

**EPA REGION 3
QUALITY SYSTEM AUDIT CHECKLIST**

Person Interviewed:		Date:	
Job Title:		Yrs Experience (Current Position):	
Interviewer(s):			

COMMENTS

Duties and Responsibilities

<ol style="list-style-type: none"> 1. What decisions are supported by the data being generated by your Section? 2. What are your roles and responsibilities relative to the collection and/or use of that data? 3. Does your program use data generated by a third party (i.e., contractors, IAG, grant)? How is this data being used? (If yes, go to #4. If no, go to #5) 4. Are you involved in the award of contracts, extramural agreements and IAGs, which involve environmental data? If yes, describe your duties relative to the award of contracts, extramural agreements and IAGs, which involve environmental data. How long have you been doing this? 5. What technical support do you routinely use or give to assist in making project and/or program decisions? 	
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QMP

<ol style="list-style-type: none"> 1. What role did/do you play in the development, review and/or revision of the Office/Division QMP? 2. How do managers ensure that QA roles and responsibilities designated in this document are performed? 3. To your knowledge are Standard Operating Procedures being used for any activities in your jurisdiction? 4. If yes, how do you ensure that the most recent version of the SOP is being used? 5. If yes, who is responsible for maintaining these documents? 	
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Quality System Assessments

<ol style="list-style-type: none"> 1. Please describe the quality system assessments and/or audits that you or a member of your section has been subjected to in the last two years? 	
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<ol style="list-style-type: none"> 2. Who performed these assessments and/or audits? 3. Who is responsible for ensuring that the quality system being implemented by others (i.e., PRPs, states, contractors, other government Agencies (IAG's)) who provide data for your projects is adequate? If this is your responsibility, how do you do this? 4. Who is responsible for ensuring that corrective actions from quality system audit/assessment reports are implemented? How are these actions being documented? 	
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Extramural Agreements

Contracts

<ol style="list-style-type: none"> 1. How do you ensure that requests for proposals, work assignments, task orders or acquisitions that involve environmental data collection and/ or use contain acceptable QA requirements? If you are not responsible for this task, who is? 2. What are the typical QA requirements that are included in RFPs, work assignments, task orders, etc? 3. For contracts, do you use a QA Review Form? If yes, when is it used? If no, how are QA requirements being communicated to the Contracting Officer? 4. When applicable, who is responsible for ensuring that QMPs are reviewed and approved before the collection and/or use of environmental data? How are the results of QMP reviews and approvals distributed to you? <i>(Reviewers - Does the file have evidence that there was an approved QMP for this grant? If no, ask where this information can be found.)</i> 5. When applicable, who is responsible for the review of QAPPs for projects that involve environmental data collection or use? If you are not responsible, how are the results of QAPP reviews being given to you? <i>(Reviewers - Does the file have evidence that there was a QAPP review before approval? If no, ask where this information can be found.)</i> 6. Who is responsible for the approval of contractor QAPPs? How is this information transmitted to the contractor? <i>(Reviewers - Does the file have evidence that there was an approved QAAP before data collection and/or use? If no, ask where this information can be found.)</i> 7. Who is responsible for ensuring that contractors implement the QA/QC activities found in the 	
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<p>approved QAPP? How is this being done? <i>(Reviewers - Does the file have evidence of audits, assessments, etc.? If no, ask where this information can be found.)</i></p> <p>8. How is the data being evaluated to ensure that the contractor met the requirements specified in the QAPP? Who is responsible for this task? <i>(Reviewers - Does the file have evidence of data validation reports, data assessments, etc.? If no, ask where this information can be found.)</i></p>	
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Grants/IAG

<p>9. How do you ensure that grants and IAGs that involve the collection and/or use of environmental data contain acceptable QA requirements? If you are not responsible for this task, who is?</p> <p>10. What are the typical QA requirements found in extramural agreements and IAGs?</p> <p>11. Would you provide examples of how this requirement is being communicated to grantees, IAG participants and OPM? <i>(Reviewers - Does the grant contain information about QA requirements? If no, ask where this information can be found.)</i></p> <p>12. When applicable, who is responsible for ensuring that QMPs are reviewed and approved before the collection and/or use of environmental data? How are the results of QMP reviews and approvals distributed to you? <i>(Reviewers - Does the grant file have evidence that there was an approved QMP for this grant? If no, ask where this information can be found.)</i></p> <p>13. When applicable, who is responsible for the review of QAPPs for projects that involve environmental data collection or use? If you are not responsible, how are the results of QAPP reviews being distributed to you? <i>(Reviewers - Does the grant file have evidence that there was a QAPP review? If no, ask where this information can be found.)</i></p> <p>14. Who is responsible for the approval of QAPPs for grantees? How is this information transmitted to the grantee or government agency? <i>(Reviewers - Does the grant file have evidence there was an approved QAPP before data collection or use? If no, ask where this information can be found.)</i></p> <p>15. Who is responsible for ensuring that grantees or government agencies implement the QA/QC activities found in the approved QAPP? Who is responsible for this task? <i>(Reviewers - Does the</i></p>	
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<p><i>grant file have evidence of audits, assessments, etc.? If no, ask where this information can be found.)</i></p> <p>16. How is the data evaluated to ensure it met the requirements specified in the QAPP? Who is responsible for this task? <i>(Reviewers - Does the grant file include data validation reports, data assessments, etc? If no, ask where this information can be found.)</i></p>	
Training	
<p>1. What QA-related courses have you taken? Did you find the information presented in the course(s) helpful?</p> <p>2. What QA-related courses would you like to take? Why?</p> <p>3. How is training being documented? Who maintains the records?</p>	
Systematic Planning <i>(Project Officers, Toxicologist, Hydrologists, Geologists)</i>	
<p>1. Are you involved in project planning (i.e., level of QA/QC required, sampling and analytical protocols, establishing project goals, etc.)? If no, go to next section. If yes, go to question #2.</p> <p>2. What process is being used to define intended data uses, level of quality required, sampling and analytical protocols, project goals and objectives, etc. before the initiation of a project which involves environmental data collection or use?</p> <p>3. Who is responsible for ensuring that a systematic planning process is being performed?</p> <p>4. Who is currently involved in the planning process?</p> <p>5. How is the process documented?</p> <p>6. Is this process being used for all of your projects? If not, why not?</p> <p>7. Would you provide a copy of documentation (i.e., notes, scoping meeting minutes, etc.) which shows systematic planning process for two sites that have had activity in the last 2 years?</p>	
Quality Assurance Project Plans <i>(Project Officers, Hydrologist, Toxicologists, Geologists)</i>	
<p>1. Are you involved in the review and/or approval of QAPPs? If yes, go to question #2. If no, go to next section. <i>(For toxicologists, hydrologists, geologists)</i></p> <p>2. Who is responsible for the review and approval of QAPPs before the initiation of environmental data activities?</p>	

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<ol style="list-style-type: none"> 3. Where are approved QAPPs being kept? <i>(Project Officer)</i> 4. Would you provide a copy of an approval letter or a signature page for a site-specific Sampling and Analysis Plan and/or QAPP for two sites that have had activity in the past 2 years? <i>(Project Officer)</i> 5. Who is responsible for ensuring that contractors, grantees and/or EPA personnel implement the QA/QC activities found in the approved QAPP? How is this being done? 6. Describe the technical assessments/audits (i.e., readiness reviews, surveillance, technical system audits, P/Ts, etc.) that are being conducted at your sites? <i>(Project Officer)</i> 7. When are these assessments being performed? What is your involvement in this process? 8. Would you be able to provide copies of TSA reports performed at two of your sites in the past 0-3 years? Also, briefly describe how the results of these assessments were used? 	
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Data Verification and Validation

<ol style="list-style-type: none"> 1. Do you use secondary data (i.e., databases, literature, models) to make environmental decisions? How do you evaluate this data before use to determine that it meets your project objectives? 2. Describe the procedures being used to ensure that the data is adequate for the intended use. Who is responsible for this task? 3. Would you provide examples of data verification and/or validation reports for two sites that have had activity in the past 0-2 years? 4. Is this process being followed by all parties (i.e., States, contractors, PRPs, etc.) who submit data for your use? If not, why not? 5. How are the results of these data validation reports being used? 6. How are qualifiers being interpreted in final reports? 7. What procedures are being used to evaluate data to ensure it meets project and/or program objectives? 8. Who is responsible for conducting this task? 9. Would you provide two examples of data quality assessment reports for two sites that have had activity in the past 0-2 years? 10. How are the results of these DQA reports being used? 	
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Quality Improvement

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<ol style="list-style-type: none">1. What recommendations would you make to improve your Division's quality system?2. Do you believe you are getting sufficient management support to perform your job effectively?3. Do you believe you have sufficient resources to perform your job effectively?	
Other Comments	

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INTERVIEWER EVALUATION			
Requirement (EPA ORDER 5360.1 A2)	YES	NO	N/A
1. Develop a QMP and implement this plan following Agency approval.			
2. Perform assessments of the effectiveness of the quality system at least annually and implement corrective actions based on assessment results in a timely manner.			
3. Submit information for Region 3 QA Status Report.			
4. Implement Agency-wide Quality System requirements in all applicable EPA-funded extramural agreements.			
5. Provide appropriate QA/QC training for all levels of management and staff.			
6. Use a systematic planning approach to develop acceptance or performance criteria for all work covered by the Division/Program Quality System.			
7. Have approved QA Project Plans, or equivalent documents for all applicable projects and tasks involving environmental data.			
8. Assess existing data, when used to support Agency decisions or other secondary purposes, to verify that they are of sufficient quantity and adequate quality for their intended use.			

Requirement #	For each item that has NO response, briefly describe the documented and/or verbal evidence that this has not occurred. Describe impact on quality of data being generated by or for this Division/Program. Include recommendations to alleviate the problem.