

Appendix S
GLNPO Quality System Documentation Review Procedures and Tracking

GLNPO's Quality System Documentation Review Procedures and Tracking

NEW PROJECT/GRANT

1. Blue folder
 - Determine if QAPP and/or peer review are needed, then initial and date (Lou should initial the routing slip, but if he is not here, then have another member of the QA team initial it: Marvin, Scott)
 - Make a copy of the routing slip, memo, and workplan
 - If peer review is needed make a second copy of just the routing slip

2. Enter into QA Track
 - Enter the date entered into QA Track, assistance agreement number, Project Investigator (PI), PI's organization, GLNPO Project Officer, funding team (determine team based on the Team Leader listed on the routing slip), branch (determined by the branch which manages the team), project title, and award date (if available)

3. Enter into Monthly QA log
 - Enter P.O., P.I., assistance agreement number, and project title; check NG for "new grant"

G:/User/Share/All/QA/QA Team/Forms/Monthly Status.xls

4. File
 - Create a label with assistance agreement number, P.I., P.O., funding year, and title; attach label to green file folder

G:/User/Share/All/QA/QA Team/Forms/QAPP file labels.doc

 - Put copies made from blue folder into green folder, and file by fiscal year and assistance agreement #
 - If peer review is needed, put copy of the routing slip into the appropriate manila folder (by fiscal year) in the green peer review folder, and enter into the National Peer Review Database

QAPP/QMP REVIEW

1. Checksheets
 - You have ten business days to review a QAPP/QMP from the date of the P.O.'s signature
 - Review the QA document by filling out the appropriate checksheet

G:/User/Share/All/QA/Library/Checklists/QAPPChklst.doc
G:/User/Share/All/QA/Library/Checklists/QMPChklst.doc

 - Send checksheet to Lou, who will review and send his comments to the P.O.

2. Status
 - If the QA document is approved, Lou will sign and date the title page of the plan
 - If the QA document is approved with minor revisions, Lou will sign and date it,

- contingent on approval of received revisions
 - If the QA document is not approved, Lou will return it to the P.O. with his comments
3. File
 - File an electronic copy of the QAPP/QMP and the review checksheet in the appropriate folder under **G:/User/Share/All/QA/Library/QAPPs or QMP's**; also name the QA document and review checksheet as specified in the QA directory document
G:/User/Share/All/QA/QA Team/Forms/QA Directory.doc
 - File the hard copy QAPP/QMP and the review checksheet in the respective file folder
 4. Update QA Track
 - Enter the review date, status, and comments in QA Track
 5. Update Monthly Log
 - Enter the P.O., date signed by P.O., P.I., assistance agreement number, title, and status into the monthly log
 6. Update Delinquency List
 - If a delinquent QA submission or revision is approved, remove that document from the delinquency list and enter into delinquency resolved list
 7. Consequent Submittals / Revisions
 - Repeat steps 1 - 6

DELINQUENCY

1. 1st phase (after 90 days of award date)
 - Send memo to P.O. and “cc” branch chief within 7 days
 - Enter P.O., team, P.I., assistance agreement number, project title, and award date into the delinquency table (Excel spreadsheet)
G:/User/Share/All/QA/QA Team/Delinquency/Delinquent/DelinquentM-DD-YY.xls
 - File memo into 1st phase delinquency folder, and a copy into project folder
 - If plan or response is received within 7 days, no memo is sent to branch chief, and project is taken off of delinquency status
 - If no response is received, send memo to branch chief, and file memo in 7-day ‘cc’ folder
 - If no response is received in the next 30 days, move to 2nd phase delinquency
 - Update QA Track
2. 2nd phase (3 weeks after 1st phase memo is sent out)
 - Send a memo to the director and “cc” branch chief, P.O., and the grants person
 - File the memo in the 2nd phase delinquency folder and project folder
 - Send a memo every 30 days until a response is received
 - Update QA Track
3. Resolved
 - Notify P.O.; and/or branch chief, team leader, director, and grants person by memo

- Cross project off the delinquency summary list and enter in resolved delinquency section
- Update the QA track
- Enter approved project and date into monthly log
- File a copy of the memo into the resolved folder
- File memo and revisions/QA plan into respective project folder

CLOSE-OUT

1. Update QA Track

- Enter close-out date; if not in QA Track just file into close-out folder because it didn't have a QA plan; if found in QA Track follow steps 2 and 3

2. File

- File a copy of the memo into the respective project folder
- File the original memo into the close-out folder

3. Label

- Make and attach a new label that indicates close-out (gray background color; with close out, assistance agreement #, P.I.'s organization, year, and project title)
G:/User/Share/All/QA/QA Team/Forms/QAPP file labels.doc

NOTE: Verify that the closed-out project had approved quality system documentation; if not, bring to Lou's attention.

OTHER

Each month:

- Sum the total number of new grants, and the number of QA documents approved, approved with minor revisions, and not approved
- Update the QA Monthly Delinquency Status report with the QA documents which are seriously delinquent, delinquent *but not significantly affecting quality*, and resolved delinquencies
G:/User/Share/All/QA/QA Team/Delinquency/Delinquent/DelinquentM-DD-YY.xls

The QA Manager will report the QA status to management on the second Tuesday of each month.

GRANTS PEOPLE

George Stone - Grants / IAGs / Coops
 Brigitte Manzke - Contracts