

Please submit the following documents and records to the Pre-Assessment page for review. The remote assessment will not be scheduled until all the documents and records are submitted.

**NOTE** – The policies and procedures may be submitted as the entirety of the quality manual, or as individual documents.

1. Name and professional engineering license of the individual in charge of the technical operations of the laboratory.
2. The policy or procedure for ensuring the protection of clients' confidential information and proprietary rights (Sections 5.9 and 8.2.17).
3. Records for equipment that show the 1) date received, 2) condition when received, 3) the current location of the equipment, and 4) the history of any damage / malfunction / repair (Section 7.4). Although it may be convenient to include Nos. 1, 2, and 3 as columns on your equipment inventory, No. 4 should be documented in separate records (such as in an equipment log) so that the history for pieces of equipment that have required multiple repairs can be preserved.
4. Documentation for a quality policy statement and objectives as follows:
  - a. Documented quality policy statement and objectives for the laboratory's commitment to good practice and quality of inspection or testing services (Sections 8.1.1 and 8.2.1). The policy and objectives shall indicate within themselves that they have been developed and initiated by top management (e.g., signatures of top management).
  - b. Evidence that these quality policies and objectives have been communicated to and implemented by all concerned personnel (Section 8.1.2).
5. The procedure for the control and maintenance of documentation (document control procedure) (Section 8.2.4).
6. A document that includes identification of the agency's approved signatories (persons authorized to sign legal documents such as contracts) (Section 8.2.6).
7. The agency's scope of inspection or testing services (listing within QMS documentation; may also be on the laboratory's website, in a brochure, etc.) (Section 8.2.8).
8. The policy or procedure for the review of all new services to ensure the laboratory has the appropriate facilities and resources to provide those services (contract review policy) (Section 8.2.9).
9. The policy or procedure for permitting departures from documented policies, procedures or standards (Section 8.2.15).
10. Evidence of investigations of client results if audit findings cast doubt on test results (Section 8.3.1).

11. The following documentation for computers or automated equipment used for processing test data:
  - a. Evidence that computer software is documented and adequate for use (Section 10.7.2).
  - b. Procedures for ensuring the integrity of data entry or capture, data storage, data transmission, and data processing (Section 10.7.3).
  - c. Procedures for security measures that have been established and implemented to prevent unauthorized access and editing of test data and other quality management system documentation (Section 10.7.5).
12. Procedure for the purchase, reception, and storage of consumable materials used for the technical operations (chemicals, solvents, single-used items) (Section 10.8).
13. Evidence that a documented system to identify, collect, index, access, file, store, maintain, and dispose of management and technical records suiting the needs of the agency and complying with applicable regulations has been established (Section 11.1).
14. Evidence that test records include sufficient information to permit satisfactory recapitulation of the inspection or test. (e.g., test records include all underlying data to substantiate any calculated or averaged results; identification of any equipment used) (Section 11.3).
15. Evidence that records are held secure and in confidence to the client, unless otherwise authorized by the client or required by law, regulation, or valid court order (Section 11.5).
16. A final test report for a test within each applicable scope (Aggregate, Asphalt Binder, Asphalt Mixture, Concrete, Emulsified Asphalt, Iron and Steel, Masonry, SFRM, and Soil) (Section 12).
17. A final test report showing information regarding sampling as necessary for interpretation of test results (if applicable) (Section 12.3).
18. Procedure for transmission of inspection or test reports by electronic means to ensure that the requirements of this standard are met and that confidentiality is preserved (Section 12.6).