

**US EPA REGION III
QUALITY MANAGEMENT PLAN
REVIEW CHECKLIST**

Organization:		Contact:		Phone Number:	
EPA Organization:		EPA Contact:		Phone Number:	
EPA Program:		EPA Contract/Grant/IAG Number:			
Reviewer:		Reviewer Organization:		Phone Number:	
Date Reviewed:		Check One:	New Plan:	Revised Plan:	Response to Comments:
Recommendation:	Acceptable:	Acceptable w/comments:		Unacceptable w/comments:	

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

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MANAGEMENT AND ORGANIZATION	A	U	NI	NA	SECTION	COMMENTS
1. Is there an approval page for signatures of senior managers, senior line management (as appropriate) and the QA manager?						
2. Has management established and implemented a quality policy to ensure that the environmental program produces the type and quality of results needed and expected?						
2a. Does the policy discuss the importance of QA/QC activities and why?						
2b. Does the policy include general objectives and goals of the quality system?						
2c. Does management provide adequate resources and assign sufficient authority and independence to staff to enable them to plan, implement, assess and improve the organization's quality system?						
3. Is there an organizational chart that identifies all relevant organizations, functional responsibilities, levels of accountability and authority, and lines of communication?						
4. Does the organizational chart document the independence of the QA Manager from the groups generating environmental data?						
5. Is there a discussion of the responsibilities and authorities of the QA Manager? Does the QA Manager report to senior management on quality issues?						
6. Is there a discussion of the technical activities or programs that are supported by the quality system?						
6a. Does the plan discuss where oversight of delegated, contracted, or other extramural programs is needed?						
6b. Does the plan identify where internal coordination of QA and QC activities among organizations is needed?						
7. Does management ensure that the applicable elements of the quality system are understood and implemented in the environmental program(s) under their authority?						
8. Does the document describe the process for resolving disputes?						

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9. Does the document state that when physical changes in the organization and/or changes in policy occur, the QMP will be updated to reflect this information?						
QUALITY SYSTEM AND DESCRIPTION	A	U	NI	NA	SECTION	COMMENTS
1. Does the document include a description of the quality system?						
1a. Does the document describe the principal quality system components (e.g., quality system documentation, annual reviews and planning, management assessments, training, systematic planning, project specific quality documentation, project & data assessments) and how they are implemented?						
1b. Is there a list of tools for implementing each component (e.g., QMPs, Quality Systems Audits, Training Plans, QA Project Plans, Data Assessment)?						
1c. Does the description of components includes the responsibilities of management and staff?						
PERSONNEL QUALIFICATIONS AND TRAINING	A	U	NI	NA	SECTION	COMMENTS
1. Does the document contain a policy statement regarding QA training for management and staff?						
2. Is there a process for identifying, ensuring, and documenting that personnel have and maintain the appropriate knowledge; skill; and statutory, regulatory, professional or other certifications, accreditations, licenses?						
3. Does the document describe the process for identifying the need for quality-related retraining based on changing requirements?						
4. Does the document include roles, responsibilities, and authorities in its description of the above processes?						

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PROCUREMENT OF ITEMS AND SERVICES	A	U	NI	NA	SECTION	COMMENTS
1. Does the document describe or reference the process for reviewing and approving all extramural agreements (grants, cooperative agreements and contracts)?						
1a. Does the review process ensure documents are complete and accurate?						
1b. Does the review process ensure agreements clearly describe the item or service needed?						
1c. Does the review process ensure agreements describe the associated technical and quality requirements?						
1d. Does the review process ensure agreements describe the quality system elements for which the supplier is responsible?						
1e. Does the review process ensure that the supplier's conformance to the customer's requirements will be verified?						
2. Does the document describe the process to ensure procured items and services are acceptable?						
3. Does the document describe the process for review and approval of suppliers' quality-related documentation (e.g., QA Project Plans and QMPs)?						
4. Does the document describe the process to ensure EPA extramural agreement policies are satisfied?						
5. Are the roles, responsibilities, and authorities of managers and staff included in the description of the above processes?						
DOCUMENTS AND RECORDS	A	U	NI	NA	SECTION	COMMENTS
1. Does the document describe the process for identifying quality-related documents (i.e., SOPs, QAPPs, MSRs, etc.) and other project-related records (both paper and electronic) requiring control?						

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2. Does the document describe the process for preparing, reviewing, approving, issuing, using, authenticating, and revising documents and records?						
3. Does the document describe the process for ensuring that records and documents accurately reflect completed work?						
4. Does the document describe the process for maintaining documents and records; including transmittal, distribution, retention, access, preservation, traceability, retrieval, removal of obsolete documentation, and disposition?						
4a. Have retention times for records been established based on contractual and statutory requirements? If not, has management specified appropriate retention times?						
4b. While in storage, are records protected from damage, loss and deterioration?						
5. Does the document describe the process for ensuring documents and records comply with all applicable statutory, regulatory, and Agency policies?						
6. When evidentiary records are involved, are appropriate chain of custody and confidentiality procedures established and implemented?						
7. Are the roles, responsibilities, and authorities of managers and staff included in the description of the above processes?						
COMPUTER HARDWARE AND SOFTWARE	A	U	NI	NA	SECTION	COMMENTS
1. Does the document describe the process for developing, installing, testing, using, maintaining, controlling, and documenting computer hardware/software used in environmental programs to ensure that it meets user requirements?						

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2. Does the document describe the process for assessing and documenting the impact of changes to user requirements and/or the hardware and software on performance?						
3. Does the document describe the process for evaluating purchased hardware and software to ensure it meets user or contractual requirements?						
4. Does the document describe the process for ensuring that data and information produced from or collected by computers meet applicable information resource requirements and standards?						
5. Are the roles, responsibilities, and authorities of managers and staff included in the description of the above processes?						
PLANNING	A	U	NI	NA	SECTION	COMMENTS
1. Does the document describe the process for planning environmental data operations using a systematic planning process, such as EPA's Data Quality Objectives Process?						
1a. Does the planning process include identification and involvement of all project personnel, scientific experts, customers and suppliers?						
1b. Does the planning process include a description of the project goal, objectives, and questions/issues to be addressed?						
1c. Does the planning process include identification of project schedule, resources, milestones, and any applicable requirements?						
1d. Does the planning process include identification of the type and quantity of data needed and how the data will be used to support the project's objectives?						
1e. Does the planning process include specification of performance criteria for measuring quality?						

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1f. Does the planning process include specification of needed QA and QC activities to assess the quality performance criteria?						
1g. Does the planning process include a description of how, when, and where the data will be obtained (including existing data) and identification of any constraints on data collection?						
1h. Does the planning process include a description of how the acquired data will be analyzed, evaluated, and assessed against its intended use and the quality performance criteria?						
2. Does the document state that the results of the systematic planning process will be documented in a Quality Assurance Project Plan, or equivalent?						
3. Does the document describe the process for developing, reviewing, approving, implementing, and revising QA Project Plans?						
4. Does the document state that an environmental data operation cannot begin until there is an approved Quality Assurance Project Plan, or equivalent?						
5. Does the document describe the process for evaluating and qualifying previously collected data and other information that will be used to make project decisions?						
6. Are the roles, responsibilities, and authorities of managers and staff included in the description of the above processes?						
IMPLEMENTATION OF WORK PROCESSES	A	U	NI	NA	SECTION	COMMENTS
1. Does the document state that work shall be performed according to approved planning and technical documents?						

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2. Does the document describe the process for ensuring that work is performed according to approved planning and technical documents?						
3. Does the document list the source and title of Standard Operating Procedures (SOPs) that are being used for routine, standardized and critical operations?						
3a. Does the document describe the process for preparation, review, approval, revision, and withdrawal of SOPs?						
3b. Does the document describe the policy for use of these procedures?						
4. Does the document describe the process for controlling and documenting the release, change, and use of these SOPs?						
4a. Does the process include a description of required approvals?						
4b. Does the process include removal of obsolete documentation from work areas?						
4c. Does the process include verification that the changes are made as prescribed?						
5. Are the roles, responsibilities, and authorities of managers and staff included in the description of the above processes?						
ASSESSMENT AND RESPONSE	A	U	NI	NA	SECTION	COMMENTS
1. Does the document describe the process for assessing the adequacy of the quality system? Does the review occur at least annually?						
2. Does the document describe the process for planning, implementing and documenting assessments and reporting results to management?						

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2a. Does the process include selecting an assessment tool (e.g., quality system audits, management system reviews, peer reviews, technical reviews, performance evaluations, data quality assessments, readiness reviews, technical systems audits, and surveillance), the expected frequency of their application to environmental programs, and the roles and responsibilities of assessors?						
2b. Does the process include determining the level of competence, experience and training needed for assessment personnel?						
2c. Does the process include ensuring that personnel have no real or perceived conflict of interest, and have no direct involvement or responsibility for the work being assessed?						
2d. Does the process include ensuring that personnel conducting assessments have sufficient authority, access to programs and managers; access to documents and records; and organizational freedom to identify problems and noteworthy practices, propose recommendations for resolving problems, and/or independently confirm implementation & effectiveness of solutions ?						
3. Does the document describe the process for management's review of, and response to, findings?						
4. Does the document describe the process for identifying how and when corrective actions are to be taken in response to the findings of the assessment?						
4a. Does the process include ensuring corrective actions are made promptly?						
4b. Does the process include confirming the implementation and effectiveness of any corrective action?						
4c. Does the process include documenting actions?						

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5. Does the document describe the process for addressing disputes encountered as a result of assessments?						
6. Are the roles, responsibilities, and authorities of managers and staff included in the description of the above processes?						
QUALITY IMPROVEMENT	A	U	NI	NA	SECTION	COMMENTS
1. Does the document describe the process for ensuring that conditions adverse to quality are prevented, promptly identified and corrected; and that actions are taken to prevent reoccurrence?						
1a. Are these actions documented and tracked to closure?						
2. Does the document describe the process for encouraging staff to establish communication between customers and suppliers, identify process improvement opportunities, and identify and propose solutions for problems?						
3. Are the roles, responsibilities, and authorities of managers and staff included in the description of the above processes?						

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