

Walk-Through of the Audit Process

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No, NOT THAT KIND OF WALK...



AND NOT THAT KIND OF AUDIT!



We're Talking About Quality!



There's no financial component in these CRP audits

Focused on Quality System, data management, and monitoring activities



Audit? Assessment? Review?

So... WHAT EXACTLY IS AN AUDIT?



TCEQ Defines Ten Types of Assessments:

- Readiness Reviews
- Surveillances
- Inspections
- Quality System Audits
- Management System Reviews
- Technical System Audits
- Peer Reviews
- Technical Reviews
- Data Quality Assessments; and
- Audits of Data Quality



Yeah, I feel the same way...



Most CRP Audits are a Combination of Two Kinds:

Quality System Audit

Technical Systems Audit

A systematic examination of:

- Policies
- Objectives
- Organization
- Accountability
- Principles

Used to ensure quality in work processes

A qualitative audit of:

- Facilities
- Equipment
- Personnel
- Training
- Recordkeeping
- Data Validation
- Reporting Aspects



What Do I Need to Do to Get Ready for an Audit?

If you're not already doing everything you should, there's not much that you can do in 30 days to get ready...

Mostly - be prepared to show the auditors what you do – and how you do it – on a daily basis.



What Do I Need to Do to Get Ready for an Audit?

Have records readily available for the last couple of years

Don't worry about trying to rearrange things for the auditors – just maintain whatever system you normally use



Just Remember...



And Most Importantly:



**KEEP
CALM
AND
DO THINGS
RIGHT!**



What Do We Look At?

“Cradle to Grave” Concept –

- Data should agree from creation to reporting
- Do Field Data Sheets correlate to Chain of Custody?
- Does Chain of Custody correlate to Laboratory Report?
- How do all the data get compiled and managed?



What Do We Look At?

- How do you store, maintain and calibrate field instruments?
- How do you collect, handle, and preserve samples?
- How do you assess quality control checks on the data – both field as well as laboratory?



What Do We Look At?

- What are the roles and responsibilities in the organization – does everything get done?
- How do personnel receive the training they need?
- What is the flow of communication between personnel, as well as other entities in the project?
- Are you **DOING THE RIGHT THINGS RIGHT?**





**FINDING FAULT
VS.
BUILDING QUALITY**



The purpose of an audit should be to confirm that things are being done correctly – NOT to find things that are being done wrong.



**But Aren't Those
Kind of the Same
Thing?**



No One's Perfect...

Deficiencies and defects can be found in any project, if the sample is large enough... But does the knowledge that they exist add value to the program?

Quality Assurance should add **VALUE** to the project!

Are deficiencies random errors – or evidence of systematic failures in the quality system?



Correcting Deficiencies Adds Value to the Project

Chapter 10 of the TCEQ QMP says:

Quality system deficiencies shall be prevented wherever possible. Identified deficiencies shall be documented and corrected...

“Efforts will be made to improve quality systems continually.”



We're Trying to Achieve

CONSISTENCY

and

COMPARABILITY





Wag the Dog

Why does a dog wag its tail?
Because a dog is smarter than its tail.

If the tail were smarter, the tail would wag the dog.

QA Should not “Wag the Dog!”



Don't you think that if I
were wrong... I'd know it?



And,

Sometimes,
I'm Just
WRONG...



We're done.



Questions?