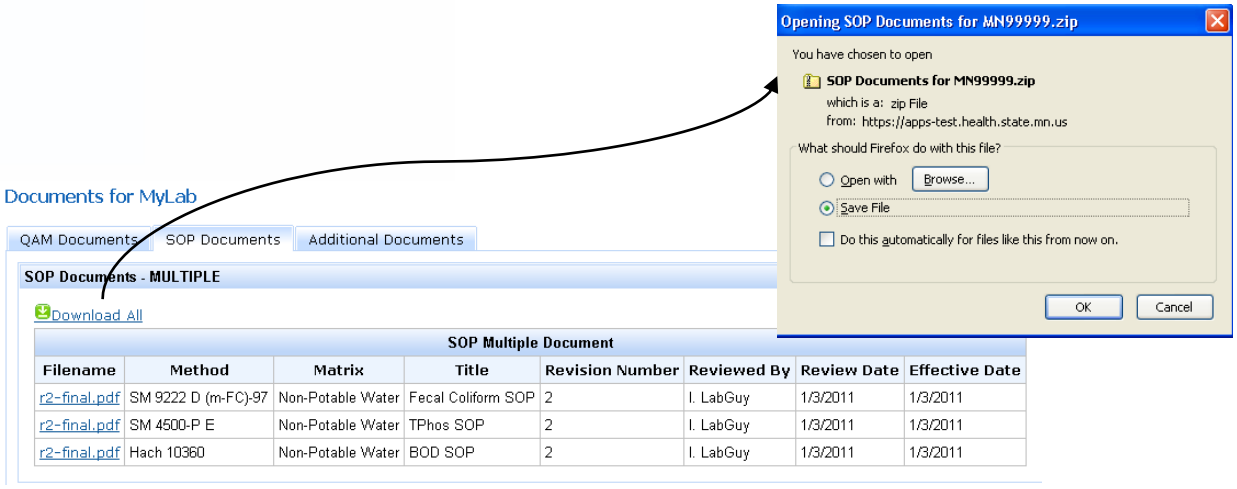
QAM Documents - SINGLE

Title:	New Prague WWTF Manual
Revision:	003
Reviewd by:	Ron B
Review date:	1/14/2011
Effective date:	1/14/2011
File:	MDH - SOPtitle page.pdf
Approve:	Waiting for Evaluation

Rule Requirement	Page
Quality policy statement	1
Organizational structure	2
Records retention procedure	3
Document control procedure	4
Job descriptions	5
Identification of approved signatories	5
Traceability procedures	6
List of test procedures	7
Project management procedures	5
Calibration procedures	7

Viewing, Downloading Documents

Allows convenient viewing and download of laboratory records to desktop for assessing or CDROM for sharing.

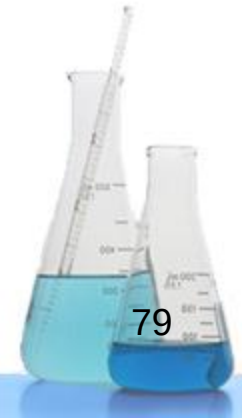


Filename	Method	Matrix	Title	Revision Number	Reviewed By	Review Date	Effective Date
r2-final.pdf	SM 9222 D (m-FC)-97	Non-Potable Water	Fecal Coliform SOP	2	I. LabGuy	1/3/2011	1/3/2011
r2-final.pdf	SM 4500-P E	Non-Potable Water	TPhos SOP	2	I. LabGuy	1/3/2011	1/3/2011
r2-final.pdf	Hach 10360	Non-Potable Water	BOD SOP	2	I. LabGuy	1/3/2011	1/3/2011

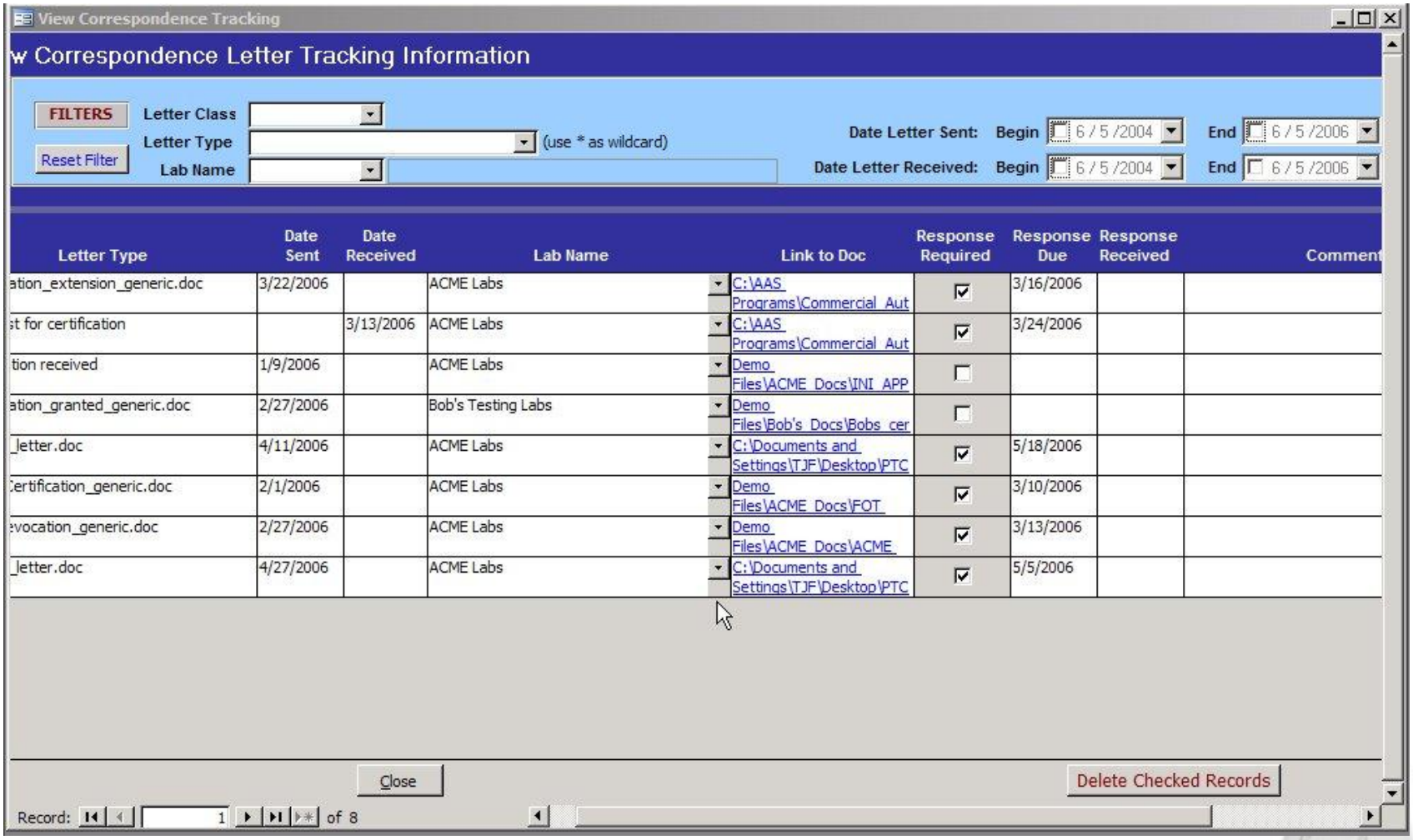
Document Control

Automated Audit Software (AAS)

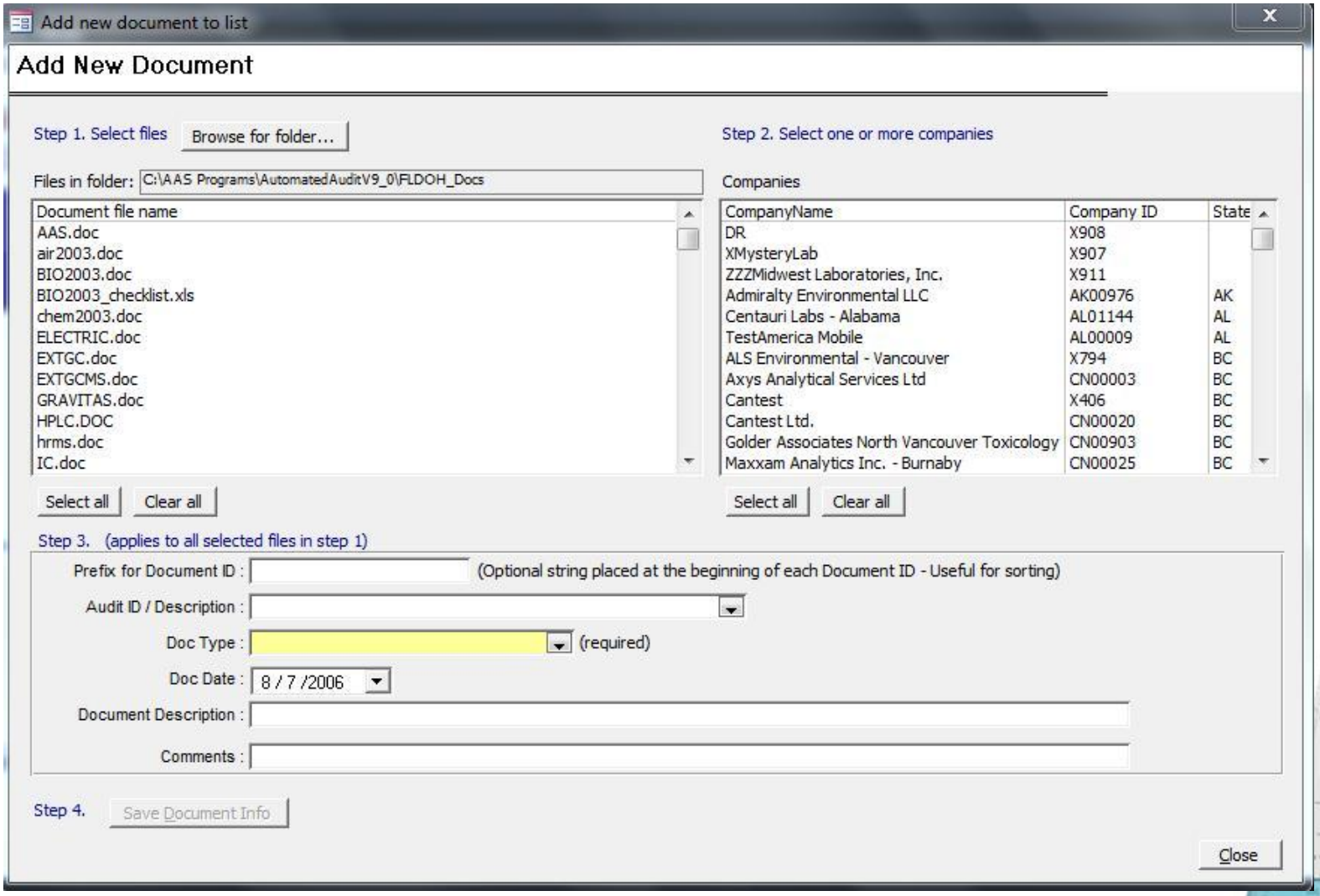
Tim Fitzpatrick, LDC



Communications Manager



Document Management



Suggestions?

(or Questions …)