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# Financing Quality Systems During Multiple Stages of Implementation

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# Goals of Presentation

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- Provide a brief background of Stages of Quality
- Explain how resources play a key role in delegated Quality programs
- Discuss grant process and how to optimize quality implementation



# Goals of Presentation

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- Discuss current status of funding and tracking of delegated quality programs
- Explore the opportunities to assist States with implementation



# Stages of Quality System Implementation

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- Quality programs are not implemented with the stroke of a pen upon the approval of a Quality Management Plan
- Functional quality programs do not just happen - they *evolve*, typically *after* QMP approval

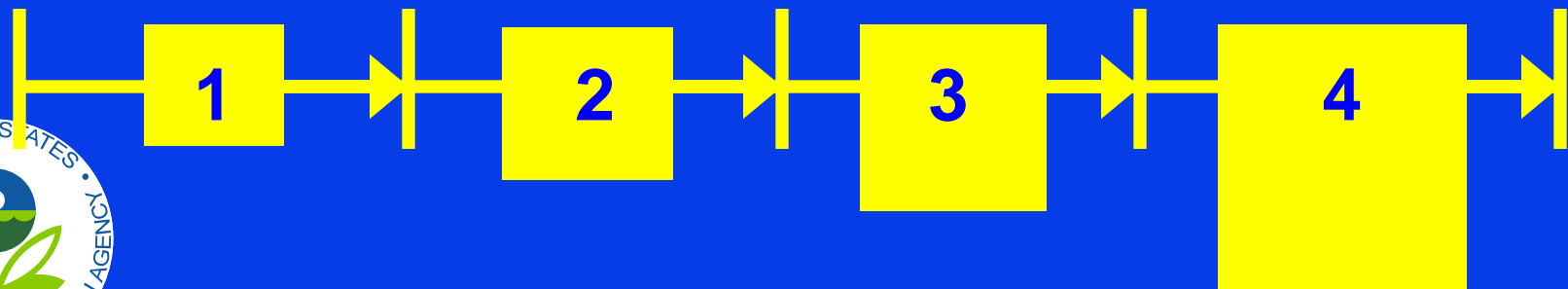


# Value of Defining Stages of Implementation



- Provides a metric to measure success
- Emphasizes the fact that good programs take time and continuously improve
- Illustrates a quality continuum
- Establishes realistic expectations

## Quality Infrastructure



# Stages of Quality System Implementation Matrix

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- Columns = Degree of Implementation
  - Stage 1: 0-25%
  - Stage 2: 25-50%
  - Stage 3: 50-75%
  - Stage 4: 75-100%
- Rows = Characteristics, Actions, Attitudes, and Keys to Success

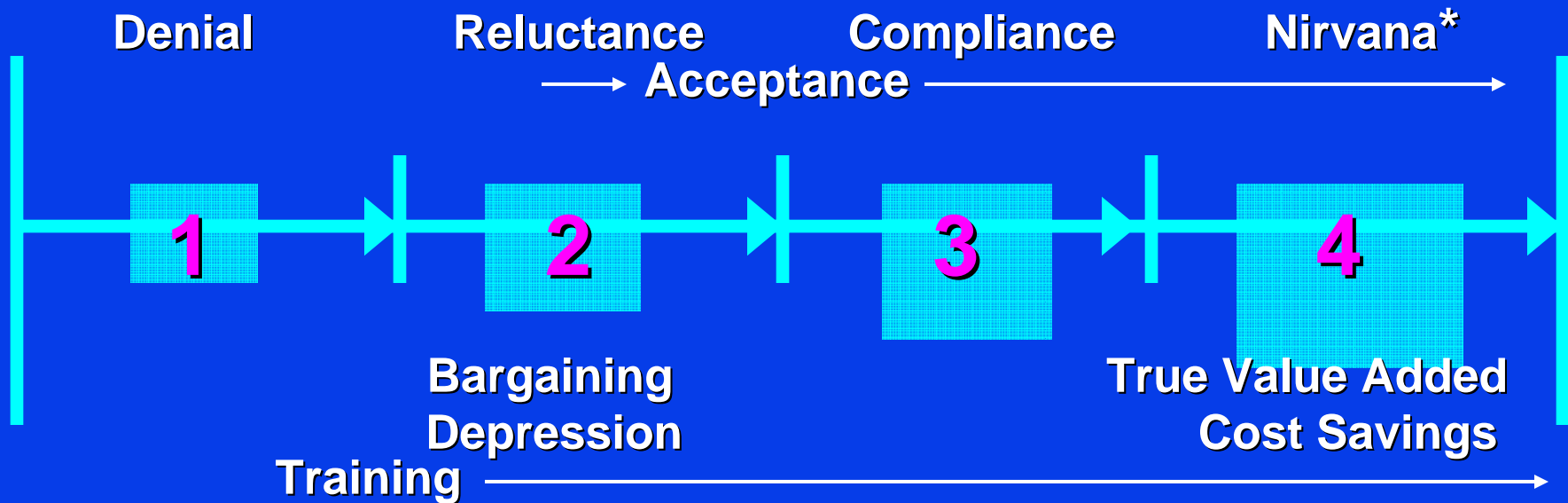


*Handout*  
<http://www.epa.gov/glnpo/quality/stages>

# Stages of Quality



1 – 5 years



## Baby Steps

\* Ideal condition of perfect harmony and peace



# Financing Quality

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- Stage 1
  - Need a lead
    - Preferably a high-level manager to chair meetings with right-hand person devoting at least 50% of their time
    - Need percentage of each manager's time devoted to quality
    - Extramural funding – see Management Controls for Quality





# Management Controls for Quality in Extramural Funding



## Grants: Special condition options for quality

- Requires quality documentation consistent with E4
  - a) Prior to award
    - Some States/tribes need time to award sub-contracts
    - Good in cases of poor past performance
  - b) 30 days prior to field work or 90 days after award
    - Provides flexibility
    - 90 days is tough if sub-contracts exist
  - c) > 30 days prior to field work, > 90 days after award
    - Problem POs/PIs put off quality, then forget
  - d) Consider grant application in format of QAPP or QMP
    - Avoids a two-step process
    - Proposals/QAPPs have much more detail



# Financing Quality

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- Stage 2
  - Heavy emphasis on training all staff and managers on quality system short courses
  - Quality Team/Leads need travel and training funds to interact with other QA staff and get training in QMPs, QAPPs, DQOs, auditing, data assessments
  - Need funds or resources to develop inventory and training databases



# Current observations of GLNPO States

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- GLNPO special condition in some cases does not get transferred from States' grant office to project lead.
- Stage 2 actions are severely limited due to resources.
- Without special condition, the only potential for addressing quality is the annual funding guidance. GLNPO's annual funding guidance does discuss Quality need to update for Peer Review/IQG's.



# Current Observations of GLNPO States

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- Currently quality positions if they exist are funded out of executive level accounts and are vulnerable to state budget swings.
- Travel funds are very difficult to secure even if explicitly defined in Grant.



# Current observations of GLNPO States (continued)

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- Many States/Tribes lack comprehensive inventory of grants with quality requirements or a decision point for determining quality needs
- Not only do many States/Tribes lack informal inventory of projects with quality requirements, many oversight organizations lack an inventory of funds transferred.

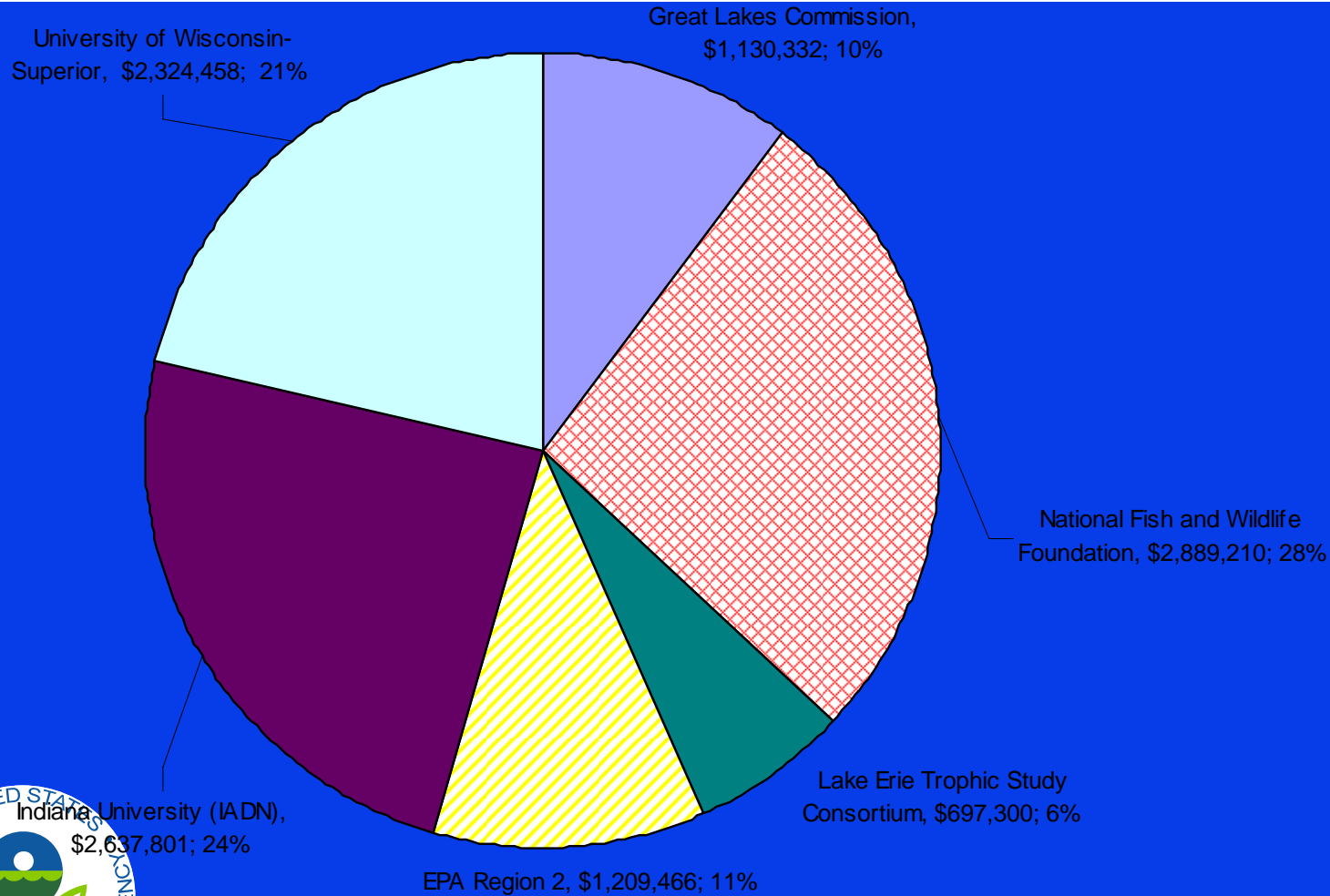


# GLNPO Delegated Quality Programs



January 2006

Funding of GLNPO's Delegated QA Programs, FY2001-2005  
(including projects not requiring QA)



# Current observations of GLNPO States (continued)

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Observation that during ENPPA negotiations with States that Quality is not an agenda item.

Undermines the importance of Quality and the ability of state/tribal Quality Managers to implement quality infrastructure.

Does this occur in National Program negotiations with Regions?



# Considerations for Tracking Quality via State/Tribal Grants

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- How many National Program QA Managers track quality in key grant programs to Regions/States? Or discuss the process in their QMP's?
- Do National Programs discuss quality in their annual program/funding guidance?
- How many of the Regional QA Managers track quality projects in delegated programs?





# Considerations for Implementing Quality via State/Tribal Grants

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- New Grant requirements to track Environmental Results with large State/Tribal grants offers an opportunity to highlight importance of quality and need for Resources at the State/Tribal level.



# Considerations for Implementing Quality via State/Tribal Grants

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- Once information becomes available on the amount of projects delegated, the funds and the associated Environmental Results.....**Could states/tribes provide a certain % of their overhead to implement quality infrastructure?**



# Conclusions

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Annual tracking of resources and projects needing quality will help identify the relative importance of these grants.

Discussing the importance of quality and it's role as a management tool during funding negotiations will assist Quality manager's in securing Stage 1-2 quality resources.



# Conclusions (cont.)

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Quality tracking/funding discussions need to occur at the National Program level and the Regional, State, and Tribal level.

This discussion also needs to take place in the Annual QA reports and during Quality Management System reviews.



# Conclusions (cont.)

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States and Tribes have serious funding concerns for Quality implementation at the initial stages and need the Feds support.

Our Quality programs will not succeed unless our delegated Quality programs succeed!





Raise  
yourself up  
on quality's  
wings!



Please send all  
comments and  
questions to:  
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Great Lakes National Program Office's QMP:  
<http://www.epa.gov/glnpo/quality/stagesofquality/>