**Modified EPA R-5 Checklist for Review of Quality Assurance Project Plans Using Secondary Data**

This checklist is an example of what could be used to either write or review a QA Project Plan, especially those that call solely for the collection and use of secondary data. The items noted follow those elements found in *EPA Requirements for QA Project Plans (QA/R-5)* (EPA, 2001a) as applicable, and *EPA New England QAPP Guidance for Projects Using Secondary Data, Revision* 2 (EPA, 2003).

**PROJECT TITLE:**

**Preparer:**       **Date Submitted for Review:**

**Reviewer:**       **Date of Review:**

*Note: A=Acceptable; U=Unacceptable; NI=Not Included; NA=Not Applicable*

**DOCUMENT CONTROL**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| Document control information is indicated in header of each QAPP page | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Project title is indicated | [ ]  | [ ]  | [ ]  | [ ]  |       |
| QAPP version number and date are indicated | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Page number is indicated in “Page X of Y” format | [ ]  | [ ]  | [ ]  | [ ]  |       |

**PROJECT MANAGEMENT**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| **A1. Title and Approval** |
| Contains project title | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Indicates revision number, if applicable | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Indicates EPA cooperative agreement number | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Indicates RWU grant number |  |  |  |  |  |
| Indicates organization(s)’ name(s) | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Signature and date lines for organization(s)’ project manager(s) present | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Signature and date lines for organization(s)’ QA manager(s) present | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Other signatures, as needed | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **A2. Table of Contents** |
| Lists QA Project Plan information sections and relevant page numbers | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Document control information indicated | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **A3. Distribution List** |
| Includes all individuals who are to receive a copy of the QA Project Plan and identifies their organization | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| **A4. Project/Task Organization** |
| Identifies key individuals involved in all major aspects of the project, including contractors | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses their responsibilities | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Project QA Manager position indicates independence from unit generating data | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies individual responsible for maintaining the official, approved QA Project Plan | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Organizational chart shows lines of authority and reporting responsibilities | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **A5. Problem Definition/Background** |
| States decision(s) to be made, actions to be taken, or outcomes expected from the information to be obtained | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Clearly explains the reason (site background or historical context) for collecting secondary data and how that data will be used to meet project goals | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies regulatory information, applicable criteria, action limits, etc., necessary to the project | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **A6. Project/Task Description** |
| Summarizes work to be performed, for example, secondary data files to be obtained, analyses to be performed etc., that support the project’s goals | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Provides work schedule indicating critical project points, e.g., start and completion dates for activities such as secondary data collection, analysis, data or file reviews, and assessments | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Indicates QAPP end date | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Details geographical locations to be studied, including maps where possible | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses resource and time constraints, if applicable | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **A7. Quality Objectives and Criteria** |
| Identifies the secondary data needed to satisfy the project objectives | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses types of secondary data | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Addressed the age of data | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses geographical representation of data | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses temporal representation of data | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses technological representation of data | [ ]  | [ ]  | [ ]  | [ ]  |       |

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| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| **A8. Special Training/Certifications** |
| Identifies any project personnel specialized training or certifications | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses how this training will be provided | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Indicates personnel responsible for assuring these are satisfied | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies where this information is documented | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **A9. Documentation and Records** |
| Identifies report format and summarizes all data report package information | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Lists all other project documents, records, and electronic files that will be produced | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies where project information should be kept and for how long | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses back up plans for records stored electronically | [ ]  | [ ]  | [ ]  | [ ]  |       |
| States how individuals identified in A3 will receive the most current copy of the approved QA Project Plan, identifying the individuals responsible for this | [ ]  | [ ]  | [ ]  | [ ]  |       |

**DATA ACQUISITION**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| **B1. Sources of Secondary Data** |
| Identifies sources of required secondary data, including the originating organization(s), and the report/publication title and date. May be displayed in tabular format | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies the generators of required secondary data (if different from source), including the originating organization(s) and data collection date(s) | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Specifies the hierarchy of sources for the gathering of secondary data, where applicable | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses the rationale for selecting the data sources(s) identified | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Specifies that all sources of secondary data gathered will be identified in project reports and deliverables | [ ]  | [ ]  | [ ]  | [ ]  |       |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| **B2. Quality of Secondary Data** |
| Discusses quality requirements of secondary data and corresponding acceptance criteria | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses accuracy requirements | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses precision requirements | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses representativeness requirements | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses completeness requirements | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Discusses comparability requirements | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Describes the procedures that will be employed to determine the quality of secondary data | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Includes disclaimer to be used in all project work products and reports if no quality requirements are being employed or when the quality of secondary data cannot be determined | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **B3. Data Management** |
| Describes data management and storage scheme. | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies data handling equipment/procedures that should be used to process, compile, analyze and transmit data reliably and accurately | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies individual(s) responsible for data management | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Describes the process for data archival and retrieval | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Describes procedures to demonstrate acceptability of hardware and software configurations | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Attaches checklists and forms that should be used | [ ]  | [ ]  | [ ]  | [ ]  |       |

**ASSESSMENT and OVERSIGHT**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| **C1. Assessments and Response Actions** |
| Lists the number, frequency and type of assessment activities that should be conducted, with the approximate dates | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies individual(s) responsible for conducting assessments, indicating their authority to issue stop work orders and any other possible participants in the assessment process | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Describes how and to whom assessment information should be reported | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies how corrective actions should be addressed and by whom, and how they should be verified and documented | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| Includes standard NBEP assessment language: “NBEP may implement, at its discretion, various reviews of this project to assess conformance and compliance to the Quality Assurance Project Plan. NBEP may issue a stop work order and require corrective action(s) if nonconformance or noncompliance to the Quality Assurance Project Plan is found.” | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **C2. Reports to Management** |
| Identifies what project QA status reports are needed and how frequently | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies who should write these reports and who should receive this information | [ ]  | [ ]  | [ ]  | [ ]  |       |

**DATA REDUCTION, REPORTING, AND VALIDATION**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| **D1. Data Reduction** |
| Describes reduction and evaluation procedures specific to the project, including calculations and equations | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **D2. Verification and Validation Methods** |
| Describes process for data verification and validation, providing SOPs and indicating what data validation software should be used, if any | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Identifies issue resolution process, and method and individual responsible for conveying these results to data users | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Attaches checklists, forms and calculations | [ ]  | [ ]  | [ ]  | [ ]  |       |
| **D3. Reconciliation with User Requirements** |
| Describes procedures to evaluate the uncertainty of the validated data | [ ]  | [ ]  | [ ]  | [ ]  |       |
| Describes how limitations on data use should be reported to the data users | [ ]  | [ ]  | [ ]  | [ ]  |       |