QUALITY MANAGEMENT PLAN

For

REGION 7

May 1, 2011

Region 7
United States Environmental Protection Agency
901 North 5th Street
Kansas City, KS 66101

REGION 7 QUALITY ASSURANCE MANAGEMENT PLAN APPROVALS

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REGION 7 QUALITY ASSURANCE MANAGEMENT PLAN APPROVALS

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LIST OF ACRONYMS

AWMD – Air and Waste Management Division

CAA - Clean Air Act

CNSL - Office of Regional Counsel

DQA – data quality assessment

ECO - Enforcement Coordination Office

EMMC - Environmental Monitoring Methods Council

ENSV - Environmental Services Division

EPA - Environmental Protection Agency

MSR - management systems review

NARA - National Archives and Records Administration

OPA - Office of Public Affairs

OIRM - Office of Environmental Resources Information Management

PLMG - Office of Policy and Management

PPAs - Performance Partnership Agreements

QA - quality assurance

QAARWP - quality assurance annual report and work plan

QAPP - quality assurance project plan

QC - quality control

QMP - quality management plan

QSA - quality systems audit

RLAB - Regional Laboratory

RCRA - Resource Conservation and Recovery Act

RQAM - Regional Quality Assurance Manager

SOP - standard operating procedure

SPP - systematic planning process

SUPR - Superfund Division

TEP - Technical Evaluation Panel

TSA - technical systems audit

WWPD - Water, Wetlands, and Pesticides Division

1. MANAGEMENT AND ORGANIZATION

To implement Agency policy, EPA Laboratories, Program Offices, and Regional Offices are required to prepare a QMP covering all intramural and extramural environmental programs which generate and use environmental data. This QMP was prepared according to EPA Requirements for Quality Management Plans, EPA QA/R-2, March 2001, reissued May 2006 and Chapter 3 of the EPA Quality Manual for Environmental Programs, 5360 A1, May 5, 2000 to document the quality assurance policies and management structure to be used in implementing the Region 7 quality system.

1.1. Definition of Environmental Data

Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. For Region 7, environmental data include information collected directly from measurements, produced from models, and compiled from other sources such as databases or the literature.

Acquired data are data or information used for project implementation or decision making which meet the following criteria: 1) are compiled from other sources; 2) were originally collected for some other purpose; or 3) are obtained from non-measurement sources such as computer databases, programs, literature files, and historical databases. The quality of acquired data will directly impact the quality of the project results or environmental decision to which they are applied and are subject to the Region 7 quality system requirements.

1.2. Data Collection Activities Covered by the Quality Management Plan

The QMP encompasses data directly generated by Region 7 programs, their contractors, or grantees as well as data obtained for Region 7 programs from other sources. The QMP also covers environmental data that Region 7 programs require States, tribal governments, and grantees to collect.

1.3. Region 7 Programs Covered by the Quality Management Plan

The Region 7 QMP is applicable to all Region 7 environmental programs. This includes field and laboratory data-gathering activities or investigations that involve the determination of chemical, physical, or biological characteristics related to the environment as well as investigations or studies that involve acquired data.

1.4. Region 7 Mission

Region 7's mission is to protect and enhance the quality of our air, water, and terrestrial environment from pollution for the benefit of all by:

- Preventing or minimizing the release of pollutants into our environment by ensuring compliance with environmental laws, and enforcing against those who violate these laws;

- Working in partnership with those federal, tribal, state, and local agencies with whom we have shared responsibility for environmental protection;
- Working with stakeholders to implement flexible voluntary approaches to solve environmental problems;
- Conducting environmental education and outreach to the public and regulated community to enable them to prevent or reduce the generation of wastes, and to become better environmental stewards;
- Making environmental quality information easily accessible to the public to enable them to make choices about the level of environmental quality they expect; and
- Ensuring all our nation's communities have equal protection from pollution.

1.5. Quality Assurance Policy

It is the policy of Region 7 that, within the constraints of available resources, quality assurance activities shall be conducted to assure environmental data generated or used for its programs will be of known and documented quality and adequate for their intended use. The Region shall also support and implement a graded approach to the quality system which bases the level of managerial controls applied to an item or work commensurate with the intended use of the results and the degree of confidence needed for the results.

To ensure that this quality assurance policy is uniformly applied to Region 7 environmental programs, the Region 7 Quality Assurance Manager (RQAM) is authorized to conduct oversight of the Region 7 quality system. The authority covers environmental programs as a result of:

- Region 7 in-house environmental activities;
- Contracts;
- Interagency Agreements;
- Grants;
- Cooperative Agreements;
- Partnerships with industry, state and local offices, tribes, and other EPA Offices; and
- Enforcement agreements.

1.6. Organization

Region 7 is organized into four Divisions: Air and Waste Management (AWMD); Environmental Services (ENSV); Superfund (SUPR); and Water Wetlands, and Pesticides (WWPD); and four Offices: Office of Regional Counsel (CNSL); Office of Public Affairs (OPA); Enforcement Coordination Office (ECO); and Office of Policy and Management (PLMG). This QMP reflects the overall regional organization found at http://r7atwork.r07.epa.gov/intranet/pdf/orgchart_overview.pdf. See http://r7atwork.r07.epa.gov/intranet/pdf/orgchart_ensv.pdf for the ENSV organizational structure including the position of the RQAM and QA Team. See Attachment A for the QA lines of authority and communication for the RQAM and the QA Team.

1.6.1. Air and Waste Management Division (AWMD)

AWMD, under the supervision of its Director, is responsible for the Clean Air Act (CAA), Resource Conservation & Recovery (RCRA), Underground Storage Tank, Leaking Underground Storage Tank, Risk Management Plan (CAA 112(R)), Emergency Planning Community Right to Know Act, Spill Prevention Control Measures, TSCA PCB programs, regulatory (other than Water) and industrial sector programs. The Pollution Prevention program, also housed in AWMD, serves as an advocate for Pollution Prevention approaches for all Region 7 programs and manages the Region 7 Pollution Prevention grants.

1.6.2. Environmental Services Division (ENSV)

The Environmental Services, under the supervision of its Director, is responsible for compliance inspections (air, RCRA, and water enforcement), environmental monitoring (ambient air and water), the State Safe Drinking Water Act Laboratory certification program, managing the Regional quality system, environmental evaluations, Geographical Information Systems (GIS), providing laboratory services, developing an expanded cross-media data integration and analysis program, and the National Environmental Policy Act program.

1.6.3. Superfund Division (SUPR)

The Superfund Division, under the supervision of its Director, is responsible for Superfund Emergency Response/Preparedness, Site Assessment, Remedial, Removal, Federal Facilities, Brownfields and Oil spills programs.

1.6.4. Water, Wetlands, and Pesticides Division (WWPD)

The Water, Wetlands, & Pesticides Division, under the supervision of its Director, is responsible for the Clean Water Act, Safe Drinking Water Act, Federal Insecticide, Fungicide and Rodenticide Act, Endangered Species Act, lead-based paint, asbestos AHERA, underground injection, and Sustainable Infrastructure.

1.6.5. Office of Regional Counsel (CNSL)

The Office of Regional Counsel, under the supervision of the Regional Counsel, serves as a central legal office providing regional and national leadership in the environmental arena, particularly in the area of enforcement.

1.6.6. Office of Public Affairs (OPA)

The Office of Public Affairs, under the supervision of its Director, is responsible for environmental outreach and cultivating environmental values with Agency customers, the states and tribal partners. Other major responsibilities include: media relations; Intergovernmental relations; small business assistance; community involvement/outreach; information sharing; Freedom of Information Act; product review; environmental

education; Web; and audio-visual. The Regional Community Based Environmental Protection Program is also managed within OPA.

1.6.7. Enforcement Coordination Office (ECO)

The Office of Enforcement Coordination Office, under the supervision of its Director, provides cross-program enforcement coordination for the Region 7 divisions. The Office is a focal point for review and dissemination of national enforcement guidance and strategy, and coordination of enforcement agreements with headquarters and states. The Office manages compliance assistance and general coordination for federal facilities. The Office is responsible for environmental justice coordination and managing the Region 7 environmental justice grant program.

1.6.8. Office of Policy and Management (PLMG)

The Office of Policy and Management, under the supervision of its Assistant Regional Administrator, is responsible for policy, strategic planning, state relations including capacity building, tribal and multimedia program coordination, budget formulation, financial implementation, contracts, grants, cooperative agreements, facilities, human resources, health and safety, information management, computer services, and other administrative services (supplies, motor pool, mail, etc.).

1.7. Key Region 7 Personnel

1.7.1. Regional Administrator

The Regional Administrator is responsible to the Administrator, within the boundaries of Region 7, for the execution of the Regional environmental programs of the Agency and such other responsibilities as may be assigned. The direct responsibility for assuring data quality rests with regional Division and Office Directors. Ultimately, the Regional Administrator is responsible for establishing quality assurance policy and for resolving quality assurance issues identified through the quality system. Major quality assurance related responsibilities of the Regional Administrator include the following:

- Ensure that all Region 7 components and programs comply fully with the requirements of this QMP;
- Ensure that quality assurance is an identified activity with associated resources adequate to accomplish program and Regional goals in planning, implementing, and evaluating all environmental programs;
- Ensure that all applicable environmental programs delegated to state, local, and Tribal governments or performed by organizations outside EPA pursuant to EPA mandates comply fully with the requirements of this QMP;
- Ensure that quality assurance (QA) and quality control (QC) training is provided to Regional management and staff, as defined by this QMP;
- Ensure that state and local governments performing environmental data collection for EPA have current EPA-approved QMPs;

9.2.5. Response Actions

Senior management is responsible for determining necessary actions and developing a plan to address weaknesses disclosed in any audit. Milestones will be developed so that progress on corrective actions can be measured. This information will be included in the audit file, which is to be maintained by the RQAM. Regional managers are responsible for ensuring compliance with the approved corrective actions. Progress is to be reported to the Regional Administrator, Division and Office Directors, and the Regional Federal Managers' Financial Integrity Act Coordinator. This will include identifying any problems in audits discussing corrective actions and summarizing follow-ups on the previous year's agenda. If major deficiencies are found, follow-up audits may be required and should be discussed with senior management.

9.2.6. Data Quality Assessments

A data quality assessment (DQA) is the scientific and statistical evaluation of data to determine if data obtained from environmental data operations are of the right type, quality, and quantity to support their intended use. The use of the DQA process will be specified in project-level documents such as a QAPP. The most current version of EPA's DQA guidance (QA/G-9R and G-9S), can be used to assist in the DQA process. Data quality assessments are the responsibility of the Project Managers and the level of effort for the DQA will be commensurate with the project objectives and intended use of the data. An individual(s) conducting DQAs should, at a minimum, have completed the DQA training course and associated prerequisites required by this QMP (or their functional equivalent). The QA Team will provide technical assistance as requested. If assistance is requested from the QA Team, the Project Manager will ensure the QA Team has access to all project documents and records needed to complete a DQA. The results of the DQA will be documented and provided to the Project Manager. The Project Manager will then be responsible for reviewing the results, determining if and what corrective actions are needed, and for confirming implementation and effectiveness of corrective actions.

9.2.7. Performance Evaluations

A performance evaluation, also known as a performance test sample, is a type of audit where samples of known concentration are analyzed by a laboratory to evaluate the proficiency of an analyst or laboratory. Performance evaluations programs are developed as a tool to help ensure the quality of the Agency's and Region 7's environmental data collection activities. Performance evaluation programs are important because environmental data are used as a basis for regulatory and guidance development and for compliance evaluation across the Agency. Performance evaluations are strongly supported and should be used by the Region, States, and local agencies.

Because performance evaluations are project-level evaluations, their use will be specified in a project's QAPP. It is the responsibility of the Project Manager to determine the applicability of performance evaluations for a project and to ensure they are accomplished as defined in QAPPs. The Project Manager will also be responsible for

reviewing the results of performance evaluations, determining corrective actions, and confirming the implementation and effectiveness of corrective actions.

It is the practice of Region 7 ENSV to periodically incorporate performance evaluation samples into analytical activities managed by ENSV regardless of where the analyses are performed. A Region 7 Project Manager may also request performance evaluation samples. Performance evaluation samples are addressed and requested per Region 7 SOP 2430.7, "Performance Evaluation Sample Program Guidance" and are prepared per SOP 2430.9, "Preparation and Performance Evaluation Samples in Water, Wipe, and Soil Matrices". The performance evaluation samples are then submitted "blind" to the laboratory being evaluated.

Performance evaluation of the Regional Laboratory is addressed in Region 7 SOP 2430.11, "Region 7 Laboratory Participation in Proficiency Testing."

9.2.8. Dispute Resolution

If disputes are encountered as a result of evaluations, the dispute resolution process as defined in Section 1.9 of this QMP shall apply.

10. QUALITY IMPROVEMENT

It is Region 7 policy that quality assurance be a critical component of all the work functions within our programs. The intent of this QMP is to provide the basis for integrating appropriate quality assurance activities into the full cycle of Region 7 programs from the planning phases through the evaluation phases. If the principles outlined in the QMP are followed, problems can be detected in a timely manner, before programmatic and financial issues become critical and hinder program implementation and decision making.

Within Region 7, there are several levels of review that will help uncover problems with the quality system.

10.1. Internal Region 7-Wide Reviews

Each year the quality system and QMP will be reviewed by Region 7 staff and management as part of the QAARWP development process to ensure that the QMP is still relevant to the Region 7 mission. It will be the responsibility of the RQAM to coordinate the review. The QMP will be modified to reflect changing needs or additional guidance as needed.

The RQAM meets with each program office staff as necessary. A key purpose of these meetings is to identify quality assurance issues of concern. Based on consultations with senior management, the RQAM will initiate MSRs or special projects to address and correct quality assurance problems identified by staff input. The RQAM will also respond to requests from management to address specific quality assurance problems of significance to the entire office. Actions developed to correct any major quality assurance deficiencies will be documented in the QAARWP and reviewed and approved by the appropriate Division/Office Director and the Regional Administrator. See Section 8.1 of this QMP for more details regarding the review and revision of the QMP and the preparation of the QAARWP.

10.2. SOP Reviews

At least every two years each Region 7 SOP will be reviewed to determine if they remain relevant to the mission of the program and properly describe the procedures used to obtain data of known and sufficient quality to support programmatic decisions. Ensuring that this review occurs is the responsibility of Supervisors and/or Division/Office Directors responsible for implementing the program. Actions will be developed by Supervisors or their designee to correct any major quality assurance deficiencies. The QAARWP should also describe any progress in quality assurance implementation. See Sections 8.3 and 8.4 of this QMP for more details regarding the maintenance of the Regional SOP system and analytical methods, respectively.

10.3. Program Reviews

Program reviews, as described in Section 9.2.2 of this QMP, and internal MSRs, as described in Section 9.2.1.2 of this QMP, are conducted with the intent to look for opportunities for improving the quality system at either the state and tribal or Regional Office level, respectively. The program reviews and internal MSRs will be utilized as a means of evaluating implementation and effectiveness of quality systems.

10.4. Project Reviews

It is Region 7's policy that the Project Manager, with assistance from the RQAM and project participants, will review project implementation at regular intervals to identify where improvements in data quality can occur. Project reviews can consist of:

- Technical System Audits;
- Data Quality Assessments;
- Peer reviews;
- Conference calls; and
- Meetings.

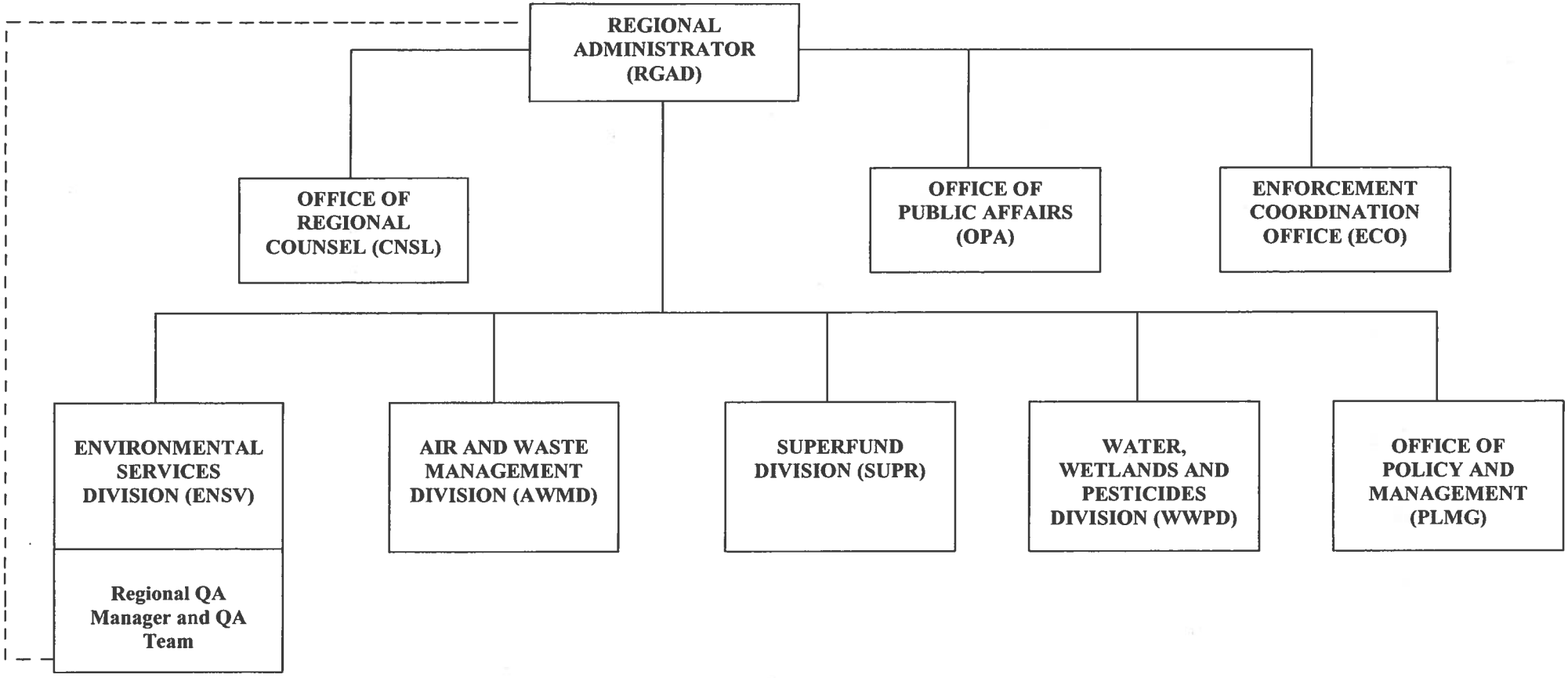
Generally there should be a meeting at the end of the data collection phase of a project. If results from preliminary DQAs are available for this meeting, participants can use the information to determine whether a QAPP was followed and that quality was controlled to an acceptable level. The SOPs should be revised to reflect changes and improvements in procedures that were developed during the program. Weaknesses, problems, and recommended corrective actions for future programs should be documented in the quality assurance section of the final project report.

10.5. Quality Improvement Responsibilities

Region 7 staff, at all levels, is accountable for continuous quality improvement. The process of continuous quality improvement leads to a better and more responsive quality system. In order to minimize, prevent, detect, and promptly correct problems related to the quality system, the Region has implemented the evaluation approach as described in Chapters 8 and 9 of this QMP. Because the supervisors, Project Managers, and other technical staff are responsible for the day-to-day operations, they typically have the most direct experience with the quality system process and are encouraged to identify opportunities for improving the quality system by contacting the RQAM directly or through discussion with their management. During interviews conducted by the Region 7 QA Team during the MSR process, the review team includes questions regarding the support received by personnel from the QA Team in an effort to encourage open dialogue on how the quality system can be improved to help Regional staff perform their job functions. Another process by which the QA Team actively encourages input on the quality system from Regional personnel is through the evaluation forms provided during each QA training course. After completion of the course, attendees complete an evaluation form which is used to evaluate the training program and to identify future training needs. The entire QA Team is given the

opportunity to review the evaluation forms and QA training meetings are held regularly to discuss and address critical issues identified through these evaluation forms. The QA Refresher also offers staff an opportunity to provide their input and suggestions about the quality system.

ATTACHMENT A
Region 7 Organization Chart with QA Lines of Authority and Communication



ATTACHMENT B
Quality Assurance Review Form

Contracts Management Manual **April 7, 2004**

APPENDIX 46.1D U.S. EPA QUALITY ASSURANCE REVIEW FORM FOR CONTRACT ACTIONS

I. General Information

a. Vehicle Type:

[ ] Solicitation/Sole Source (RFP #: _____)

[ ] Delivery Order/Work Assignment /Task Order
(SOW #: _____ and Contract #: _____)

b. Descriptive Title: _____
_____

c. Sponsoring Organization *(e.g., Branch, Division, Office, etc.)*: _____

d. Project Duration: _____

e. Is this a new [ ] or continuation of an existing [ ] project?

II. Scope of Work

[For example activities, see www.epa.gov/quality/examples.html.]

a. Does the work involve:	Yes	No
• the collection, generation, use and/or reporting of environmental data? (Environmental data are defined as any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. For EPA, environmental data include information collected directly from measurements, produced from models, and compiled from other sources such as data bases or the literature.)	[ ]	[ ]
• design, construction, and/or operation of environmental technologies?	[ ]	[ ]
• development and/or use of models?	[ ]	[ ]
• other activities that need quality assurance or quality control requirements as identified in your organization's Quality Management Plan? If yes, list: _____	[ ]	[ ]

If all answers are No, skip Section III and complete Section IV.

b. Estimate of percentage of costs or level-of-effort allocated to the activities identified above: _____%.

III. Quality-Related Requirements

[Where applicable, reference a specific section of the Statement of Work.]

a. For Solicitations Only *[complete (b) - (f) below, as well]*

1. Insert the percentage of technical evaluation points assigned to offeror's quality system documentation, or P/F if the evaluation is pass/fail: _____

2. List any quality standards (from your organization's Quality Management Plan) that you will use in lieu of, or in addition to, *Specifications and Guidelines for Quality Systems for Environmental Data Collection and Environmental Technology Programs (ANSI/ASQC E4)*. These standards are

   Title: _____
   Numbering: _____
   Date: _____
   Requirements (Tailoring): _____
   _____

b. QA Documentation Options: *[For solicitations, complete items 1-4; for all actions other than solicitations, complete items 3-4. All documentation specified under "Other" must be defined in your organization's Quality Management Plan and be consistent with requirements defined in EPA Manual 5360 A1. For items checked under #2, there must be adequate information in the SOW for the offeror to develop this documentation.]*

Before Award Documentation[1]

1. ___ Documentation of an organization's Quality System: Either ☐ QMP developed in accordance with R-2 or ☐ Other: _____
   ___ Combined documentation of an organization's Quality System and application of QA and QC to the single project covered by contract: Either developed in accordance with ☐ R-2 and R-5 or ☐ Other:
   _____

2. ___ Programmatic QA Project Plan: Either developed in accordance with R5 or ☐ Other:
   _____

[1]QMP refers to a Quality Management Plan. Programmatic QA Project Plan refers to a QA Project Plan that would cover multiple projects with similar activities. R-2 refers to EPA Requirements for Quality Management Plans (QA/R-2) (EPA/240/B-01/002, 03/20/01) and R-5 refers to EPA Requirements for Quality Assurance Project Plans (QA/R-5) (EPA/240/B-01/003, 03/20/01) - copies of these documents are available at www.epa.gov/quality.

___ Application of QA and QC activities to the single project covered by contract: Either ☐ QA Project Plan developed in accordance with R-5 or ☐ Other: _____

___ Not applicable.

After Award Documentation[1]

3. ___ Documentation of an organization's Quality System: Either ☐ QMP developed in accordance with R-2 or ☐ Other: _____

___ Combined documentation of an organization's Quality System and application of QA and QC to the single project covered by the contract: Either developed in accordance with ☐ R-2 and R-5 or ☐ Other: _____

___ Not applicable.

4. ___ Documentation of the application of QA and QC activities to applicable project(s): Either developed in accordance with ☐ R-5; ☐ A supplement to the following Programmatic QA Project Plan _____; or ☐ Other: _____

___ Programmatic QA Project Plan with supplements for each specific project: Developed in accordance with: _____

___ Existing documentation of the application of QA and QC activities will be used: Either ☐ Documentation developed pre-award; ☐ Documentation will be identified in individual Statements of Work or ☐ Documentation identified in Section ____ of the Statement of Work.

c. **Reports:** Are quality reports or reports containing quality assurance information (for example, status of quality system implementation, review of a quality system, quality control data, etc.) required? [ ] **Yes** [ ] **No**

If yes, identify the required reports and the time frame for submission: _____

d. **Assessments:** Select all quality assessments that will be performed either pre-award or post-award:

	Pre-Award	Post-Award
On-site evaluation of offeror's/contractor's facility		
Assessments of the offeror's/contractor's Quality System (e.g., quality system audits, management system reviews, etc.)		

Project-specific assessments (e.g., technical systems audits, surveillance, performance evaluations, data quality assessments. peer reviews, readiness reviews)		

For each assessment, specify type, date to perform, and who will perform it (if known):

_____

e. **Procedures to Update Documentation:** Identify any procedures/requirements for updating EPA-approved quality-related documentation: _____

_____

f. **Other Requirements:** Identify any other pertinent quality-related requirements (as identified in your organization's Quality Management Plan): _____

_____

IV. **The signatures below verify that the Statement of Work has been reviewed to ascertain if quality assurance or quality control activities are needed and that the appropriate quality requirements have been established.**

Contracting Officer's Representative	**Date**	**Quality Assurance Manager**	**Date**

ATTACHMENT C
STANDARD FORM 424

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION		**2. DATE SUBMITTED**	Applicant Identifier
Application ☐ Construction ☐ Non-Construction	Preapplication ☐ Construction ☐ Non-Construction	**3. DATE RECEIVED BY STATE**	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION (EIN):

☐☐ - ☐☐☐☐☐☐☐

7. TYPE OF APPLICANT: (enter appropriate letter here) _____

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School District
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Other (Specify). _____

8. TYPE OF APPLICATION:

☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es): ☐ ☐

A. Increase Award B. Decrease Award
C. Increase Duration D. Decrease Duration
Other Specify: _____

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

☐☐ – ☐☐☐

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):

13. PROPOSED PROJECT:		**14. CONGRESSIONAL DISTRICT OF:**	
Start Date	End Date	a. Applicant:	b. Project

15. Estimated Funding:	
a. Federal	$
b. Applicant	$
c. State	$
d. Local	$
e. Other	$
f. Program Income	$
g. TOTAL	$

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESSES FOR REVIEW ON:

DATE _____

b. NO. ☐ PROGRAM IS NOT COVERED BY E.O. 12372

☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ YES If "Yes" attach an explanation. ☐ NO

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Typed Name of Authorized Representative.	b. Title:	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

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Standard Form 424 (REV 7-97)
Prescribed by OMB Circular A-102

ATTACHMENT D
PROGRAMMATIC CERTIFICATION
AUTHORIZATION TO AWARD AN ASSISTANCE AGREEMENT

PROGRAMMATIC CERTIFICATION
Authorization to Award an Assistance Agreement
(Instructions for Completing this form are on the Reverse Side)

ASSISTANCE NUMBER	ASSISTANCE RECIPIENT NAME

DELEGATION NUMBER	PROGRAM CODE	STATUTORY AUTHORITY	APPROVED PROJECT PERIOD	
		ACT:	START	END
		SECTION:		

PROGRAM/PROJECT TITLE AND DESCRIPTION:

RECOMMENDED FUNDING: The proposed budget included in the Application for Federal Assistance, (which includes the Recipient and *Federal share of funds*) *has been reviewed for eligibility and reasonableness of costs related to program activities contained in the workplan.* I recommend funding as indicated below and have attached a Commitment Notice (EPA Form 2550-9) to obligate these funds:

TOTAL APPROVED>> PROGRAM/ PROJECT COSTS:$ _____ FEDERAL FUNDS:$ _____

OTHER REQUIREMENTS	YES	NO
QUALITY ASSURANCE This grant/cooperative agreement includes activities that require the preparation *and approval of Quality Assurance documents. If YES, please indicate the following:*	☐	☐
The workplan adequately addresses QA requirements including preparation, review and approval of QA documents. If NO, please attach the required QA condition to the award.	☐	☐
COMPETITION This application was competed. If no, please attach the rationale for the decision to award this application non-competitively.	☐	☐
PEER REVIEW IS REQUIRED FOR THIS AWARD.	☐	☐
PROGRAMMATIC TERMS AND CONDITIONS OF AWARD ARE REQUIRED (attach conditions)	☐	☐
THIS IS A COOPERATIVE AGREEMENT.	☐	☐

CERTIFICATION: [illegible]

EPA PROJECT OFFICER

PRINTED NAME	TITLE	DIV/BRANCH/SECTION	EXTENSION

RECOMMENDING OFFICIAL

SIGNATURE & PRINTED NAME	TITLE	DATE

DECISION OFFICIAL (or their designee)

SIGNATURE & PRINTED NAME	TITLE	DATE

Grant Management Specialist: Sherrill x 7461

R7 GBO 04/06

ATTACHMENT E
QUALITY ASSURANCE REQUIREMENT FORM

QUALITY ASSURANCE REQUIREMENT FORM

40 CFR 30.54 and 31.45

If your program/project involves environmentally related measurements or data generation, you are required to develop and implement quality assurance practices. Please complete this form in its entirety and return it with the Application for Federal Assistance, SF-424.

YES	NO	
☐	☐	The workplan, which is submitted with the Application for Federal Assistance, includes environmental sampling or data generation.
☐	☐	A Quality Management Plan was previously reviewed and approved by the U.S. EPA and is still current and applicable.

Please note that prior to environmental sampling or data generation, a site specific Quality Assurance Project Plan must be prepared and approved. For additional information concerning quality assurance, please contact the R7 Quality Assurance Manager at (913) 551-5000.

Date

Applicant Signature

Applicant Title

Applicant Organization

ENSV Revised 03/97

ATTACHMENT F
GLOSSARY

Acquired data - data or information used for project implementation or decision making which may meet some of the following criteria: is compiled from other sources; was originally collected for some other purpose; or is obtained from non-measurement sources such as computer databases, programs, literature files, historical data bases, or any other sources.

Assessment - the evaluation process used to measure the performance or effectiveness of a system and its elements. As used here, assessment is an all-inclusive term used to denote any of the following: audit, performance evaluation, management systems review, peer review, inspection, or surveillance.

Audit (quality) - a systematic and independent examination to determine whether quality activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

Data quality assessment (DQA) - a statistical and scientific evaluation of the data set to determine the validity and performance of the data collection design and statistical test, and to determine the adequacy of the data set for its intended use.

Document - any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, procedures or results pertaining to environmental operations. Examples include: QAPP, QMP, technical manuals, manuals, SOPs, etc.

Environmental data - any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. For EPA, environmental data include information collected directly from measurements, produced from models, and/or compiled from other sources such as databases, the literature, or any other sources.

Environmental data operations - work performed to obtain, use, or report information pertaining to environmental processes and conditions.

Environmental programs - work or activities involving the environment, including but not limited to: characterization of environmental processes and conditions; environmental monitoring; environmental research and development; the design, construction, and operation of environmental technologies; and laboratory operations on environmental samples.

Environmental technology - an all-inclusive term used to describe pollution control devices and systems, waste treatment processes and storage facilities, and site remediation technologies and their components that may be utilized to remove pollutants or contaminants from or prevent them from entering the environment. Examples include wet scrubbers (air), soil washing (soil), granulated activated carbon unit (water), and filtration (air, water). Usually, this term will apply to hardware-based systems; however, it will also apply to methods or techniques used for pollution prevention, pollutant reduction, or containment of contamination to prevent further

movement of the contaminants, such as capping, solidification or vitrification, and biological treatment.

Exportable standard operating procedures - technical SOPs which address techniques or processes which can be used by and distributed to other agencies, organizations, or individuals outside of Region 7 or the Agency. These SOPs will typically focus on environmental data generation, use or data quality.

Generic Quality Assurance Project Plan - a formal document for multiple projects or sites with the same objectives and environmental decision(s) describing in comprehensive detail the necessary QA, QC, and other technical activities that must be implemented to ensure that the results of the work performed will satisfy the stated performance criteria.

Graded approach - the process of basing the level of application of managerial controls applied to an item or work according to the intended use of the results and the degree of confidence needed in the quality of the results.

Independent evaluation - an evaluation performed by a qualified individual, group, or organization that is not a part of the organization directly performing and accountable for the work being assessed.

Intramural standard operating procedures - administrative SOPs (desk top procedures) which are Region-specific and can be either common across the Region or can be division-specific. These SOPs are not available for use to others outside the Region 7.

Management - those individuals directly responsible and accountable for planning, implementing, and assessing work.

Management system - a structured, non-technical system describing the policies, objectives, principles, organizational authority, responsibilities, accountability, and implementation plan of an organization for conducting work and producing items and services.

Management systems review (MSR) - the qualitative evaluation of a data collection operation and/or organization(s) to establish whether the prevailing quality management structure, policies, practices, and procedures are adequate for ensuring that the type and quality of data needed are obtained.

Organization - an agency, entity, company, corporation, firm, enterprise, or institution, or part thereof, whether incorporated or not; public or private, that has its own functions and administration.

Peer review - a documented critical review of work by qualified individuals (or organizations) who are independent of those who performed the work, but are collectively equivalent in technical expertise. A peer review is conducted to ensure that activities are technically adequate, competently performed, properly documented, and satisfy established technical and quality requirements. The peer review is an in-depth evaluation of the assumptions, calculations, extrapolations, alternate interpretations, methodology, acceptance criteria, and conclusions

pertaining to specific work and of the documentation that supports them.

Performance evaluation - a type of audit in which the quantitative data generated in a measurement system are obtained independently and compared with routinely obtained data to evaluate the proficiency of an analyst or laboratory.

Process - a set of interrelated resources and activities which transforms inputs into outputs. Examples of processes include analysis, design, data collection, operation, fabrication, and calculation.

Quality - the totality of features and characteristics of a product or service that bear on its ability to meet the stated or implied needs and expectations of the user.

Quality assurance (QA) - an integrated system of management activities involving planning, implementation, documentation, evaluation, reporting, and quality improvement to ensure that a process, item, or service is of the type and quality needed and expected by the client.

Quality Assurance Project Plan (QAPP)- a formal document describing in comprehensive detail the necessary QA, QC, and other technical activities that must be implemented to ensure that the results of the work performed will satisfy the stated performance criteria.

Quality control (QC) - the overall system of technical activities that measures the attributes and performance of a process, item, or service against defined standards to verify that they meet the stated requirements established by the customer; operational techniques and activities that are used to fulfill requirements for quality.

Quality improvement - a management program for improving the quality of operations. Such management programs generally entail a formal mechanism for encouraging worker recommendations with timely management evaluation and feedback or implementation.

Quality management - that aspect of the overall management system of the organization that determines and implements the quality policy. Quality management includes strategic planning, allocation of resources, and other systematic activities (e.g., planning, implementation, documentation, and evaluation) pertaining to the quality system.

Quality Management Plan (QMP) - a document that describes the quality system in terms of the organizational structure, functional responsibilities of management and staff, lines of authority, and required interfaces for those planning, implementing, and assessing all activities conducted.

Quality system - a structured and documented management system describing the policies,

objectives, principles, organizational authority, responsibilities, accountability, and implementation plan of an organization for ensuring quality in its work processes, products (items), and services. The quality system provides the framework for planning, implementing, documenting, and assessing work performed by the organization and for carrying out required QA and QC activities.

Record - a completed document that provides objective evidence of an item or process. Records may include photographs, drawings, magnetic tape, and other data recording media.

Specification - a document stating requirements and which refers to or includes drawings or other
relevant documents. Specifications should indicate the means and the criteria for determining conformance.

Standard Operating Procedure (SOP) - a written document that details the method for an operation, analysis, or action with thoroughly prescribed techniques and steps, and that is officially approved as the method for performing certain routine or repetitive tasks.

Surveillance (quality) - continual or frequent monitoring and verification of the status of an entity and the analysis of records to ensure that specified requirements are being fulfilled.

Technical review - a documented critical review of work that has been performed within the state of the art. The review is accomplished by one or more qualified reviewers who are independent of those who performed the work, but are collectively equivalent in technical expertise to those who performed the original work. The review is an in-depth analysis and evaluation of documents, activities, material, data, or items that require technical verification or validation for applicability, correctness, adequacy, completeness, and assurance that established requirements are satisfied.

Technical systems audit (TSA) - a thorough, systematic, on-site, qualitative audit of facilities, equipment, personnel, training, procedures, record keeping, data validation, data management, and reporting aspects of a system.