**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 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**

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| --- | --- | --- | --- | --- | --- |
| **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 |  |  |  |  |  |
| **B2. Quality of Secondary Data** | | | | | |
| Discusses quality requirements of secondary data and corresponding acceptance criteria |  |  |  |  |  |
| Discusses accuracy requirements |  |  |  |  |  |
| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| 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 |  |  |  |  |  |

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| **Element** | **A** | **U** | **NI** | **NA** | **Comments** |
| Includes standard NEIWPCC assessment language: “NEIWPCC may implement, at its discretion, various audits or reviews of this project to assess conformance and compliance to the Quality Assurance Project Plan in accordance with the NEIWPCC Quality Management Plan. NEIWPCC 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**

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| --- | --- | --- | --- | --- | --- |
| **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 |  |  |  |  |  |