

**A03 – Rating Guide Appendix**  
**Revision 5.14 – April 6, 2016**

**Laboratory Name:** \_\_\_\_\_

**Appendix Name:** \_\_\_\_\_

**Appendix Number:** \_\_\_\_\_

**Assessor:** \_\_\_\_\_

**Date:** \_\_\_\_\_



**CALA**  
Laboratory Accreditation

## **ASSESSOR NOTES:**



04		SAMPLING		
01	5.7	<p><u>Sample History</u>                      Sample history requirements are:                      1) appropriate;                      2) documented and available where required; and                      3) implemented; e.g.,</p> <ul style="list-style-type: none"> <li>• field filtration;</li> <li>• chemical preservation;</li> <li>• sample containers;</li> <li>• storage conditions;</li> <li>• holding time.</li> </ul>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <hr/> <hr/> <hr/> <hr/> <hr/> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <hr/> <hr/> <hr/> <hr/> <hr/> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
02	5.7	<p><u>Sampling and Sub-sampling</u>                      Sampling plans for samples are based on appropriate statistical methods and the sampling process addresses the factors to be controlled to ensure the validity of the results; i.e.,</p> <ul style="list-style-type: none"> <li>• Sampling/sub-sampling methods are available and followed;</li> <li>• Sampling plans are statistically based;</li> <li>• Appropriate drying temperature is used (for solid matrices);</li> <li>• Dust loss and cross-contamination are minimized (for solid matrices);</li> </ul>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <hr/> <hr/> <hr/> <hr/> <hr/> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <hr/> <hr/> <hr/> <hr/> <hr/> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

Item	Clause	Requirement	Document Review			Implementation		
			1	2	3	1	2	3
02	5.7	<p>Sampling and Sub-sampling (Cont'd)</p> <ul style="list-style-type: none"> <li>• Sample size reduction generates a representative portion for subsequent work;</li> <li>• Uncertainty of sample size reduction steps is known through the introduction of random duplicates;</li> <li>• Field sampling generates representative samples, and duplicates are routinely taken.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>05</b>		<b>CALIBRATION</b>						
01	5.6	<p>Method calibration is:</p> <ol style="list-style-type: none"> <li>1) appropriate;</li> <li>2) included or referenced in the test method; and</li> <li>3) implemented; e.g.,</li> </ol> <ul style="list-style-type: none"> <li>• reagent blank to establish calibration baseline;</li> <li>• equivalent std/sample reagent backgrounds;</li> <li>• adequate number of standards (1 standard less than 10x the detection limit, where applicable - see P07);</li> <li>• linearity established, if appropriate, and slope and/or RRF calculated;</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Item	Clause	Requirement	Document Review			Implementation		
			1	2	3	1	2	3
<b>07</b>		<b>TEST METHOD CONTENT</b>						
01	5.4.1	<p><u>Other Work Instructions/Procedures</u> All necessary supporting work instructions are documented and available where required; e.g.,</p> <ul style="list-style-type: none"> <li>• glassware cleaning procedures;</li> <li>• supporting test methods;</li> <li>• equipment instruction manuals;</li> <li>• requisite reference texts;</li> <li>• computer software related procedures.</li> </ul>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
02	5.4.1 5.4.5 5.4.7 5.10.3	<p>If any of the analytes in an appendix are calculated:</p> <ul style="list-style-type: none"> <li>• the calculation is valid and supported by a reference method;</li> <li>• detection limits and MU are appropriate;</li> <li>• all constituent analytes are accredited at this location; and,</li> <li>• calculations are reported appropriately.</li> </ul> <p>Reference: A131 - CALA Policy on the Accreditation of Calculated Analytes</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			

Item	Clause	Requirement	1 2 3
<b>08</b>		<b>CONDUCT OF TESTING</b>	
01	5.4.1 4.2.1	The test procedure and all supporting work instructions are performed as documented.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<b>09</b>		<b>EQUIPMENT</b>	
01	5.5.1 5.5.2 5.5.4 5.5.12	All instruments required for the test procedure are available, functioning properly, capable of achieving the required accuracy, compliant with specifications, checked and calibrated before use, uniquely identified, and safeguarded from adjustments that would invalidate results.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
02	5.5.1	All support equipment* required for the test procedure is available and functioning properly.  * includes computers.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
03	5.5.7 5.5.9	Out of service equipment is clearly isolated or clearly labeled or marked as being out of service, and that equipment is checked and validated before return to service.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
04	5.5.8	All equipment requiring calibration is labeled to indicate calibration status, including the date last calibrated and expiry criteria or date when recalibration is due.*  * not required for equipment checked daily or as-used.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>



Item	Clause	Requirement	1 2 3
<b>10</b>		<b>SUPPLIES</b>	
01	4.6.2 5.5.1	<p><u>Availability</u> All supplies required for the test procedure are available and meet requisite requirements and/or specifications.*</p> <p>* includes reagents and reference materials</p> <p>Note: Reference materials must be from accredited RMPs, where available.</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
02	5.3	<p><u>Storage</u> All supplies are stored under appropriate conditions (e.g., 1-4 degrees C) and in a manner that satisfies requirements for safety, security, separation of incompatible materials, and ease of retrieval.</p> <p>NOTE: For records of storage temperatures, cite B.02.03 in A02.</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
03	4.13.2	<p><u>Labeling</u> All reagents are labeled with material, concentration or purity, date prepared and/or expiry date.</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
04	5.5.1	<p><u>Labware</u> All labware is adequately cleaned and, where required, labware quality control incorporates analytical testing.</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

Item	Clause	Requirement	1	2	3
<b>11</b>		<b>RECORD KEEPING</b>			
01		Records related to the performance of the test method are maintained; e.g.,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4.13.2	• analyst worksheet or notebook (1);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4.9				
	4.13.2	• record of non-conformances and actions taken (2);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5.5.5				
	5.6	• reagent preparation log (3);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		• equipment maintenance log (4);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		• records of gravimetric traceability (5);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		• records of volumetric traceability (6);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		• records of temperature traceability (7).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- (1) includes, as appropriate, calibration data, test data (including QC data), experimental variables (e.g., temperature, etc.); analyst ID; sample ID; equipment ID; test method ID; date and time of test.
- (2) includes, as appropriate, non-conformances related to: test method variances; sample history; method performance; interferences; and data validation.
- (3) includes, as appropriate, supplier, grade, batch no.; dates of preparation or verification; measurement of weights, volumes, time intervals, temperatures and related calculations; relevant processes (e.g., pH adjustment, sterilization); verification results; discard date.
- (4) includes, as appropriate, identity of the item of equipment and its software; manufacturer, model, serial no.; checks that equipment complies with lab specifications; date commissioned; repair and maintenance history; calibration history; any damage, malfunction or modification to the equipment; location.
- (5) includes, as appropriate, traceability of balance and/or weights to a national standard, and daily or as-used checks (see A61-CALA Traceability Policy).
- (6) includes, as appropriate, traceability of auto pipettes, dilutors, etc., that play a defining role in analytical accuracy, and daily or as-used checks (see A61-CALA Traceability Policy).
- (7) includes, as appropriate, traceability of working thermometers to a national standard for those thermometers that measure temperatures that play a defining role in analytical uncertainties (see A61-CALA Traceability Policy).