EPA Region 3 Quality System

PRE-SUBMITTAL QUALITY ASSURANCE DOCUMENT REVIEW CHECKLIST

Document Title:

QA Document Type: Select type... **Completed by:** **Date:**

Preparer's Signature:

The purpose of this checklist is to ensure document completeness (not adequacy) prior to submittal to R3 for quality review and approval. These questions represent common omissions which render a document incomplete in meeting EPA QA requirements. Once all questions are checked, (if N/A, please explain in comments), submit QA document for review to R3 ASQAB Quality Staff.

Project Management	Yes	N/A	Comments (incl. page # or section)
1) Is there a title, organization name, date, revision number and page numbers?	☐	☐	
2) Are appropriate approval lines and signatures present? Minimum requirements include: *a*, Outside Organization Project Manager *b*. Outside Organization QA Officer *c*. EPA DPM d. EPA Delegated Approving Official (DAO)	☐	☐	
3) Is there a list of individuals who are to receive a copy of the QA document?	☐	☐	
4) Are roles/responsibilities of staff defined, incl. maintaining the QA document?	☐	☐	
5) Is an organizational chart present with all program/project individuals identified?	☐	☐	
6) Does the description state task(s), purpose(s), work schedule(s), and location?	☐	☐	
7) Does it discuss Data Quality Objectives- performance/measurement criteria (action levels) for information to be collected, including precision, accuracy/bias, representativeness, completeness, comparability, and sensitivity?	☐	☐	
8) Do quantitation limits meet standards (e.g., cleanup goals, permit limits)?	☐	☐	
9) Are training requirements, delivery method, & personnel responsible identified?	☐	☐	
10) Does the documentation & records section accurately represent the program/project needs?	☐	☐	
Data Generation/Acquisition	**Yes**	**N/A**	**Comments**
11) Are sampling design components, including the number of samples collected, locations (e.g., maps), and methods, described?	☐	☐	
12) Are valid hyperlinks or attachments present for referenced methods and SOPs?	☐	☐	
13) For laboratory samples, are sample methods, containers, volumes, collection type (e.g., composited, split), and preservatives listed?	☐	☐	
14) For laboratory samples, is language included regarding lab accreditation?	☐	☐	
15) Is chain of custody included or referenced and does it describe sample handling?	☐	☐	
16) Are procedures identified to follow when failures occur, identifying individual responsible for corrective action and documentation?	☐	☐	
17) Are the laboratory and field quality control activities clearly identified?	☐	☐	
18) Is equipment cleaning, calibration, testing, inspection & maintenance included?	☐	☐	
19) Are critical supplies and consumables identified?	☐	☐	
20) If using existing data (i.e., secondary data, non-direct measurements), does it include data sources and acceptance criteria?	☐	☐	
21) Is the data management scheme described from field to final use?	☐	☐	
Assessment & Oversight	**Yes**	**N/A**	**Comments**
22) Does it describe assessment activities and response action procedures (to include audits, corrective actions, reporting to management)?	☐	☐	
Data Validation and Usability	**Yes**	**N/A**	**Comments**
23) Does it describe criteria for accepting, rejecting, or qualifying data?	☐	☐	
24) Does it describe data verification (verifying performance of laboratory equipment (e.g., matrix spikes), methods (e.g., field blanks, duplicates) and field devices (e.g., matching of preservation times to medium and contaminant sampled)), and data validation (if necessary, e.g. independent third party)?	☐	☐	

To submit QA document for review, email the R3 ASQAB Quality staff at R3_QA@epa.gov with:

1. QA document (and if applicable, other supporting documentation)
2. QA Document Review Request Form
3. This pre-submittal Quality Assurance Document Review Checklist

QA Documents - must be approved prior to any data collection work or use, except under circumstances requiring immediate action to protect human health and the environment or operations conducted under police powers.

Quality Assurance Programmatic Plan (QAPrPs) - QAPrPs define and document type and quality of data and methods required for collecting, analyzing, and assessing data to support decisions across recurring or like activities within a single program. QAPrPs shall describe the QA elements that remain constant among the different projects, activities, or sites. Most QAPrPs shall be supported by project-specific, activity-specific, or site-specific documentation (e.g., FSPs, Work Plans, inspection checklists, or equivalent). These documents shall address specific QA elements articulated in EPA's QA/R-5 (QAPP requirements) and QA/G-5 (QAPP guidance) documents and are unique to each project, activity, or site. QAPrPs and supporting documents undergo technical reviews for accuracy, completeness, and compliance with programmatic guidance.

Quality Assurance Project Plan (QAPP) - describe in detail the necessary QA, QC, & other technical activities for projects. R3 policy requires results of the systematic planning process be documented in a QAPP or equivalent QA document approved by authorized personnel (e.g. DAO) prior to implementation. The level of detail found in the QAPP shall be commensurate with the nature of the work being performed and intended use of the data (i.e., graded approach). If a particular QAPP element does not apply to the project, the element must be included and an explanation describing why it does not apply. QAPP requirements apply to all environmental data operations, including existing data, conducted by Regional staff or through grants, cooperative agreements, contracts, IAs, and compliance orders.

Field sampling plan (FSP) – project, site or activity specific companion quality document, supported by a quality assurance project plan which describes project objectives, sampling locations and rationales for their selection, sampling methods, analytical methods, preservation, chain-of-custody and shipping requirements. A FSP will contain quality control acceptance criteria for field samples but may or may not contain this information for laboratory analyses. (Note: for FSPs, some items will be missing from this checklist since should be detailed in the programmatic QAPP (i.e., QAPrP, generic QAPP).

Sampling and analysis plan (SAP)* - as outlined in the National Contingency Plan, detail procedures for conducting field activities and have two components, 1. a QAPP or QAPrP and 2. a FSP. *Applicable to CERCLA only

R3 Quality Resources
Internal: https://intranet.epa.gov/r3intran/qa/
External: https://www.epa.gov/quality/managing-quality-environmental-data-epa-region-3