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**OFFICE OF AIR QUALITY PLANNING AND STANDARDS**

**Technical Note –PSD Monitoring**  
**Quality Assurance Issues**

**Background:** In May 1987, the EPA finalized a guidance document titled “*Ambient Monitoring Guidelines for Prevention of Significant Deterioration (PSD)*,” EPA-450/4-87-007. Over the past 25 years significant advancements and changes have been made in the regulatory requirements for ambient air monitoring, not only for PSD but also for State and Local Air Monitoring Stations (SLAMS). Therefore, the 1987 PSD guidance document is outdated. One major change, which occurred on October 19, 2006, was a to combine appendix B with appendix A in 40 CFR part 58 for the purpose of providing consistent quality assurance (QA) across the various air monitoring programs. Appendix A was re-titled “*Quality Assurance Requirements for SLAMS, SPMs and PSD Air Monitoring*.” Unfortunately, the combining of QA requirements for organizations running PSD monitoring operations (PSD sources) and requirements for State, Local and Tribal (S/L/T) monitoring organizations has raised a number of applicability questions and interpretation requests that have prompted the EPA to provide further guidance in this regard.

This technical note provides guidance in the form of questions and answers (Q&As) related to quality assurance activities for PSD sources. This document applies to non-governmental industrial sources subject to the PSD air monitoring requirements of 40 CFR part 51. This document should be used as a resource for affected PSD sources, their contractors, and State, Local, Tribal (S/L/T) and Federal agencies responsible for ensuring that the 40 CFR part 51 requirements are met. It is our intention to provide future updates to this technical note on an as needed basis.

**Section 1 – General Information**

**Q1. What is the QA role of the EPA for PSD sources running an air monitoring network? What is the QA role of the Permitting Authority?**

The EPA is responsible for establishing the PSD QA requirements that PSD sources must follow. The permitting authority is responsible for ensuring that the applicable QA requirements are being met by the PSD source. The EPA provides assistance in interpreting these requirements through guideline documents, technical notes, meetings and other private and public forums. In some cases, the EPA is the permitting authority and would in such situations work directly with the PSD source to assure compliance.

**Q2. Are State PSD programs required to enforce all requirements of appendix A? If not, what circumstances would allow a State to not enforce these requirements?**

The EPA expects that State agencies that have been delegated or have SIP approved PSD permitting authority are implementing and enforcing the requirements of Appendix A. The EPA can envision situations where a PSD source might not be able to meet a specific requirement of appendix A for logistical or other unavoidable reasons. In these cases, the EPA would expect the permitting authority to identify and document non-conformance to the requirements and to instruct the PSD source to document a QA program (see 2.1 below) that meets the intent of the requirement, which would then be approved by the permitting authority.

**Q3. Formerly, the EPA relied on the document titled “Ambient Monitoring Guidelines for Prevention of Significant Deterioration (PSD),” EPA-450/4-87-007, May 1987. Is the document still applicable?**

Yes; the 1987 PSD guideline document is still applicable. However, several changes in the monitoring and QA regulations that have occurred since 1987 would take precedence over the 1987 guideline document. Similarly, the guidance provided in this Q&A document as well takes precedence over the 1987 guideline document.

## **Section 2.1 - Quality Management Plans and Quality Assurance Project Plans**

**Q4. What quality documents are required for PSD sources?**

A Quality Assurance Project Plan (QAPP) is required for all PSD environmental data operations. Though a Quality Management Plan (QMP) is not a required document for PSD operations, the QAPP should include discussion of relevant QMP elements. As an example, the QAPP should discuss how the source achieves organizational independence of its quality assurance functions as required by Section 2.2 of part 58 appendix A. The EPA recommends that PSD sources follow the graded approach in developing their QAPPs. Discussion on the graded approach can be found in appendix C of the “*Quality Assurance Handbook for Air Pollution Measurement Systems Volume II – Ambient Air Monitoring Program*” EPA-454/B-08-003, December 2008. This document can be found at <<http://epa.gov/ttn/amtic/files/ambient/pm25/qa/QA-Handbook-Vol-II.pdf>>.

**Q5. Who approves PSD quality system documentation?**

Quality system documents such as a QAPP and the associated standard operating procedures (SOPs) are to be approved by both the PSD source and the PSD permitting authority.

**Q6. Does the EPA have any authority in the approval process for non-federal PSD quality system documents?**

The EPA does not have responsibility to review or approve non-federal PSD quality system documents. The permitting authority is responsible for final approval of these documents which should occur prior to commencement of sampling. However, as the data from PSD monitoring operations can be used in litigation, the EPA expects the permitting authority to thoroughly review quality system documentation for compliance to all applicable quality assurance requirements.

## **Section 2.2 - Independence of Quality Assurance**

**Q7. How is organizational independence achieved for PSD monitoring programs?**

It is expected that the PSD monitoring program will have a quality assurance program that maintains an adequate level of independence from the monitoring program in order to provide a reasonable independent review of quality procedures. This quality program may be established internally or externally (by an outside contractor), but in all cases it is the responsibility of the PSD source owner/operator to ensure that the monitoring operations include an independent QA/QC component. Note that if an outside contractor is used to perform QA audits this may be perceived as a conflict of independence due to the contractual obligations between the PSD source and the contractor. In such situations it is imperative that the permitting authority take an active role in overseeing and verifying that the audits are performed correctly and as independently as possible.

**Q8. Who is responsible for ensuring organizational adequacy and independence?**

Organizational adequacy and independence should be verified by the permitting authority during the quality system documentation review/approval process and documented in the QAPP. Detailed discussion on these topics from a QA assessment perspective can be found in the EPA document titled “*Guidance on Assessing Quality Systems*” EPA/240/R-3/002, March 2003, which can be found at <<http://www.epa.gov/quality/qs-docs/g3->

[final.pdf](#)>. Note that the EPA defers to ANSI/ASQC E4 for determining the necessary independence criteria for QA assessors. These criteria are listed in section 2.6.3 of this March 2003 guidance document.

Detailed information on the adequacy and independence criteria that the EPA follows when determining whether an S/L/T can be approved for implementing the National Performance Evaluation Program (NPEP) can be found in the latest annual Implementation Decision Memo from OAQPS which can be found at:

<[http://epa.gov/ttn/amtic/files/ambient/pm25/qa/fy2012npap\\_pep\\_memo.pdf](http://epa.gov/ttn/amtic/files/ambient/pm25/qa/fy2012npap_pep_memo.pdf)>.

**Q9. If the PSD source cannot satisfy the independence criteria can the permitting authority serve this independence function?**

Yes. The EPA believes that the permitting authority could serve the role of an independent oversight authority to PSD sources. The permitting authority inherently performs many independent oversight tasks in its current role. These tasks include reviewing and approving monitoring equipment and siting locations, approving quality system documentation, analyzing raw data and reviewing data quality control reports. Additional tasks that should be added if the permitting authority has accepted QA oversight authority include the performance of site visits, data trail audits, performance evaluations and contract lab audits.

**Section 2.3 - Data Quality Performance Requirements**

**Q10. Are the data quality objective (DQO) requirements of appendix A applicable to PSD sources? If so do PSD sources have the option to either adopt the SLAMS DQOs or develop their own DQOs?**

Yes; the DQO requirements are applicable to PSD sources. Section 2.3.1 states that the “DQO or the results of other systematic planning processes for PSD or other monitoring will be the responsibility of the monitoring organizations.” In this respect, it is the EPA’s intent that PSD monitoring organizations have the flexibility to develop and implement their own DQOs or to adopt the EPA-developed SLAMS DQOs. Note that any project-specific DQOs developed by a PSD source must be appropriate for the monitoring objective and must be approved by the permitting authority.

**Section 2.4 - National Performance Evaluation Programs**

**Q11. Are all PSD sources required to participate in the EPA NPEP or an NPEP- equivalent program?**

Yes; all PSD sources required to conduct pre-construction and/or post-construction monitoring must implement independent performance audits to assess their air monitoring operations. If the PSD source chooses to implement an NPEP-like audit program, the permitting authority should ensure that this independent audit program is of similar rigor to the EPA NPEP. The EPA NPEP website provides key adequacy and independence requirements for these programs and is found at

<[http://epa.gov/ttn/amtic/files/ambient/pm25/qa/fy2012npap\\_pep\\_memo.pdf](http://epa.gov/ttn/amtic/files/ambient/pm25/qa/fy2012npap_pep_memo.pdf)>.

**Q12. How often do PSD sources have to conduct NPEP audits?**

This is dependent on the number of stations operated in a PSD network. Since PSD sources usually operate only a few stations, this requirement would most often follow the minimum requirement for each type of NPEP audit (e.g., only five audits per year are required for PM<sub>2.5</sub> networks with fewer than five stations). Nonetheless PSD sources should consult with the permitting authority to verify the appropriate number of audits and schedule. For pre-construction monitoring, the number and frequency of audits should be agreed upon during the QAPP development process prior to commencement of monitoring operations.

**Q13. How does NPEP differ for PSD sources (as compared to the S/L/T program)?**

The process for performing NPEP at PSD and S/L/T sites should be similar. How the NPEP is funded is different. The S/L/T NPEP program is implemented using State and Tribal Assistance Grant (STAG) funds which pay for NPEP contractors and for the purchase and maintenance of audit equipment. Since the EPA cannot accept outside resources, federal regulations do not allow PSD sources to transfer funds to the EPA to implement these audits on the sources' behalf. Accordingly, the majority of STAG funded NPEP audits are conducted on SLAMS and Tribal stations. However, S/L/T agencies may, at their discretion, request that the EPA withhold a portion of their STAG funds from their grant allocation and request that EPA conduct NPEP audits at PSD air monitoring stations within their jurisdiction. Note that the EPA does not actively solicit the use of EPA NPEP for PSD sources and would only perform this STAG fund transfer in situations where the S/L/T agency requests that this be done.

**Q14. Who can perform NPEP audits for PSD sources?**

The EPA or S/L/T staff, as well as independent contractors who have up-to-date certification by the EPA, can perform NPEP audits of PSD monitoring programs and sites. As implied in the answer to the previous question, U.S. government funds must cover all auditing costs whenever EPA staff or EPA contractors conduct audits. Similarly, federal acquisition requirements limit the use of government-furnished equipment by independent contractors; NPEP equipment can only be used if the rental requirements of the Federal Acquisition Regulation (FAR) section 52.245-9 are followed. However, the PSD source always has the option to directly hire a certified contractor and have them use non-government issued audit equipment to perform the required NPEP audits.

**Q15. What are the training/certification requirements for PSD auditors? How do we know who is certified to perform NPEP audits?**

First time auditors who have not been certified by EPA need to complete the first-time full-length training course including webinars/teleconferences, hands-on training and testing. For NPAP, in addition to the initial and recertification training sessions, the first time auditor must also participate actively and successfully in at least 3 documented field audit trips (not just single site audit trips, but multiple site trips) following initial training. The trips must be with an experienced, EPA certified auditor, who can adequately supervise the completion of the audit procedures and related tasks by the first time auditor. Recertification training is required at two-year intervals and does not require field audits by an EPA certified auditor.

The EPA Regions will provide or arrange for initial and recertification auditor training and will confer with OAQPS on selecting and appropriate training contractor if that is the preferred instructional approach. The EPA Regions will provide the OAQPS NPEP (PEP and NPAP) leads with the documented results (see below) of the classroom and hands-on training performance checklists and written tests.

Each year, the EPA will place on a QA website an updated list of all persons and affiliation certified to perform NPEP and NPAP audits. It is located at <https://airqa.rti.org/TrainingRecords/tabid/78/Default.aspx>. Registration is necessary.

**Q16. What happens if the NPEP audit “fails”?**

Audit failure contingency plans should be included in the PSD source's QAPP as approved by the permitting authority (e.g., planning additional audits). The EPA recommends that, when an audit result falls outside the acceptance criteria identified in a QAPP, the result of the audit should be verified and the reason for the difference be identified by the auditor and the operator of the station. The results of the audit and any corrective action should be well documented.

**Q17. What happens if one or both of the concentrations measured during a PM<sub>2.5</sub> performance evaluation are below 3.0 µg/m<sup>3</sup>, therefore resulting in an invalid audit? Are PSD sources required to resample?**

The PSD source and the permitting authority should discuss the audit process prior to the planned PM<sub>2.5</sub> performance audits and develop a plan that addresses the number of audits, the planned audit schedule, and the contingency measures to be taken in the event that concentrations below 3.0 µg/m<sup>3</sup> are recorded during an audit. As mentioned above and in Section 2.3 of appendix A, the PSD source has the ability, with the approval of the permitting authority, to redefine this DQO acceptance level if it is believed to be inappropriate. If additional audits are needed, such audits should be performed as soon as practicable.

## **Section 2.5 - Technical Systems Audit Program**

### **Q18. Are technical systems audits (TSAs) required for PSD operations? If so, who is responsible for performing the TSA?**

The permitting authority is ultimately responsible for assuring that PSD air monitoring operations meet the requirements of the approved QAPP. It is the permitting authority's responsibility to determine the type and frequency of audit necessary to ensure conformance with the approved QAPP. For information on performing TSAs please refer to the "*EPA Quality Assurance Handbook for Air Pollution Measurement Systems Volume II – Ambient Air Monitoring Program*", EPA-454/B-08-003, December 2008 (<<http://epa.gov/ttn/amtic/files/ambient/pm25/qa/QA-Handbook-Vol-II.pdf>>).

### **Q19. What is the scope of PSD TSAs? Is there a required process for conducting a TSA? Do auditors need to use the 'long form' questionnaire provided in the QA Handbook?**

The PSD TSA is a detailed assessment of a PSD air monitoring program that looks at all facets of the program to verify that it is being operated according to the requirements of the QAPP. The EPA does provide an example process for performing a TSA within the QA Handbook, which the permitting authority can use as a guide, including a detailed questionnaire (aka the 'long-form'). Both the process and questionnaire are provided as examples; they are not required to be used for PSD TSAs.

### **Q20. Are the PSD sources required to participate in the Ambient Air - Protocol Gas Verification Program (AA-PGVP)?**

The AA-PGVP is a voluntary program. PSD sources or their contractor can participate in this program if they desire, however, PSD sources should only be using protocol gases from gas producers who are taking part in the AA-PGVP. For further information on the AA-PGVP, please visit < <http://epa.gov/ttn/amtic/aapgvp.html>> or contact Mike Papp at 919-541-2408.

## **Section 3.1 - Primary Quality Assurance Organization**

### **Q21. Can a single PSD source form a primary quality assurance organization (PQAO)?**

By definition, a single PSD monitoring organization is considered a single PQAO for fulfilling the quality assurance and quality control (QA/QC) requirements specified in appendix A.

### **Q22. Can multiple PSD sources form a PQAO?**

Yes; multiple PSD sources are allowed to form a single PQAO. Forming a single PQAO could help reduce the collective workload for the PSD sources and for the permitting authority. For example, if this aggregate PQAO used a common QAPP and a common set of SOPs this would reduce the number of documents needing development and approval. Please note that the permitting authority has the obligation to approve PQAO consolidation requests and to ensure that the common factors specified in Section 3.1.1 of appendix A have been met.

## **Section 3.2 - Measurement Quality Checks of Automated Methods**

**Q23. Do the ten gas audit levels apply to PSD sources (given they are not yet codified)?**

Though appendix A to Part 58 has not been revised to show the change from five to ten audit levels, it is the EPA's preference that PSD sources utilize the 10 audits levels for auditing their gas instruments (see 11/10/10 memo from OAQPS, located at

<http://www.epa.gov/ttn/amtic/files/ambient/pm25/datamang/TechMemoforPEAuditLevels.pdf>).

This expansion was requested by a number of S/L/T monitoring organizations given the expanded use of trace level instrumentation at NCore and other study sites. In conjunction with the expansion the EPA is no longer requesting the use of 3 consecutive levels when these accuracy audits are conducted, but when choosing these 3 audit levels, the EPA still desires that that they still bracket 80% of the ambient data. With these changes, PSD sources have the ability to choose the appropriate audit levels based on their instrumentation and their knowledge of ambient concentrations (known or estimated).

**Q24. What subsections of appendix A section 3.2.5 apply to PSD sources?**

Sections 3.2.5.1, 3.2.5.2, 3.2.5.5, 3.2.5.6, and 3.2.5.7 are applicable to PSD sources.

**Q25. If a PSD source chooses to operate its PM sampler(s) on a daily schedule, which is more frequent than required by permit or regulation, does this source have the option to operate its collocated audit sampler on the less frequent non-daily schedule?**

No; sections 3.2.5.7 and 3.3.1.3 are clear that audit monitors collocated with a PM<sub>2.5</sub> or PM<sub>10</sub> daily monitor must sample at least every three days.

**Q26. What are the collocated sampling requirements for manual PM monitors operated by PSD sources?**

Sections 3.2.5.7 and 3.3.1.3 of appendix A require collocated audit monitor for PSD "non-daily" PM<sub>2.5</sub> and PM<sub>10</sub> monitors to minimally operate on an every-sixth-day schedule.

## **Section 5.2 - PSD Reporting Requirements**

**Q27. Are PSD sources required to submit their data to AQS?**

By regulation, the EPA does not require PSD sources to submit their data to AQS; rather these data must be submitted to the permitting authority. The permitting authority may stipulate that data be submitted in AQS format to either AQS or the permitting authority.

**Q28. What report(s) are required to ensure achievement of DQOs?**

The PSD source's QAPP identifies what data quality reporting is required to be submitted to the permitting authority to assure that the QAPP-approved DQOs are being met. The EPA encourages reporting PSD data to AQS, which would allow the use of the AMP255 DQO report by the permitting authority to verify the QA data and to ensure that the QAPP specified DQOs are being met.