**EPA REGION 8 QUALITY MANAGEMENT PLAN CROSSWALK**

This **crosswalk will be used to review the Quality Management Plans** (QMPs) that are **submitted to the Region 8** Quality Assurance Office for review under ASQ/ANSI E4-2014, Quality Management S*ystems for Environmental Information and Technology Programs* and EPA Order 2105-0. Items from this checklist are discussed in detail in EPA Manual CIO 2105-P-01-0 and in *EPA Requirements for Quality Management Plans (QA/R-2)*. Consult these resources for more information on the items below.

**All items below must be included in a QMP.** **If an item is not relevant** (including those that are specific to EPA organizations) **an explanation must be provided.** Also note that process may either be described or referenced in the QMP; however, all references should be readily accessible within the organization and provided to the R8 QA Staff with the QMP.

|  |  |  |  |
| --- | --- | --- | --- |
| **Organization** | **Click here- enter Organization** | **Applied to (e.g., contract number, IGMS number)** |  |
| **QMP Title** | **Click here – enter Title** | **Organization Contact and phone number** |  |
| **QMP Version and Date** |  | **QMP Active Period** |  |
| **EPA Project Officer and phone number** |  | **Date Received for Review** |  |
| **Other EPA contact and phone number** |  | **Date Review Completed** |  |
| **QA Program Reviewer** |  | **QMP Approval Date** |  |

|  |  |
| --- | --- |
| **Documents reviewed:****QMP/date/cover period** *(Yes/No/Not Provided)***Work Statement (PPA, SOW, e.g.)** *(Yes/No/Not Provided)***QARF (contracts only)** *(Yes/No/Not Provided)***Dollar amount** *(minimum, total value & duration)* |  |
| **Is QMP consistent with the work statement** (current/next year)? (Yes/No) |  |
| **Summary of Comments:****Note:** In addition to addressing concerns in the Summary of Comments, the **Click here- enter Organization** must also respond to the issues identified in the Comment section(s) that includes a “**Response (date)**” and “**Resolved (date)**.” |

| **Element** | **Page(s)** | **Acceptable (Yes/No/NA)** | **Comments** |
| --- | --- | --- | --- |
| **MANAGEMENT AND ORGANIZATION** |
| 1. Signed and dated by senior manager? |  |  |  |
| 2. Signed and dated by senior line management? |  |  |  |
| 3. Signed and dated by organization’s QA manager? |  |  |  |
| 1. Includes signature lines for :
* R8 Project Officer, and
 |  |  |  |
| * R8 QA Manager’s approval?
 |  |  |  |
| 5. Includes signature line for EPA Grant Award Official approval (if applicable)? |  |  |  |
| 6. Includes statement of the organization's QA policy? |  |  |  |
| 1. QA policy statement includes general objectives/goals?
 |  |  |  |
| b. QA policy statement includes allocation of intramural, extramural, and travel funds and personnel? |  |  |  |
| 7. Includes organizational chart? |  |  |  |
| a. Organizational chart identifies all components of organization? |  |  |  |
| b. Organizational Chart identifies position of QA manager? |  |  |  |
| c. Organizational Chart identifies lines of reporting of the QA manager? |  |  |  |
| d. Organization Chart identifies any other QA staff? |  |  |  |
| 8. Includes discussion of authorities of the QA manager and staff? |  |  |  |
| 9. Documents the independence of QA manager? |  |  |  |
| 10. Describes procedures to ensure QA staffs have access to appropriate levels of management? |  |  |  |
| 11. Discusses technical activities or programs that require quality management? |  |  |  |
| 12. Discusses where oversight of delegated or extramural programs is needed? |  |  |  |
| 13. Identifies where internal coordination of QA and QC activities among organizations is needed? |  |  |  |
| 14. Discusses how management assures understanding and implementation in all programs? |  |  |  |
| 15. Describes process for resolving disputes? |  |  |  |
| **QUALITY SYSTEM COMPONENTS** |
| 16. Includes description of quality system? |  |  |  |
| 17. Describes principal quality system components (e.g., quality system documentation, annual reviews and planning, project-specific quality documentation? (Note, identify components in Column 3.) |  |  |  |
|  |  |  |  |
| 18. Description of components includes how they are implemented? |  |  |  |
| 19. Description of components includes responsibilities of management and staff? |  |  |  |
| 20. Lists tools for implementing each component (e.g., QMPs, Quality Systems Audits, Training Plans, QA Project Plans? (Note: list tools in Column 3.) |  |  |  |
| 21. Identifies internal organizations that develop QMPs? |  |  |  |
| 22. Identifies review and approval procedures for these internal QMPs? |  |  |  |
| 23. Includes assurance that QA responsibility is incorporated into performance standards (consistent with Agency personnel policy)? |  |  |  |
| **QUALIFICATIONS AND TRAINING** |
| 24. States policy regarding QA training for management and staff? |  |  |  |
| 25. Describes process for identifying, ensuring, and documenting that personnel have necessary quality-related qualifications? |  |  |  |
| 26. Describes process for ensuring personnel maintain quality-related qualifications? |  |  |  |
| 27. Describes process for identifying the need for quality-related retraining based on changing requirements? |  |  |  |
| 28. Includes roles, responsibilities, and authorities in description of above processes? |  |  |  |
| **PROCUREMENT OF ITEMS AND SERVICES** |
| 29. Describes process for reviewing and approving all extramural agreements (grants, cooperative agreements and contracts)? |  |  |  |
| a. Review process ensures documents are complete and accurate? |  |  |  |
| 1. Review process ensures agreement clearly describes the item or service needed?
 |  |  |  |
| c. Review process ensures agreement describes the associated technical and quality requirements? |  |  |  |
| 1. Review process ensures agreement describes the quality system elements for which the supplier is responsible?
 |  |  |  |
| e. Review process ensures that the supplier’s conformance to the customer’s requirements will be verified? |  |  |  |
| 30. Describes process for reviewing and approving applicable responses to solicitations to ensure that they satisfy all technical and quality requirements? |  |  |  |
| a. Review process ensures the review of evidence of the supplier’s capability to satisfy EPA quality requirements? |  |  |  |
| 1. Review process ensures procured items and services are acceptable?
 |  |  |  |
| 31. Describes process for review and approval of suppliers’ quality-related documentation (e.g., QA Project Plans and QMPs)? |  |  |  |
| 32. Includes discussion of any policy and criteria for delegations of review of QA Project Plans and QMPs? |  |  |  |
| 33. Describes process to ensure EPA extramural agreement policies satisfied? |  |  |  |
| 34. Includes roles, responsibilities, and authorities in description of above processes? |  |  |  |
| **DOCUMENTS AND RECORDS** |
| 35. Describes process for identifying quality-related documents and records (including electronic) requiring control? |  |  |  |
| 36. Describes process for preparing, reviewing, approving, issuing, using, authenticating, and revising documents and records? |  |  |  |
| 37. Describes process for ensuring that records and documents accurately reflect completed work? |  |  |  |
| 38. Describes process for maintaining documents and records including transmittal, distribution, retention, access, preservation, traceability, retrieval, removal of obsolete documentation, and disposition? |  |  |  |
| 39. Describes process for establishing and implementing appropriate chain of custody and confidentiality procedures for evidentiary records? |  |  |  |
| 40. DELETED |  |  |  |
| 41. Includes roles, responsibilities, and authorities in description of above processes? |  |  |  |
| **COMPUTER HARDWARE AND SOFTWARE** |
| 42. Describes process for developing, installing, testing, using, maintaining, controlling, and documenting computer hardware and software? |  |  |  |
| 43. Describes process for assessing and documenting the impact of changes to user requirements and/or the hardware and software on performance? |  |  |  |
| 44. Describes process for evaluating purchased hardware and software? |  |  |  |
| 45. Describes process for ensuring that data and information produced from or collected by computers meet applicable requirements and standards? |  |  |  |
| 46. Includes roles, responsibilities, and authorities in description of above processes? |  |  |  |
| 47. DELETED |  |  |  |
| **PLANNING** |
| 48. Includes a description of the systematic planning process for environmental data operations? |  |  |  |
| a. Does process include identification and involvement of all customers and suppliers? |  |  |  |
| 1. Does process include description of the project goal, objectives, and questions and issues to be addressed?
 |  |  |  |
| c. Does process include identification of project schedule, resources, milestones, and any applicable requirements? |  |  |  |
| d. Does process include identification of the type and quantity of data needed and how the data will be used to support the project’s objectives? |  |  |  |
| e. Does process include specification of performance criteria for measuring quality? |  |  |  |
| f. Does process include specification of needed QA and QC activities to assess the quality performance criteria? |  |  |  |
| g. Does process include description of how, when, and where the data will be obtained (including existing data) and identification of any constraints on data collection? |  |  |  |
| h. Does process include description of how the acquired data will be analyzed, evaluated, and assessed against its intended use and the quality performance criteria? |  |  |  |
| 49. Describes process for developing, reviewing, approving, implementing, and revising QA Project Plans? |  |  |  |
| 50. Describes process for evaluating and qualifying data collected for other purposes or from other sources? |  |  |  |
| 51. Includes roles, responsibilities, and authorities in description of above processes. |  |  |  |
| **IMPLEMENTATION OF WORK PROCESSES** |
| 52. Describes process for ensuring that work is performed according to planning and technical documents? |  |  |  |
| 53. Describes process for identifying operations needing procedures? |  |  |  |
| 54. Describes process for preparation, review, approval, revision, and withdrawal of these procedures?  |  |  |  |
| 55. Describes policy for use of these procedures? |  |  |  |
| 56. Describes process for controlling and documenting the release, change, and use of planned procedures? |  |  |  |
| a. Process includes description of necessary approvals? |  |  |  |
| 1. Process includes removal of obsolete documentation from work areas?
 |  |  |  |
| c. Process includes verification that the changes are made as prescribed? |  |  |  |
| 57. Includes roles, responsibilities, and authorities in description of above process? |  |  |  |
| **ASSESSMENT AND RESPONSE** |
| 58. Describes the process for assessing the adequacy of the quality system at least annually? |  |  |  |
| 59. Describes the process for planning, implementing and documenting assessments and reporting results to management? |  |  |  |
| 1. Process includes selecting an assessment tool, the expected frequency, and the roles and responsibilities of assessors?
 |  |  |  |
| 1. Process includes determining the level of competence, experience and training needed for assessment personnel?
 |  |  |  |
| 1. Process includes ensuring that personnel have no real or perceived conflict of interest, and have no direct involvement or responsibility for the work being assessed?
 |  |  |  |
| 1. Process includes ensuring that personnel conducting assessments have sufficient authority, access to programs and managers, access to documents and records, and organizational freedom?
 |   |  |  |
| 60. Describes process for management’s review of, and response to, findings? |  |  |  |
| 61. Describes process for identifying how and when corrective actions are to be taken in response to the findings of the assessment? |  |  |  |
| a. Process includes ensuring corrective actions are made promptly? |  |  |  |
| 1. Process includes confirming the implementation and effectiveness of any corrective action?
 |  |  |  |
| c. Process includes documenting actions? |  |  |  |
| 62. Describes process for addressing disputes encountered as a result of assessments? |  |  |  |
| 63. Includes roles, responsibilities, and authorities in description of above processes? |  |  |  |
| **QUALITY IMPROVEMENT** |
| 64. Describes process for ensuring that conditions adverse to quality are prevented, identified promptly, corrected promptly and that actions are taken toward prevention, documented and actions tracked to closure? |  |  |  |
| 65. Describes process for encouraging staff to establish communications between customers and suppliers, identify process improvement opportunities, and identify and propose solutions for problems? |  |  |  |
| 66. Includes roles, responsibilities, and authorities in description of above processes? |  |  |  |
| **OTHER REVIEW CRITERIA** |
| 67. Are regulatory or other citations accurate? |  |  |  |
| 68. Are organizational units identified consistent with the most recent reorganization? |  |  |  |
| 69. Are past QA management assessment (MSR/QSA/other) findings resolved? (Put date of Final Report in Column 3.) |  |  |  |
| 70. Are activities described in the QMP consistent with Work Plans? |  |  |  |
| 71. Are tasks proposed for other organizations not covered solely by this QMP documented elsewhere (e.g., in another organization’s QMP)? |  |  |  |