

Region 4 Quality Management Plan (QMP) Cross Reference Checklist

Title:

Organization:

QMP Date:

Review Date:

Reviewer Name:

ELEMENT	Document Title (If other than submitted QMP)	Section and Page Number(s)
(1) Management and Organization		
1.1 Provides Title Page, Approval Page, Table of Contents, References- Approval Page includes signatures of senior management and the Quality Assurance Manager/Officer		
1.2 Summarizes the importance of QA and QC activities to the organization		
1.3 Describes the general goals and objectives of the quality system		
1.4 Summarizes the policy for resource allocation for the quality system		
1.5 Contains a reasonable organizational structure with respect to roles/responsibilities described in narrative & includes an organizational chart		
1.6 QA Manager is included in the organizational chart		
1.7 Demonstrates direct access from the QA Manager to senior organization manager – explains how the organization will ensure that QA personnel will have access to the appropriate levels of management in order to plan, assess and improve the organization’s quality system		
1.8 Describes QA Manager’s independence and authority with respect to decisions on data quality		

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1.9 QA policy statement which demonstrates importance of environmental data in organizational decision-making		
1.10 Adequately describes the scope of the organization's environmental data collection programs which require quality management		
1.11 Discusses process for oversight of contractor activities (if data collection/analysis is contracted outside the agency)		
1.12 Provides a discussion of the technical activities or programs that are supported by the quality system		
1.13 Identifies the specific programs or activities that require quality management controls		
1.14 Identifies where oversight of delegated, contracted or other extramural programs is needed to assure data quality		
1.15 Where and how internal coordination of QA and QC activities among the group's organizational units needs to occur		
1.16 Describes how management will assure that applicable elements of the quality system are understood and implemented in all environmental programs		
1.17 Discusses the organization's process for resolving disputes regarding quality system requirements, QA and QC procedures, assessments, or corrective actions,		
(2) Quality System and Description		
2.1 Describes the main components of the quality system, including quality system documentation, planning, annual reviews, management assessments, training, systematic project planning, project-specific documentation, project and data assessments		

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2.2 Discusses staff and management roles and responsibilities for quality assurance in environmental programs and for QA/QC in data collection		
2.3 Provides a list of tools for implementing each component of the quality system. Tools include Quality Management Plan, Quality System Audits, Training Plans (for technical and quality assurance training), Quality Assurance Project Plan, Data Verification and Validation		
2.4 Provides a list of the environmental programs that develop Quality Management Plans in support of the Quality System		
2.5 Describes the process for reviewing and approving internal Quality Management Plans within the organization		
2.6 Describes the process for implementing QA/QC activities within the organization		
2.7 Describes the roles and responsibilities of contractors or consultants in implementing the organization's quality system		
(3) Personnel Qualifications and Training		
3.1 Provides a policy statement regarding QA and technical training for staff and management		
3.2 Describes the process for assuring that personnel are qualified to perform the environmental data collection activities – identifies positions that require professional certifications, accreditation or other formal qualifications		
3.3 Describes the procedures for determining QA-related training needs; discusses how QA training is obtained; and describes how the effectiveness of the QA training obtained is measured		

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3.4 Identifies the roles and responsibilities of management and authorities for obtaining QA training within the organization		
(4) Procurement of Items and Services		
4.1 Describes the roles and responsibilities of management and staff for reviewing and approving procurement documents to ensure that they are accurate and complete		
4.2 Discusses the process for ensuring that procurement documents clearly describe the items and services needed; include the associated technical and quality requirements, identifies the quality system elements for which the supplier is responsible for adhering to; and discusses how the supplier's conformance to the customer's requirements are verified		
4.3 Describes the process for specifying QA and QC requirements in purchase orders, procurement documents, acquisitions and assistance agreements		
4.4 Identifies the individual(s) who are responsible for overseeing this process		
4.5 Describes the procedures for incorporating QA and QC requirements into contractor work assignments, technical directives, etc.		
(5) Documents and Records		
5.1 Describes the processes, including the roles and responsibilities, and authorities of management and staff for: identifying quality related documents and records (including hardcopy and electronic formats) requiring control		
5.2 Identifies the individual(s) who are responsible for preparing and reviewing documents for conformance to technical and quality system requirements		

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5.3 Discusses the process for approving, issuing, using, authenticating, and revising documents and records		
5.4 Identifies the individual responsible for ensuring that records and documents accurately reflect completed work		
5.5 Describes the policies and procedures for maintaining documents and records including transmittal, distribution, retention (specifies retention time for documents and records), access, preservation (including protection from damage, loss and deterioration), traceability, retrieval, removal of obsolete documentation, and disposition.		
5.6 Identifies the individual and policies for ensuring that documents and records comply with all applicable regulatory, statutory, and EPA requirements		
5.7 Describes the procedures and identifies the individuals responsible for establishing and implementing appropriate chain-of-custody and confidentiality procedures for evidentiary records		
(6) Computer Hardware and Software		
6.1 Describes the processes, including the roles, responsibilities and authorities of management and staff for developing, installing, testing, using, maintaining, controlling, and documenting computer hardware and software used in environmental programs to ensure compliance with technical and quality system requirements		
6.2 Describes the procedures for assessing and documenting the impact of changes to user requirements		
6.3 Discusses the process for evaluating purchased hardware and software to ensure it meets user requirements and complies with applicable contractual		

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requirements and standards		
6.4 Describes the process for ensuring that data and information produced from or collected by, computers meet applicable information resource management requirements and standards		
6.5 Describes the process for identifying and documenting the quality of environmental data in data bases and information systems – identifies the individual(s) responsible for certifying that data bases and information systems contain accurate information		
(7) Planning		
7.1 Describes the process for planning environmental data collection operations		
7.2 Identifies the roles and responsibilities of management and staff in the planning – discusses the involvement of project managers, sponsoring organization, project personnel, scientific experts, stakeholders and end data users		
7.3 Identifies how technical expertise in sampling, statistics, analytical services and QA/QC is provided		
7.4 Describes the use of a systematic planning process or data quality objectives process in planning environmental data collection operations		
7.5 Discusses the procedures for measuring the effectiveness of the planning process by management		
7.6 Describes the process for determining the type, quantity and quality of data to ensure that this information meets project objectives		
7.7 Describes the process for preparing, reviewing and approving QA project plans for environmental data collection operations performed by the organization		
7.8 Describes the process for preparing, reviewing and approving QA project plans for environmental data		

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collection operations performed by contractors/consultants or assistance agreement holders		
(8) Implementation of Work Processes		
8.1 Describes the process used for implementing QA Project Plans or other planning documentation for environmental data collection operations		
8.2 Discusses the system used to assure that such implementation is accomplished properly		
8.3 Describes how revisions to QA Project Plans and/or other planning documents are made, maintained and communicated to all parties involved (project personnel, stakeholders and end data users, etc.)		
(9) Assessment and Response		
9.1 Discusses how the adequacy of the quality system is assessed (audits, peer reviews, surveillance, readiness reviews, performance evaluations, etc.) annually and identifies the individual responsible for performing this assessment		
9.2 Describes the authority, competence, experience and training necessary to ensure that personnel conducting assessments or audits are technically knowledgeable, have no real or perceived conflict of interest, and have no direct involvement or responsibility for the work being assessed		
9.3 Discusses the process for planning, conducting and reporting the results of assessment activities		
9.4 Discusses management's responsibility for reviewing and responding to assessment or audit findings		
9.5 Discusses how and when corrective actions will be implemented in response to audit/assessment findings		
9.6 Identifies the individual(s) who are responsible for addressing any disputes arising from audits/assessments		

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(10) Quality Improvement		
10.1 Identifies who is responsible for identifying, planning, implementing and evaluating the effectiveness of quality improvement activities		
10.2 Describes the process for ensuring the continued improvement of the quality system		
10.3 Describes the process for ensuring that conditions adverse to quality are prevented, identified promptly and corrected as soon as possible		
10.4 Discusses how corrective actions are documented, tracked completed and verified		
References: Includes a reference section that identifies all of the documents used in QMP preparation and / or cited in the QMP. Provides a list of current internal SOPs and QAPPs in use.		

References:

EPA Requirements for Quality Management Plans, EPA QA/R-2, EPA/240/B-01/002 (March 2001)