Quality Management Plan

Drinking Water Bureau

Water Protection Division
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QTRAK # 24-133

Prepared on January 5, 2024

Quality Management Plan Term: 2024-2029

New Mexico Environment Department
Drinking Water Bureau Quality Management Plan Approvals

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Note: This QMP is reviewed annually for content relevance and clarity.

REVISION CONTROL TABLE

Revision	Date	Revisions & Comments
1.0	2011	Initial document
2.0	2012	No documented changes
3.0	2013-2014	No documented changes
4.0	2014-2015	No documented changes
5.0	2015-2016	No documented changes
6.0	2016-2017	No documented changes
7.0	2017-2018	No documented changes
8.0	2019-2020	No significant changes, updated org chart was submitted.
9.0	2020-2021	No significant changes, updated org chart was submitted.
10.0	2022	Updated to include record retention criteria, submitted updated org chart.
11.0	2023	No significant changes, updated org chart was submitted.
12.0	2024	Updated to meet the requirements of the EPA IT/IM Directive Policies: Directive No. CIO 2105.3 "Environmental Information Policy" Directive No. CIO 2105-P-01.3 "Environmental Information Quality" Directive No. CIO 2105-S-01.0 "Quality Management Plan Standard"

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LIST OF ABBREVIATIONS AND ACRONYMS

ASD	Administrative Services Division
AWIA	American Water Infrastructure Act
CFR	Code of Federal Regulations
DFA	Department of Finance and Administration
DoIT	Department of Information Technology
DWB	Drinking Water Bureau
DWSRF	Drinking Water State Revolving Fund
IT	Information Technology
NM	New Mexico
NMAC	New Mexico Administrative Code
NMED	New Mexico Environment Department
NMSA	New Mexico Statutes Annotated
OIT	Office of Information Technology
PAG	Program Administration Group
PWS	Public Water System
PWSS	Public Water System Supervision
QA	Quality Assurance
QAC	Quality Assurance Coordinator
QAO	Quality Assurance Officer
QAPP	Quality Assurance Project Plan
QC	Quality Control
QMP	Quality Management Plan
SDWA	Safe Drinking Water Act
SDWIS	Safe Drinking Water Information System
SOP	Standard Operation Procedures
U.S. EPA	United States Environmental Protection Agency
UOCP	Utility Operator Certification Program
WCF	Water Conservation Fund

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ESSENTIAL DEFINITIONS

Environmental Information— Includes data and information that describe environmental processes or conditions. Examples include but not limited to:

- Direct measurements of environmental parameters or processes.
- Analytical testing results of environmental conditions.
- Information on physical parameters or processes collected using environmental technologies.
- Calculations or analyses of environmental information
- Information provided by models
- Information compiled or obtained from databases, software applications, decision support tools, websites, existing literature, and other sources
- Development of environmental software, tools, models, methods, and applications.
- Design, construction, and operation or application of environmental technology.

Environmental Information Operations (EIO)—A collective term for work performed to collect, produce, evaluate, compile, or use environmental information and the design, construction, operation, or application of environmental technology.

Must, Shall, Will—Mandatory Requirements.

Quality—The totality of processes, procedures, features, and characteristics of a product or service that depend on its ability to meet the stated or implied needs and expectations of the user.

Quality Assurance (QA)—Management of an integrated system of activities involving planning, implementation, documentation, assessment, reporting, and quality improvement to ensure that a process, item, or service is of the type and quality needed and expected by the organization.

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; operational techniques and activities that are used to fulfill requirements for quality.

Quality Assurance Coordinator (QAC)- For the purposes of this document, the Quality Assurance Manager as referenced in EPA guidance will be referred to as the Quality Assurance Coordinator (QAC) to be consistent with the working titles within DWB's organizational structure.

Quality Assurance Project Plan (QAPP)—A planning document related to a project that describes in comprehensive detail the necessary QA/QC requirements and other technical activities that must be implemented to ensure that the results of the work performed will satisfy the stated performance and acceptance criteria.

Quality Management Plan (QMP) — A formal document that describes a Quality Program in terms of the organizational structure, functional responsibilities of management and personnel, lines of authority, and required interfaces for those planning, implementing, and assessing all activities conducted.

Note: This QMP is reviewed annually for content relevance and clarity.

Quality Program—The totality of management controls, processes, and documentation in DWB planning, implementation, and assessment for ensuring the quality of Bureau's environmental information operations products and services.

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Note: This QMP is reviewed annually for content relevance and clarity.

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PART 1: QUALITY MANAGEMENT AND ORGANIZATION

1.0   Purpose

This Quality Management Plan (QMP) is the guidance the Drinking Water Bureau (DWB) uses to design, document, and implement DWB's Quality Program. The Quality Program includes the process of planning, implementing, and assessing the quality assurance, quality controls, and standard operations within our federally supported programs ensuring environmental information operations products and services are of known and documented quality and adequate for its intended use.

This QMP describes the organizational arrangements, roles, responsibilities, of the DWB Quality Program and documents environmental information operations processes and procedures in recognition of the importance of quality data products and services that supports strategic goals to fulfill our mission to protect, preserve, and improve New Mexico's drinking water quality through compliance of the "Safe Drinking Water Act" and by adopting and implementing quality policies and procedures of the United States Environmental Protection (EPA) agency-wide Quality Program .

1.1   Applicability

The achievement of quality in environmental programs is the responsibility of all DWB personnel, external contractors, and other applicable recipients whose work is directly related to the collection, analysis, and use of environmental data for New Mexico regulatory environmental programs conducted on behalf of EPA, are bound by all or part of the requirements delineated in this QMP as appropriate, and becoming familiar with the contents.

1.2   Quality Statement

The New Mexico Environment Department (NMED) Drinking Water Bureau (DWB) is strongly committed to sound science and Quality Assurance (QA) practices committed to the oversight and requirements for quality management activities within our federally regulated programs and technical activities to ensure the collection of environmental information, production, evaluation, documentation, and assessing work performed by the DWB staff are for carrying out required Quality Assurance/Quality Controls (QA/QC).

The importance of environmental information is critical to environmental planning, and decision-making concerning management of the environment and risk reduction. It is pertinent that decision makers know the origin of environmental information generated by our programs is of quality and use when making these decisions.

The DWB Quality Program policy aims to meet strategic planning and priority goals for quality assurance management for deliverance of safe, clean drinking water a to New Mexico citizens and protection of drinking water systems through prudent compliance of the "Safe Drinking Water Act" and New Mexico "Water Quality Act" drinking water regulations.

The intended use of environmental information will be defined before the collection efforts or other activities begin. As a result, appropriate quality QA/QC measures will be applied to ensure environmental information of a quality commensurate with project objectives. When possible, the potential environmental information quality needs of known secondary users will also be considered when determining data quality objectives. The required level of environmental

information quality, the specific QA/QC activities necessary, and the environmental information acceptance criteria will be explicitly described in the Quality Assurance Project Plans (QAPPs)

In fulfilling our quality statement through established goals and commitment to the quality in environmental programs, contributes to public health and safety, economic development, efficient use of public monies, technical credibility, and a recognition of excellence. The Bureau shall act in accordance and serve with the highest standards of ethics, accountability, efficiency, and responsiveness to the citizens of New Mexico (NM), regulated communities, and personnel by:

- Practice a factual approach to decisions and base decisions on the law, common sense, sound science, and fiscal responsibility.

- Use a system approach to quality management and ensure that regulations are necessary, effective, and apply regulations clearly and consistently.

- Continual improvement and implementation of a Quality Program that guides QA planning and quality control activities for individual projects or programs.

- Ensure consistent, just, and timely enforcement when environmental laws are violated.

- Document, record, and control the change points at each stage to certain data components, necessary for all decision-making in that program, are collected and reported accurately.

- Hire, develop, and retain a high-quality, diverse workforce.

- Create, nurture, and develop personnel competencies, creativity, empowerment, and quality accountability by continuous education and training.

- Ensure meaningful public participation in the decision-making process.

- Promote and foster voluntary compliance with environmental laws and provide flexibility in achieving environmental goals.

- Continual improvement and use of customer and personnel feedback to previous process for enhanced Quality Assurance Standards.

- Provide outstanding service and product quality to achieve our endeavors for long-term success and sustained improvements.

- QA practices and procedures will be implemented in the most cost-effective manner possible without compromising quality.

- Ensure contractors adopt quality assurance through appropriate QAPPs.

The DWB Management Team, which consists of the Bureau Chief and Group Managers, along with the Quality Assurance Coordinator (QAC), is responsible for the implementation of this QMP and oversight of the Quality Program. The QAC will assess the implementation of this QMP annually and provide a report to the DWB Management Team to ensure sufficient resources are dedicated to supporting the QMP and Quality Program. The approval of the QMP by the DWB Management Team represents their commitment to quality management, principles, practices, and resource allocation of the DWB's Quality Program.

The current version of the Quality Management Plan is available electronically at https://www.env.nm.gov/drinking_water/. The Quality Management Plan has been prepared in accordance with the following:

- EPA IT/IM Directive Policy, Directive No. CIO 2105.3 "Environmental Information Policy," (April 10, 2023).

- EPA IT/IM Directive No. CIO 2105-P-01.3 "Environmental Information Quality Procedure" (March 7, 2023).

- EPA IT/IM Directive Standard, Directive No. CIO 2105-S-01.0 "Quality Management Plan Standard," (January 17, 2023).

1.3   Resource Allocation of the Quality Program

All resources decisions allocated to this program are made by the DWB Management Team. An important factor to the success of our quality program is that all DWB staff understand the importance of quality assurance in EIO and utilize resources to further develop development of Bureau-wide QA training and QA training for managers, Supervisors, and Team Leads who develop and maintain project specific QAPPs and Standard Operating Procedures (SOPs) for technical activities in order to provide adequate means to accomplish the goals of the Quality Program.

1.4   Quality Program Structure and Components

Quality in environmental programs contributes to public health and safety, economic development, efficient use of public monies, technical credibility, and a recognition of excellence. The achievement of quality in environmental programs is the responsibility of all the Drinking Water Bureau staff.

The Quality Program includes the process of planning, implementing, and assessing operations to assure that program activities are well planned and designed to address the needs and goals of the individual project, support decisions made on the basis of analytical data, and facilitate the timely identification of problems and implement corrective actions.

DWB quality components, requirements, and specifications for environmental programs and projects, planning and implementation tools, assessment and response activities are established in state and federal statutes. The environmental programs covered under this QMP are implemented according to specifications and instructions contained in grant work plans, contractual agreements, program and project QAPPs, sampling and analysis plans, SOPs, an appropriate Data Quality Objectives (DQO) systematic planning processes are documented in our project specific QAPPs.

Assessments of environmental programs provide the feedback and information used in planning and implementing environmental programs and projects, accreditation of laboratories, and in improving the EIO in quality systems. Part 8 of the QMP specifies procedures for planning assessment of programs, planning considerations, types of assessments, and approval processes that sets forth procedures for conducting QA annual audits and reporting.

1.5   The Departments Quality Program Structure and Organization Charts

The department is a cabinet level regulatory agency of the State of New Mexico. The NMED Cabinet Secretary is nominated by the Governor and oversees the day-to-day operations of the department and responsibilities of Quality Programs reside in the Office of the Secretary.

The Department is divided into four (4) primary environmentally related Divisions and one Administrative Services Division, each of which is managed by Directors and Deputy Directors. The Department also has twenty-one (21) district offices state-wide. Divisions are composed of one or more programmatic areas called Bureaus. Each Bureau is managed by a Bureau Chief that has ultimate responsibility for ensuring that the mission of their Bureau is carried out in accordance with programmatic objectives.

The DWB QAC may work in collaboration with DWB Group Managers, Supervisors, and Team Leads, respectively. The Cabinet Secretary, through delegation of the Water Protection Division (WPD) Director has designated the Drinking Water Bureau Chief to develop and oversee the Quality Program for the Bureau's environmental programs. The Quality Program is organizationally independent of operational programs and activities within the Bureau.

Figure 1-1: NMED – Office of the Secretary Organization Chart

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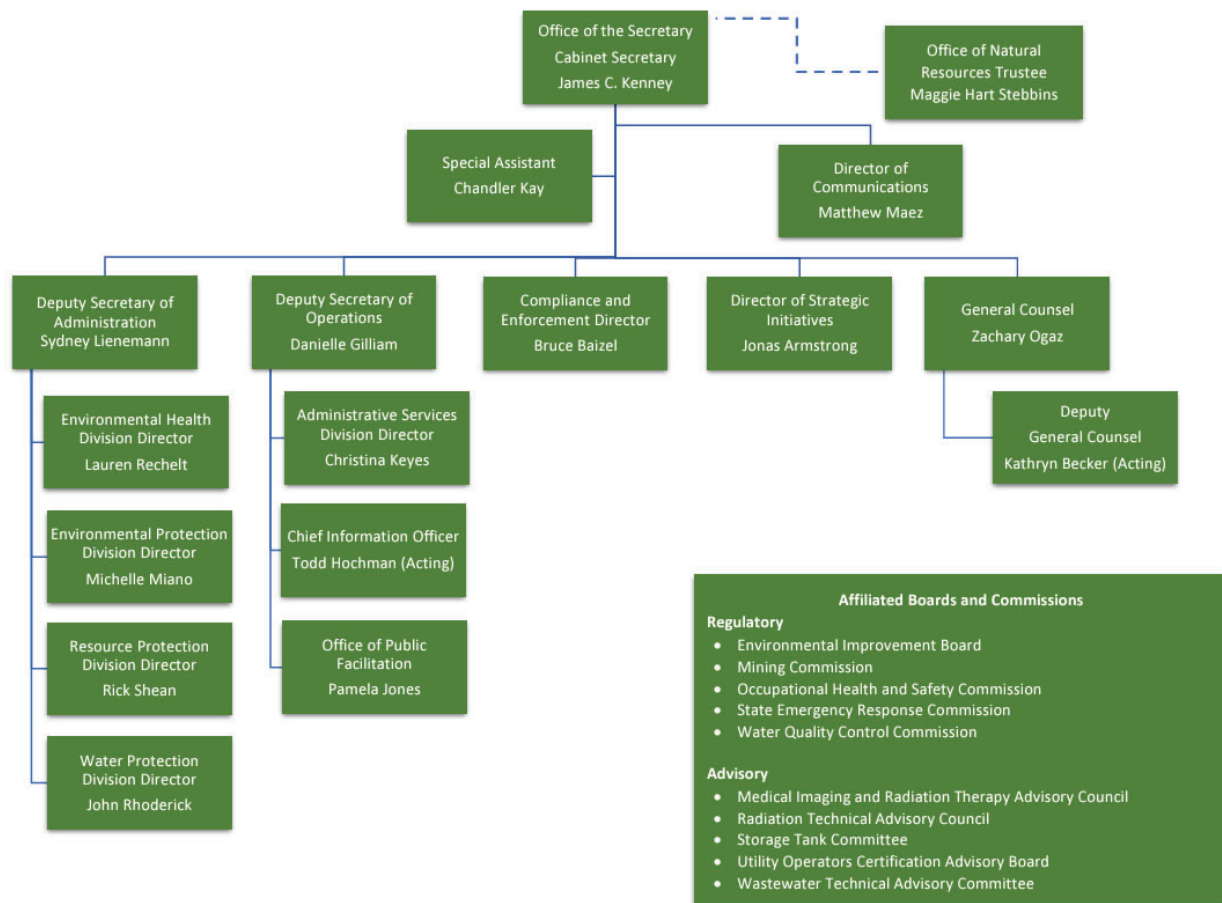
1.6   The Bureau Quality Program Structure and Organization Charts

The Quality Program is organizationally independent of operational programs and activities within the Bureau and has sufficient access and authority to coordinate development and implementation of the agency's quality system. The DWB Management Team has the authority to develop and oversee environmental grants, programs, and projects. The DWB Management Team has access to all work areas and sufficient authority initiate and facilitate solutions to quality problems and to verify the implementation of solutions to problems and implement QA Project Plans (QAPP) within their respected program(s) and/or has designatory authority to assign lead Supervisors or team members from each environmental program to develop QAPPS under the authority of this QMP.

The DWB is within the NMED Water Protection Division, and the Bureau is organized into four (4) Groups:

1.   Program Administrative Group (PAG).
2.   Public Water System Supervision Group (PWSS).
3.   Sustainable Water Infrastructure Group (SWIG).
4.   Water Conservation Fund Group (WCF).

Figure 1-2: Drinking Water Bureau - Quality Program Organization Chart

New Mexico Environment Department
Drinking Water Bureau

Bureau Chief
Joe Martinez
General Manager I
12037-Los Alamos

QA Coordinator
Christina Pilar
Env Sci/Spec O (70)
00047030-Espanola

Public Water System Supervision
Group Manager
Martin Torrez
A/O I Env Sci (85)
12180-Las Cruces

Sustainable Water Infrastructure
Group Manager
Tanya Trujillo
A/O II Env Sci (90)
10101647-Albuquerque

Water Conservation Fund
Group Manager
Bethany Anderson
A/O I Env Sci (85)
12161-Albuquerque

Program Administration Group
Supervisor
Pedro Archuleta
Bus Ops Spec Sup (65)
10106342-Santa Fe

Admin Assistant
Vacant
Ex Sec Adm Asst A (55)
2080103000-Santa Fe

Admin Assistant
Frances Garcia
Ex Sec Adm Asst A (55)
10101444-Santa Fe

Revised: December 12, 2023

Note: This QMP is reviewed annually for content relevance and clarity.

Figure 1-3: Drinking Water Bureau - Public Water Supervision Group
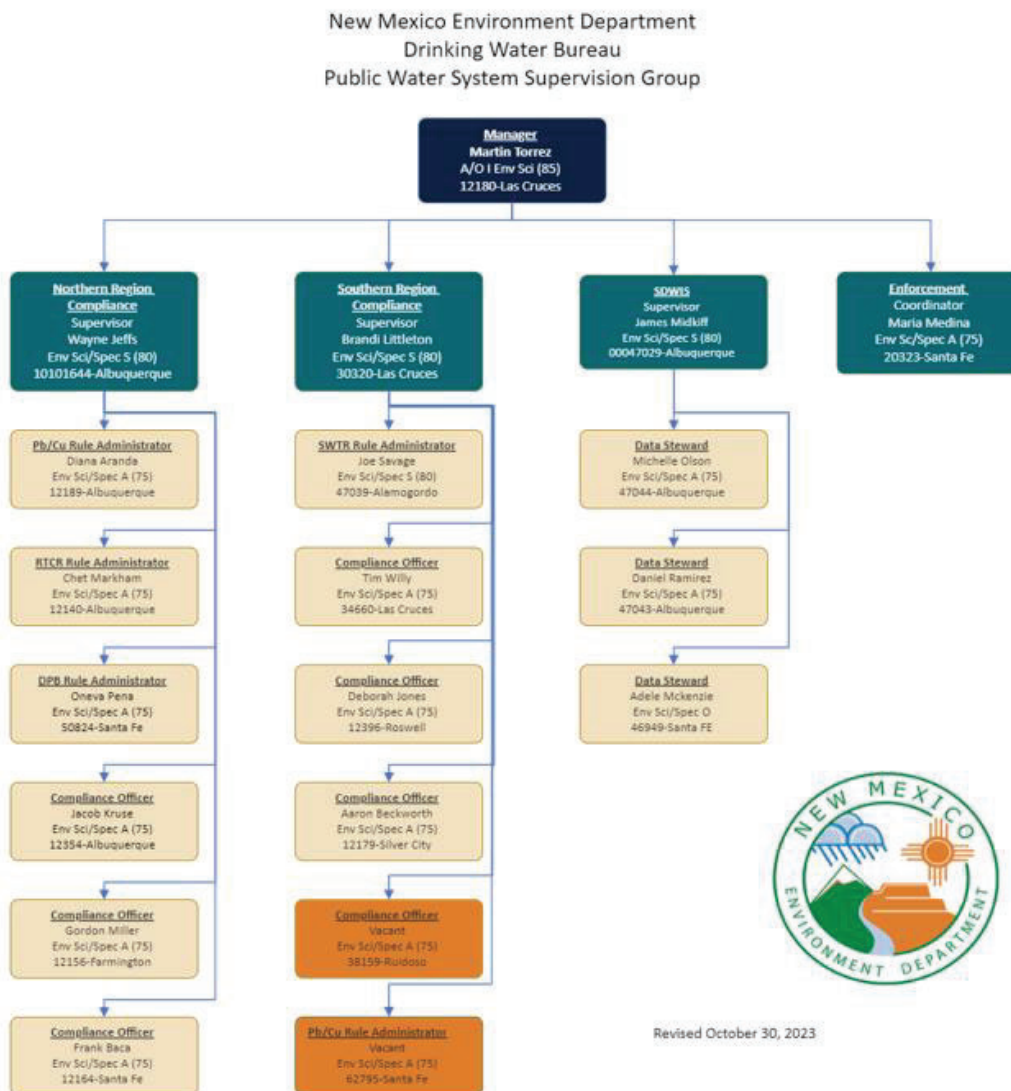
Figure 1-4: Drinking Water Bureau- Sustainable Water Infrastructure Group

New Mexico Environment Department
Drinking Water Bureau
Sustainable Water Infrastructure Group

Revised: October 30, 2023
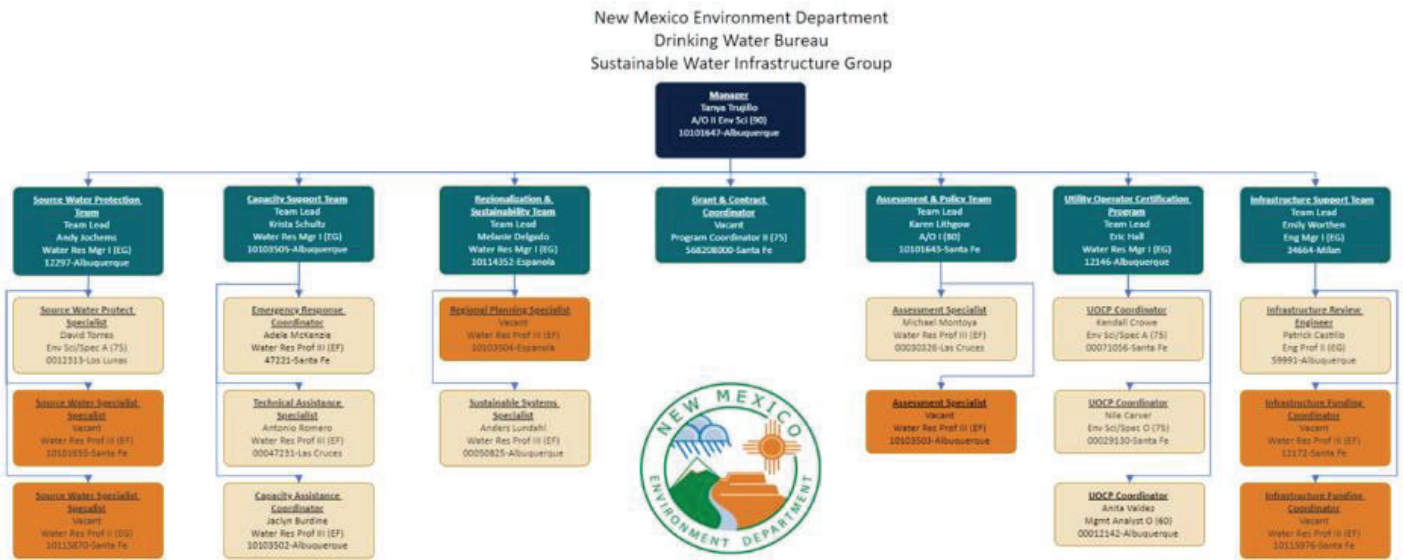
Figure 1-5: Drinking Water Bureau - Water Conservation Fund Group

New Mexico Environment Department
Drinking Water Bureau
Water Conservation Fund Group

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12161
Albuquerque

Laboratory Certification Program

Waiver Program

Coordinator/Sampler
Rocio Galvan
Env Sci/Spec O (70)
10101656-Las Cruces

Chemical Hygiene Program

Lead CHO/Sampler
Scott Hulder
Env Sci/Spec O (70)
10101442-Clovis

GWUDI Program

Coordinator/Sampler
Vacant
Env Sci/Spec O (70)
30321-Santa Fe

Sampler
Valerie Horner-Gonzales
Env Sci/Spec B (65)
51365-Raton

Sampler
Vernon Trujillo
Env Sci/Spec B (65)
12160-Espanola

Sampler
Victoria Delgado
Env Sci/Spec B (65)
49603-Albuquerque

Revised: November 14, 2023

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PART 2: ROLES, RESPONSIBILITIES AND AUTHORITIES

The following sections shall describe the responsibilities and authority of the Quality Assurance Coordinator (QAC) and DWB Management Team.

2.0   Quality Assurance Coordinator

The QAC is selected by, and reports to, the Bureau Chief. The QAC serves fulfills two roles within the Bureau for our federally regulated state programs; 1) serves as the Quality Assurance Officer (QAO) for the Bureau's Quality Program, and 2) serves as the laboratory certifying operations manager for the Drinking Water Laboratory Accreditation Program. The QAC serves as the QAO part-time and has quality management authority, along with DWB's Management Team, for oversight of the Bureau's Quality Program. (EPA, IT/IM Directive No: CIO 2105-S-01.0).

The QAC has the authority and responsibility for conducting assessments of the Bureau's Quality Program. In the case the QAC position becomes vacant, the Bureau Chief, or designee, resumes oversight responsibility for the Quality Program.

The QAC – QA related responsibilities are:

- Oversee and assess the Bureau's Quality Program.

- Maintenance of DWB's Quality Management Plan.

- Maintenance of DWB's Quality Assurance Project Plans.

- Represent DWB on matters pertaining to quality management.

- Provide QA assistance to the DWB Management Team, regulated entities, and the public.

- Provide assistance to staff on QA issues.

- Development and implementation of a Quality Assurance Training Program.

- Document QA related trainings completed by staff.

- Review and/or approve quality management documentation.

- Provide support to staff for operations documents.

- Serve as point of contact for EPA regarding inquiries and submission of this QMP, QAPPs, and the Quality Program.

- Attend Annual EPA Quality Assurance Training (online)

  o   https://www.epa.gov/quality/r6-qa-training

  o   https://www.epa.gov/quality/training-courses-quality-assurance-and-quality-control-activities

- Attend EPA Drinking Water Laboratory Certification Officer Training (In-person)

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- Act as administrative support to the DWB Laboratory Certification Authority

- Development and implementation of an internal DWB audit and assessment program.

- Stay current with all QA state & federal regulations.

- Communicate changes and additions to QA standards, policies, and procedures to affected program areas.

- Ensure quality-related issues are addressed by the appropriate level of agency management.

- Continuously encourage the development and awareness of QA within DWB.

2.1 Senior Management Team

The DWB senior Management Team consists of the Bureau Chief, the Public Water Supply Supervision Manager, the Sustainable Water Infrastructure Group Manager, and the Water Conservation Fund Manager.

The Quality Assurance related roles and responsibilities are assigned to the Bureau Chief, who has executive authority for the Bureau, Managers, Supervisors, Team Leads, QAC, technical/field staff, and any others involved with environmental information operations and implementing the QMP.

Further, the Bureau Chief is assigned specific executive authority designated by the NMED- Cabinet Secretary established within the" New Mexico Environment Department – Office of The Secretary Delegation Order," (effective March 24, 2023).

The Bureau Chief is selected by and reports to the WPD Director/Deputy Director. In the absence of a DW Bureau Chief the WPD Director/Deputy Director shall assume the duties of the Bureau Chief's QA related Roles & Responsibilities.

The Bureau Chief provides policy definition, leadership, and oversight for the Quality Program throughout the Bureau and serves as the overall authority for directing activities in accordance with program policy.

Bureau Chief QA Responsibilities:

- Serves as final authority for all QA program decisions, QA documents, and QA management procedures.
- Serves as the final authority for resolving quality related issues.
- Advocate for the necessary QA training and for resources to support the quality program.
- Ensures deficiencies noted in the quality assurance status report are added to the work plans for resolution.
- Oversees implementation of the QMP and ensures quality assurance management in EIO programs.

Note: This QMP is reviewed annually for content relevance and clarity.

- Signature authority for annual updates of the QMP, QAPP, and Annual QA Program
  Status Report.

2.2   Group Managers

Group Managers are hired by and report to the Bureau Chief. Group Managers are authorized to manage ongoing environmental programs and are accountable for the successful completion of program-related tasks and objectives.

The Group Managers are responsible for the enforcement of the QAPPs for their managed programs. The Group Managers shall meet the responsibilities and duties of the agreed upon outputs presented in EPA assisted programs, grant funding terms & conditions in extramural agreements, contracts, Memorandum of Understanding/Agreements, Voluntary Programs, and QA/QC environmental information operations.

Group Manager QA Responsibilities:

- Supervise technical project staff that define project objectives and data quality requirements, develop work plans, review data, and develop and assess standard procedures

- Develop and initiate execution process for contracts and intergovernmental agreements.

- Review all contracts and agreements to ensure that they conform to generally accepted QA/QC procedures, and all QA/QC requirements mandated by cooperative agreements with federal agencies.

- Advise supervisory staff when program timetables, tasks, and coordination procedures are not being met and provide feedback to Supervisory and personnel as necessary regarding the performance of grant and project management.

- Evaluate and concur with proposed corrective actions and the means by which corrective actions will be documented and verified – as well as receive and maintain assessment records; monitor the implementation of corrective actions.

- Elevate problems and issues requiring resolution to the Bureau Chief for disposition, when appropriate. Recommend to the Bureau Chief if they believe work should be stopped in order to safeguard programmatic objectives, worker safety, public health, or environmental protection.

- Establish and implement acceptance or performance criteria appropriate for the regulations involved during the planning of the project. (These acceptance or performance criteria will be noted in the QAPP and will be used to define data quality requirements).

- Determine the acceptability of all QAPPs submitted by the QAC for their review and approval before implementation.

- As applicable, delegate the development and maintenance of the program SOPs to Supervisors and Team Leaders.

- Determine the acceptability of all QAPPs and SOPs before approval and implementation and assure the overall quality and integrity of all data generated within their programs.

- Provide oversight of all QA related field and laboratory functions. Implementing any changes that were noted in the Quality Assurance Status Report.
- Develop necessary lines of communication and good working relationships between the lead personnel of other divisions, Bureaus, contractors, and organizations participating in a program.

PART 3: PROGRAMS SUPPORTED BY THE QMP

3.0   Programs Supported by the QMP

DWB has implemented a QA program designed to produce the type and quality of data required by EIO programs. Environmental data used in Bureau decision-making will be of known and documented quality and will meet specific program- and project-level requirements.

The QA program includes components that establish requirements and specifications for environmental programs and projects, planning and implementation tools, and assessment and response activities. The environmental programs listed below are implemented according to specifications and instructions contained in grant work plans and contractual agreements, this QMP, program or project QAPPs, SOPs. Programs supported by this QMP are:

Program Administrative Group
1. Administrative Team
2. Financial Team

Public Water System Supervision Group
1. Compliance Team
2. Enforcement Team
3. Safe Drinking Water Information System (SDWIS)

Sustainable Water Infrastructure Group
1. Assessment & Policy Team
2. Capacity Support Team
3. Infrastructure Support Team
4. Regionalization & Sustainability Team
5. Source Water Protection Team
6. Utility Operator Certification Program

Water Conservation Fund Group
1. Sampling Team
2. Chemical Hygiene Program
3. Drinking Water Laboratory Certification Program
4. Ground Water Under the Direct Influence (GWUDI) of Surface Water Program
5. Waiver Program

3.1   Administrative Services Program Technical Activities

Table 3-1: Administrative Services - Program Activities

PAG Program	Activities
Financial/Administrative Section	Oversees the financial functions of the Bureau, including central and field offices; evaluates financial program effectiveness; develops, modifies, and implements operating procedures, fiscal policies, and accounting procedures for funding programs within the DWB. The financial section is responsible for the execution and monitoring of contracts.

3.2   Public Water System Supervision Group Technical Activities

The PWSS Manager, Compliance Supervisors, and Data Team Supervisor are responsible for verifying that all applicable activities comply with the provisions of this QMP and the QAPP for Sanitary Surveys of Public Water Systems.

PWSS Program	Activities
Compliance Group	The compliance group manages compliance activities statewide. Compliance staff are assigned to either the Northern region or the Southern region. Each regional compliance team is led by a Region Team Supervisor that oversees compliance activities. Compliance Officers conduct sanitary surveys, make compliance determinations, issue Notices of Violation, and participate in enforcement and technical assistance activities. The compliance group includes field staff and compliance officers that act as "rule administrators", who are dedicated to managing regulatory compliance of specific federal SDWA rules, including the Revised Lead and Copper Rule (RLCR), Revised Total Coliform Rule (RTCR), Disinfection By-Products Rule (DBPR), Consumer Confidence Report (CCR), and the Surface Water Treatment Rule (SWTR). Rule Administrators oversee compliance for their assigned rules for the entire state.
SDWIS Group	The Safe Drinking Water Information System group is led by the SDWIS Program Supervisor who oversees a team of data stewards. Data stewards ensure that information is properly and consistently entered or uploaded to SDWIS to meet federal reporting regulations. Data stewards also provide support in the approval of lab invoices/statements, ensuring labs are properly paid by the WCF.
Enforcement Group	The enforcement group currently only consists of one Enforcement Coordinator. The Enforcement Coordinator issues and tracks administrative compliance orders, penalties for violations including court ordered compliance and the Enforcement Targeting Tool. The Enforcement Coordinator also serves as the CCR Administrator

Table 3-2: Public Water Supervision Group - Program Activities

3.3   Sustainable Water Infrastructure Group (SWIG) Technical Activities

The SWIG Manager oversees the following six programs:

Table 3-3: Sustainable Water Infrastructure Group - Program Activities

SWIG Group	Activities
Assessment and Policy Program	Provides capacity assessments for new and existing systems; serves as the lead for development of a new risk and needs assessment program; oversees the Sanitary Projects Act (SPA) revision and regulation development and provides guidance for the SPA; conduct surveys of infrastructure needs and rates to help with policy decision; provides board member training
Infrastructure Support's engineering program	Reviews plans for construction projects for new and existing PWS to ensure that they follow the SDWA, America's Water Infrastructure Act (AWIA), and the National Primary Drinking Water Regulations. The team's funding specialist provides guidance to PWS, serves as the subject matter expert for the Drinking Water State Revolving Fund (DWSRF), and co-manages the state's loan program with the New Mexico Finance Authority
Capacity Assistance Program	Works with PWS to develop and maintain system technical, managerial, and financial capacity; provides compliance assistance to PWS; and assists PWS with emergency situations. The team also oversees the Area Wide Optimization Program and helps with development of emergency response and risk/resilience plans.
Source Water Protection Program	Assists water systems with development of source water assessments and protection plans, updates the contaminant source inventory, performs limited studies of potential or existing contaminants including emerging contaminants, conducts NEPA reviews, and helps with climate change resilience plans.
Regionalization and Resiliency Program	Works to promote regionalization projects and collaboration; works with stakeholders to review policy and build support for regionalization. The team also works to assist community water systems with resiliency strategies for dealing with the impacts of climate change and developing long-term plans
Utility Operator Certification Program	Oversees the certification process for all water and wastewater operators including training credits, exams, renewals, and equivalencies. UOCP also ensures that operators follow state utility operator regulations.

Note: This QMP is reviewed annually for content relevance and clarity.

3.4   Water Conservation Fund Group Technical Activities

The DWB Sampling Team is administered under the WCF Group, as it is the Water Conservation Fee that provides funding for compliance monitoring of the public water systems. The DWB Sampling Team has the primary responsibility for collecting drinking water samples for compliance and tracking monitoring schedules; however, various employees within the DWB are certified to collect drinking water samples, if necessary, and all staff must adhere to the requirements to the NMED-DWB QAPP for Drinking Water Samples.

The Group Manager serves as the State of New Mexico Drinking Water Laboratory Certification Program's Certification Authority and oversees the program in its entirety.

The WCF Group also maintains the following programs within DWB: Chemical Hygiene Program, Waiver Program, and the Ground Water Under the Direct Influence (GWUDI) of surface water.

Table 3-4: Water Conservation Fund Group - Program Activities

State Certified DWB Sampling Team	These samplers are responsible for collecting drinking water samples at PWS entry points for compliance with the monitoring requirements of the EPA Standard Monitoring Framework. The GM ensures all compliance samples are taken in accordance with the Safe Drinking Water Act (SDWA) and 20.7.10 New Mexico Administrative Code (NMAC) requirements.
Drinking Water Laboratory Certification Program	The QAC is responsible for the daily administrative operations of the Drinking Water Laboratory Certification Program. Responsibilities include overseeing the application process from beginning to end, Point of contact for laboratories assistance, inquiries. Performs data entry, evaluation, and maintains the program's microbiological and chemical laboratories tracking logs and Proficiency Testing database.
Chemical Hygiene Program	The Chemical Hygiene Plan for NMED Drinking Water Bureau field office laboratories are maintained and enforced by the lead Chemical Hygiene Officer (DWB sampler) and the WCF Manager. Each DWB field office laboratory has an assigned Chemical Hygiene Officer (DWB sampler) who is responsible for ensuring the maintenance and implementation of this plan.
Waiver Program	To minimize costs of collection and analysis, DWB has established a chemical waiver program guided by the "Vulnerability Assessment Guidance Manual" completed in 1994. Chemical waivers minimize costs in cases where it has been established that no harm to the source water quality or public health exists.
GWUDI Program	Ground Water Under the Direct Influence of surface water occurs when the groundwater source receives direct surface water recharge. This could lead to contamination of groundwater from surface water pathogens, which are usually not found in true groundwaters. DWB uses this program to identify sources vulnerable to direct surface water influence.

PART 4: COMPLIANCE WITH POLICIES PROCEUDURES STANDARDS, AND REGULATIONS

4.0   EPA Policies, Procedures, Standards, and Regulations Related to the QMP

The following EPA policies, procedures, standards, and regulations pertinent to the EIO and are mandatory of our quality program. These citations are valid at the time this QMP was developed. Since these documents are subject to periodic review, users of this Policy should refer to the most recent version. The QAC will review and update active links within the QMP on a quarterly basis.

Federal Regulations:

- 5 U.S.C. App.; Pub. L. 98–80, 84 Stat. 2086 (Reorganization Plan No. 3 of 1970 - Appendix)
- 42 U.S.C. § 300f–300j, Safe Drinking Water Act.
- 2 CFR Part 1500: "Performance and Financial Monitoring and Reporting"
- 2 CFR Part 1500: Uniform Administrative Requirements ... "Performance and Financial Monitoring and Reporting"
- 2 CFR Part 1500.12: "Uniform Administration Requirements, Cost Principles and Audit Requirements for Federal Awards, Quality Assurance"
- 40 CFR Part 35: Regulations for state and local assistance provided through EPA grants
- 40 CFR Part 142: "Requirements for State Primacy"
- 48 CFR Part 36:" Quality Assurance"
- 40 CFR Part 49: "Tribal Authority Rule"
- 48 CFR Part 56: "Quality Assurance for Contracts"
- National Technology Transfer and Advancement Act, (PL 104-113)
- Clinger-Cohen Act of 1996 (PL 104-106)
- 1-41. Mandatory Quality Program Delegation 1200 TN 496 1-41
- Office of Management and Budget Circular A-130, Managing Information as a Strategic Resource
- 1-41. Mandatory Quality Program Delegation 1200 TN 496 1-41
- Office of Management and Budget Circular A-130, Managing Information as a Strategic Resource

EPA Policy:

- EPA: Environmental Information Quality Policy
- U.S. EPA Scientific Integrity Policy
- Enterprise Architecture Policy
- Data Standards Policy
- CIO 2137.1 *Unmanned Aircraft Systems (UAS) Policy*

EPA Procedures:

- Environmental Information Quality Procedure CIO 2105-P-01.3
- EPA QA Field Activities Procedure CIO 2105-P-02.0

Note: This QMP is reviewed annually for content relevance and clarity.

- Enterprise Architecture IT Standards Procedure EPA CIO 2122-P-03.1
- Quality Management Plan Standard Directive No: CIO 2105-S-01.0
- EPA QA Field Activities Procedure CIO 2105-P-02.0
- EPA QA/R-5, EPA Requirements for Quality Assurance Project Plans

QMP Related Guidance:

- EPA: Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by the Environmental Protection Agency
- EPA: Scientific Integrity Policy
- American National Standard ASQ/ANSI E4:2014 (R2019): *Quality Management Systems for Environmental Information and Technology Programs – Requirements with Guidance for Use* (May 2019).
- Federal Register Notice on "Revisions to State Primacy Requirements to Implement Safe Drinking Water Act Amendments; Final Rule"
- EPA Solicitation Clauses
- EPA requirements and guidance documents may be viewed from the EPA QA website at www.epa.gov/quality.

4.1 State of New Mexico Codes and Regulations Related to the QMP

- "Water Quality Act" (NMSA 1978, §§ 74-6-1 to 74-6-17)
- "Sanitary Projects Act" (NMSA 1978, §§ 3-29-1 through 3-29-21)
- Section 9.7A.11 (NMSA 1978) "Cooperation with the federal government; authority of secretary; single state agency status."
- Section 74-1-13 (NMSA 1978) "Compliance with the federal Safe Drinking Water Act"
- Section 6-21A-1 (NMSA 1978) "Drinking Water State Revolving Loan Fund"
- Section 61-33-1 (NMSA 1978) ""Utility Operators Certification Act""
- Section 20.7.10 (NMAC) "Applications for Public Water System Project Approval, J. (3) - QA/QC plan"

4.2 QA Field Activities

Field procedures are documented in the following QAPPs the procedures, enhances, and facilitates sample tracking, standardizes data entries, and identifies and establishes authenticity of the data collected. All field records shall be generated and stored as specified in project specific QAPPs and SOPs. The following QAPPs are active for DWB projects:

- Quality Assurance Project Plan (QAPP) for Drinking Water Samples - All drinking water sampling activities performed by NMED DWB samplers and Public Water System certified operators are covered within this QAPP.

- Quality Assurance Project Plan (QAPP) for Sanitary Surveys of Public Water Systems - All sanitary survey activities performed by NMED DWB staff or contractors are covered within this QAPP.

Proper field documentation ensures that essential and required information is consistently acquired and preserved. Documentation of field activities, and chain-of-custody are

done in accordance with EPA QA Field Activities Procedure CIO 2105-P-02.0 to ensure DWB field staff and contractors have QA/QC procedures that include documentation for the following:

- Personnel and Training
- Document Control
- Records Management
- Sampling and Environmental Data Management
- Field Documentation
- Field Equipment
- Field Inspection and Investigations
- Reports
- Internal Audits
- Corrective Action

4.3   Computer Software and Hardware

The Drinking Water Bureau DWB is committed to ensuring that computer hardware, software, and networks used to manage data for environmental programs shall be controlled for reliable stewardship of the data. The Bureau complies with *EPA CIO 2122-P-03.1 Enterprise Architecture IT Standards Procedure,* EPA *CIO 2104.1 IT/IM Directive Policy Software Management and Piracy Policy, EPA CIO 2104-P-01-0 Software Management and Piracy Procedure, and the "State Cybersecurity Act, NMSA 1978"* applies to all executive agencies, state entities, contractors and subcontractors and meets specific grant terms and conditions for cyber security under 2 CFR 200.331(d).

The NMED Office of Information Technology (OIT) is the Department IT Division responsible for information technology systems, software and hardware that enable automation of the department's mission critical business processes while supporting day-to-day operations for existing systems, databases, networks, telecommunications, and cybersecurity for the Department. The OIT groups that support this QMP are as follows:

- **The Office of the CIO Group** – provides support to the program Bureaus for collaborative development of scopes of work for IT contracts as well as administrative and project management services for IT federal grants awarded through the EPA.

- **The Solutions Group** – is responsible for delivering modern digital technologies to drive the business of the department. Sections in this group are the Web Solutions Section, Application Development Section, and the Geospatial Information Systems Section

- **The Web Solutions Section** – is responsible for delivering publicly available content through our website and incorporating web tools for public use.

- **The Applications Development Section** – is responsible for Tier 2 Support for the vast majority of existing NMED data-driven web applications. The Applications Section also directly supervises Contracted Application Development underway for Bureaus and programs via staff augmentation and works with Full-Service Development Vendors to ensure that NMED technical standards are observed. Applications Section provides data reporting services across all NMED applications and is currently endeavoring to create an

API library to facilitate access to public NMED data. The Applications Section also has responsibility for streamlining and modernizing application development processes and procedures for both contracted and in-house development.

- **The Geographic Information Systems (GIS) Section** – is responsible for procuring licensing of GIS software and software support, assisting media Bureaus (air, soils, water) with obtaining and sharing data, both internally and with the public via web maps and mobile apps, creation of GIS standards, and consultation with geoscientists on best practices regarding GIS on projects and requests for proposals.

- **The Operations Group** – is responsible for client and application support, and technology infrastructure for NMED. Sections in this group are the Network and Systems Section, the Data Management Section, and the Client Support Section.

- **The Network and Systems Section** – is responsible for the network and server computing infrastructure for NMED.

- **The Data Management Section** – is responsible for the operation, maintenance, and safeguarding of the department-wide database management systems.

- **The Client Support Section** – is responsible for first level support for all department PCs, printers and copiers, desktop software, network troubleshooting, managing user access, and managing telecommunications requests.

Authorities

- "Department of Information Technology Act".(NMSA 1978): Chapter 13 - Executive Department Article 27 – Department of Information Technology, §9-27-1 through 9-27-27-1.

- "Cybersecurity Act". (NMSA 1978): Chapter 13 - Executive Department Article 27A – Cybersecurity, §9-27A-1 through §9-27A-5.

- **New Mexico Administrative Code (NMAC)** Title 1 General Government Administration, Chater 12 – Information Technology Part 1 through Part 21. Part 21 defines the state's rules as to set forth provisions that apply to all rules adopted by the information technology commission and describes information security operations and management.

PART 5: COMPETENCY DEMONSTRATION AND PERSONNEL TRAINING

5.0   Competency Demonstration

The Drinking Water Bureau's program includes a statement of competency in its grant work plan and in program/project QA documents. The Bureau maintains records of current organizational charts and position descriptions for applicable DWB staff, contractors, and subcontractors, along with major responsibilities and qualifications and active participation in QA/QC requirements associations with DWB and documented in QA, staff, and contractor/subcontractor files.

DWB recognizes that its most valuable resource is its employees. DWB is committed to hiring well-qualified employees and supporting their training and development so that DWB has confident, highly qualified staff that are effective and work as an efficient team to meet the goals and objectives of DWB's programs.

Note: This QMP is reviewed annually for content relevance and clarity.

The Department and DWB prepare functional job descriptions for each DWB position that describes in a brief job description statement; a list of the essential job functions and the percentage of time devoted to each function; physical and environmental demands and hazards; and cognitive, communication, and other job- related demands ensuring proper classification, Fair Labor Standards Act (FLSA) designation, and American Disabilities Act (ADA) accommodations. The NMED Human Resources Division (HRD) reviews, approves, and maintains the job descriptions.

The NM State Personnel Office (SPO) provides general qualification guidelines for all state job classifications. These guidelines are used in developing and establishing minimal qualifications through collaborative efforts of the Bureau and the NMED Human Resources Division (HRD). Each job description specifies minimal requirements which establish educational requirements, work experience, applicable required licenses, skills, knowledge, and other requirements specific to individual job classifications.

5.1   Personnel Training

The DWB Management Team is responsible for ensuring that personnel meet the minimum qualifications specified for a position whenever a new employee is hired and overseeing that all personnel receive appropriate training, workshops, or other informative events applicable to their job description and position. Managers encourage employees to seek out and attend training courses. Supervisor approval is required prior to attending any such events and is subject to available resources. Standard Operating Procedures (SOPs) are developed by each Program and implemented through routine training provided by Supervisors for primary programmatic decision-making processes.

Training needs are determined annually on a Bureau-wide basis through a "needs" assessment process and on an individual basis by the DWB Management Team in consultation with employees. Training needs are based on a variety of factors, including data collected from the Bureau's workforce plan, succession plans, statutory requirements, management directives, position requirements, related SOPs, QAPPs, and the employee development plans as part of an employee's appraisal.

The QAC is responsible for documenting the completion of training requirements and information pertaining to attendance and completion is maintained in as part of the performance management. Employee annual appraisal evaluation identifies training and developmental needs to enhance or improve an employee's current performance and to enhance knowledge and future opportunities for the employee.

All DWB staff who perform EIO are highly encouraged to complete EPA R6 - QA Training for Non-EPA R6 Employees. Additional training needs may be specified in QAPPs, and types of training can include courses from core curricula and/or technical, QA, operational, general work skills, employee development, leadership, and management development categories.

PART 6: PROCUREMENT OF ITEMS AND SERVICES

The Bureau is committed to ensuring all procurements of items and services shall be controlled and documented to ensure conformance with specified requirements and specifications will be included or referenced in procurement documents. The acceptability of

Note: This QMP is reviewed annually for content relevance and clarity.

purchased items and services will be verified and documented. Governing grants and contracts are documented in the DWB QAPPs.

DWB follows procurement procedures in accordance with the New Mexico Procurement Code, Chapter 13, §13-1-28 through §13-1-999 [1978] purpose of the procurement code is to provide for the fair and equal treatment of all persons involved in public procurement, to maximize the purchasing value of public funds and to provide safeguards for maintaining a procurement system of quality and EIO integrity for applicable extramural agreements, contracts, assistance agreements, interagency agreements, memorandum of understanding, and other cooperative agreements.

The Bureau's financial manager and financial staff oversees the Bureau's financial and purchasing needs, internal procedures for personnel travel, contracts, and accounts payable. The DWB financial manager reviews and approves procurement documents before vetting through/to appropriate internal and external purchasing and procurement approval process.

Multiple processes and levels of approval are used to assure the quality of procured products and the quality and integrity of the procurement process. For all procurements, if there are quality requirements or if the product will influence the quality of environmental programs or data, the QAC should be consulted.

In addition to the product or service required, the dollar value of the procurement will dictate the handling   Procurements are handled at three levels, each with its own process and authorizations. They are small purchases, informal purchases (non-competitive process), and formal purchases (competitive process).

6.0   Competitive Sealed Bids

Formal purchases require procurements be done through a competitive process using one of the following:

- Invitation to Bid (ITB) – require the State Purchasing Division to conduct the procurement through formal sealed bids (NMAC 1.4.1.16, et seq)

- Request for Proposal (RFP) for general services/goods – the State Purchasing Division conducts the procurement through formal sealed bids for general services/goods are mixed with professional services.

- RFPs for purely professional services –NMED conducts the procurement through formal sealed bids and oversees the RFP process for professional services in accordance with the NM Procurement Code for competitive sealed bids §§ 13-1-102 - 13-1-122, NMSA 1978) State Procurement Code Regulations (NMAC 1.4.1.32, et seq).

6.1   Evaluation of Bids and Proposals

ITB solicitation is managed by the General Services Division (GSD) – State Purchasing Department (SPD). Bid Evaluations are reviewed by the DWB Management Team. The Bureau Financial Manager will send SPD the DWB Management Team's response with recommendations of bids received. Successful bidders are awarded a contract(s) through an agency specific price agreement managed by SPD and contracts have options to renew annually for up to four years.

Note: This QMP is reviewed annually for content relevance and clarity.

RFP solicitation is managed by the NMED Procurement Officer, or designee. The technical evaluation of a RFP, the proposals submitted, and any resulting contract documents are conducted by an evaluation committee to ensure that they are complete and accurate; clearly describe the services needed; describe the associated technical and quality requirements; describe the quality system elements for which the supplier is responsible; and provide for verification of the supplier's conformance to quality requirements. Proposal questions are reviewed by the DWB Management Team for responses, evaluation committee makes recommendations for successful proposals and professional contract process proceeds. The GSD Contracts Review board will review professional service contracts before forwarding them to the NM Department of Finance for contract finalization.

6.2   Procurement Documents

All procurements are defined in writing in one or more procurement documents (such as purchase orders, invitations for bid, requests for proposals, and procurement contracts). These documents specify tasks and product specifications and technical, quality, administrative, and other requirements. All procurements are approved prior to issuance. Approval requirements vary depending on the nature and cost of the item or service being purchased.

QA related documents must ensure adequate quality and, to the extent necessary, require suppliers, contractors, and subcontractors to have QA programs consistent with the DWB Quality Program and project. The DWB Management Team shall review EPA extramural agreements and ensure all specific quality related requirements and agreement required clauses are included within contracts, agreements, and other necessary procurement documents.

6.3   Acceptance of Items and Services

Items and services received from suppliers are evaluated upon delivery against acceptance criteria contained in procurement documents. The DWB Management Team determines whether acceptance of service deliverables criteria have been met and whether services are adequate and appropriate for use. Supplier deliverables requirements of the Bureau are listed within awarded contracts the scope of work.

Items and services that do not meet acceptance criteria are not accepted for use. Corrective actions are initiated in accordance with state statutes, contract provisions, and the Department's procurement procedures. Corrective actions may range from repair or replacement of defective deliverables to stop work order and/or request to re-award procurements.

6.4   Procurement Technical Requirements

Technical requirements are determined by the DWB Management Team, Supervisors, and Team Leads, or designee(s), and technical requirements shall be included in procurement documents and contracts when applicable. Purchases of information technology products and services are also reviewed and approved by NMED- Office of Information Technology (OIT) and/or DoIT when purchase amount meets the DoIT purchase threshold.

Note: This QMP is reviewed annually for content relevance and clarity.

6.5 Procurement Quality Assurance Requirements

QA requirements are determined by DWB Management Team, Supervisors, and Team Leads, or designee(s), with the assistance of the Grants management section, NMED general counsel, Chief Procurement Officer, contract staff, and QAC. QA related documents must ensure adequate quality and, to the extent necessary, require suppliers, contractors, and subcontractors to have QA programs consistent with the DWB program and project. The QAC, when applicable, may be required to be participate the procurement process for both pre-solicitation and post-award phases for all contracts, technical evaluations of contracts, and where quality requirements apply (EIO). The QAC shall review program grant agreements, work, plans and ensure specific required terms and conditions are within contracts and related QA documents when appropriate.

6.6 Procurement Process Summary

Table 6-1: Types of Procurement

Type of Purchase/ Services	Procurement Description	Monetary Values	Approving Agency			Procurement Documentation & Process
			NMED	GSD-SPD CRB	DFA	
Tangle Goods (Items) & General Services	Small Purchases for non-professional services, construction, or tangible goods (NMAC 1.4.1.50)	$5K - $20K	X	X	X	DPO, 2 Quotes, best attainable price (NMAC 1.4.1.7).
Tangible Goods and General Services	Small Purchases for non-professional services, construction, or tangible goods (NMAC 1.4.1.50)	$20K - $60K	X	X	X	DPO 3 Quotes, best obtainable price or ITB competitive process, agency PA are awarded contracts 4 renewal terms (NMAC 1.4.1.16).
Tangle Goods (Items) & General Services	Competitive Sealed Bid Process	>$60K		X		ITB (NMAC 1.4.1.16). or RFP (NMAC 1.4.1.31**)** process if some professional services are required
Professional Services	Small Professional Services Contract	$5K - $60K	X	X (CRB)	X	Must be awarded via contract, 3 quotes. Contract is valid for 1 year.
Professional Services	Competitive Sealed Bid Process	≥ S60K	X	X (CRB)	X	RFP successful bidders are awarded contracts

						with terms up to 4 years.
Professional or General Services	Memorandum of Agreement (MOA)	Unlimited	X	X	X	Inter-agency mutual agreement between NM state agencies or between state agency and federal agency.
Professional or General Services	Memorandum of Understanding (MOU)	No money exchanged	X			Inter-agency mutual agreement between NMs state agencies or between state agency and federal agency.

6.7   Procurement Authority and Guidance

DWB procurements are governed by the following:

- New Mexico Statutes Annotated 1978 (NMSA 1978): Title 1, Chapter 13 Public Purchases and Property, Article 1 – Procurement, §13-1-28 through §13-1-999. Short tile: "Procurement Code"

- New Mexico Administrative Codes (NMAC): Title I General Government Administration , Chapter 4 – State Procurement, Part 1 Procurement Code Regulations.

- New Mexico Administrative Codes (NMAC): Title 1 General Government Administration, Chapter 4 Public Finance, Part 10 – Governing Approval of Contracts for the Purchase of Professional Services.

- New Mexico Department of Finance & Administration (DFA) - Fiscal Year "Manual of Model Accounting Practices," section FIN-4 Purchasing. Short Title – NM DFA - MAPS. The Financial Control Division (FCD) of the New Mexico Department of Finance and Administration was created by NMSA 1978, §6-5-1 as amended. FCD prescribes procedures, policies, and processing documents for use by state agencies in connection with fiscal matters. MAPs are required to be followed by all state agencies (NMSA 1978, §6-5-1 through §6-5-6).

- New Mexico General Services Department (GSD) – State Purchasing Division (SPD). The GSD-SPD is focused on providing cost-effective products and services through competitive, open, and transparent purchases. Statewide Pricing Agreements and cooperative contracts are made available for use by NM Governmental entities through Invitation to Bid (ITB) and Requests for proposals (RFP).

- New Mexico General Services Department (GSD) – Contracts Review Bureau (CRB). The CRB responsibility is the review of contracts for professional services with state agencies s and ensures form, legal sufficiency, and budget as to compliance with DFA fiscal rules and policies and GSD procurement rules, regulations, and policies.

- New Mexico Department of Information Technology (DoIT) – IT Procurement, Contract, and RFP Procedural Guidance. IT Procurement, Contract, and RFP Procedural Guidance. The DoIT is the Contract, and authority for the state's IT professional service contracts and IT purchases and/or leases for software/hardware which exceed $20,000.00.

PART 7: DOCUMENT AND RECORD PROCESSES

The QAC reviews the QMP and the program QAPPs and is responsible for tracking and maintaining other quality program related documents and records. The QMP final content decision and approval is the responsibility of the DWB Management Team. QAPPs are approved and signed by the Group Manager of the group that QAPP applies to and the Bureau Chief. The QMP and QAPPs are reviewed annually and revised as necessary.

After review and approval, signed copies of the QMP and QAPP are provided to EPA for review and approval. Upon approval by EPA, the QAC distributes the document to those listed on the distribution list and requires everyone to complete and sign an acknowledgement statement indicating that they have received the document and that it is their responsibility to understand and adhere to the requirements included in the document.

Any DWB staff member can propose a policy, procedure or guidance for documentation or revision and will coordinate its first draft. These documents will be developed with input and feedback from all applicable staff within the Bureau. First draft documents are referred to the QAC for tracking and formatting, review, and non-technical edits. First drafts are reviewed and edited by the originating staff member and the QAC until the primary Group Manager approves the draft. If applicable they will go to the Bureau Chief for final review/approval. The exception to this is policies. A policy draft is sent first to the Office of General Counsel (OGC) (using legal request memo) for review and approval. Once approved by OGC, a policy then goes to the Division Director for review and final approval.

All approved operations documents are filed in the appropriate folder on the DWB SharePoint page and/or the Electronic Central File. Approved documents will have approval signatures with dates. Older versions of approved documents will be kept in an archive folder for reference.

Documents that specify requirements, procedures, and instructions affecting the quality of environmental programs shall be adequate for the intended purpose and shall be controlled. QA records will be produced, controlled, and maintained to reflect the achievement of the required quality for completed work and to fulfill statutory, regulatory, and contractual requirements. Records produced by the Bureau and maintained as official records of the State of New Mexico are documented in the agency Records Retention Schedule.

7.0   Quality Assurance Documents.

QA records are items that furnish objective evidence of the quality of items or of activities that have been verified and authenticated as technically complete and correct Documents that

specify quality-related requirements and instructions may include, but are not limited to, the following:

- QAPPs.
- SOPs that incorporate specific QA procedures in EIO programs/projects.
- Program guidance documents
- Grant work plans
- Contracts
- Data management plans
- QA records may also include, when applicable, program/project correspondence, photographs, forms, completed, reports, and electronically recorded data.

The DWB Management Team shall maintain QA records relating to their respective projects and ensure that shall specify the location of and procedures for identifying, verifying, authenticating, handling, retaining, and disposing of these records and shall also be maintained an up-to-date listing of all types of QA records relating to their respective areas of responsibility.

Table 7-1: Drinking Water Bureau - DWB Records Repositories

Common Name	Location	Description
Central Files <u>also</u> <u>referred to as</u> Drinking Water Program Files (hard copy)	DWB Main Office - Santa Fe	Quality system documents prior to 2014. All official documents such as records associated with compliance and enforcement, sanitary surveys, capacity development, source water assessments, etc. and all related correspondence prior to 2014. Original hard copies of *Plans and Specifications* records and maps, etc. prior to 2014. All paper copies of drinking water compliance sample chemical analyses results. DWB is initiating a process to have these files sent to the State Archives.
Oversight Files (hard copy)	Area Offices	All original correspondence not associated with primary drinking water categories is retained in the Central Files. DWB is initiating a process to have these files sent to the State Archives.
SDWIS	Electronic database maintained by DWB Staff throughout state	Electronic repository for information specific to individual PWS such as board and operator contact information, inventory information, and information pertaining to monitoring and compliance schedules, violations, and any enforcement or assistance actions.
CERTMAN	Electronic database	Electronic repository for information specific to individual certified water and wastewater operators in New Mexico.

Note: This QMP is reviewed annually for content relevance and clarity.

	maintained by DWB	Dataset includes application, contact, payment, approved training courses and credits for each operator, testing grades and assigned system information.
DWB Board Training Database	Electronic database maintained by DWB	Electronic repository for information specific to individual board members and utility managers. Dataset includes approved training courses and credits for each board member or manager, board member contact and assigned system information.
DWB Sample Collection Application	Electronic application maintained by NMED IT Department and SDWIS Team throughout state	Web-based tool that is updated from the SDWIS database daily. Once registered with a password and assigned to a water system sample collectors and PWS operators can view the compliance sample schedules assigned to the water system and automatically prepare a *Sample Request Form* for any lab that DWB has on contract with all of the proper demographic information pulled from SDWIS to minimize any errors.
DWB SWIM Portal Application	Electronic application maintained by NMED IT and the SWIG Community Services Team	Web based tool that allows interested entities to submit a project interest form to request assistance with water infrastructure project funding. This app's current uses include email notifications to staff, project and contact data storage and has report generation abilities.
DWB Shared Folders/ Electronic Central File by Water System	NMED network	Electronic repository of documents for public water systems and all programs after 2014.Quality System Documents including QAC and QAPPs after 2014.

7.1   Official State Records and Record Retention Schedules

As a condition of primary enforcement responsibility, 40 CFR 142.14 requires states have specific record retention periods for all documents, including those generated and/or stored electronically.

Retention and Disposition Public Records (1.21.2 NMAC) designates specific retention periods for all documents considered public records under "The Inspection of Public Records Act" Section 14-2-1 NMSA 1978. In addition, Management of Electronic Records, 1.13.3 NMAC; Public Records, 1.13.10 NMAC; Disposition of Public Records and Non-Records,1.13.30 NMAC require that state agencies have procedures in place to address document management, protection, retention, and disposal. DWB will retain all records in accordance with, or longer than, the specific requirements as outlined in 40 CFR 142.14 and/or 1.21.2 NMAC.

DWB must maintain records of tests, measurements, analyses, decisions, and determinations performed on public water systems to determine and document compliance with federal and state drinking water regulations. Public records shall be maintained in their original format (paper/digital) and all original records may be digitalized once a plan has been approved

Note: This QMP is reviewed annually for content relevance and clarity.

by the state records administrator. The DWB Management Team and QAC shall ensure identification, verification, authentication, handling, retention, and disposition of documents and records needed to safeguard the legal and financial rights of the State of New Mexico and any person directly affected by activities of DWB including fulfillment of statutory, regulatory, and contractual requirements for environmental programs are procedures fulfilling record requirements implemented. Records produced by DWB and maintained as official records of the State of New Mexico are documented in the agency Records Retention Schedule.

Table 7-2: Drinking Water Bureau - Record Retention Schedule

DWB Records Description	DWB Record Retention Time
All public water system information and records of decision, including but not limited to inventory records, inspection/survey reports; compliance determinations; general correspondence; system complaints, assistance requests; construction application submittals; and enforcement actions.	Permanent; archive 5 years from date of system inactivation. Can dispose of full system records only if the system is permanently inactivated.
Compliance data	10 years from date of applicable compliance period.
Utility Operator Licensure Information	10 years from date individual is no longer certified.
Financial Records	3 years from closing of file or applicable financial timeframe, i.e., grant period or state fiscal year.
Contracts/Agreements	6 years from termination date.
Program Records	Retain annual grant/program summary reports as permanent, otherwise, 5 years from closing of file or applicable financial timeframe, i.e., grant period or state fiscal year.
Employee Personnel and Training Files	3 years after separation of employment.
Operations Documents	Permanent; archive 1 year from date superseded or obsolete.
Laboratory Certification Records	5 years from date of file closure.

PART 8: PLAN, DO, CHECK, ACT (PDCA) QUALITY MODEL

8.0 Program Planning

Requirements for the Bureau's environmental operations are planned in accordance with state and federal laws and rules, agency policies and procedures, and extramural agreement requirements.

Organizational and programmatic requirements concerning environmental programs are defined state and federal drinking water regulations, policies, and procedures. These regulations are the primary planning tool used by DWB to determine goals and define needs and expectations for environmental programs implemented by the Bureau.

Note: This QMP is reviewed annually for content relevance and clarity.

Environmental programs and projects are planned through the development of the Bureau's strategic plan and budgets, Drinking Water State Revolving Loan Fund Intended Use Plan (IUP), grant work plans, grant work plans, QAPPs, quality assessment plans, SOPs, Safe Drinking Water Information System (SDWIS), and contracts executed by DWB. These documents implement a systematic planning process. external organizations into measurable specifications and performance criteria.

8.1   Project Planning

Projects that generate, acquire, and use environmental data are planned and developed through QAPPs and SOPs that are structured to provide a planning process that is aligned with regulatory requirements, associated data collection schedules, policies, guidance documents, and clearly identify participant roles and responsibilities including specific tasks.

- QAPPs: The QAC prepares, reviews, maintains and revises EPA approved QAPPs. The Group Managers participate during the review process to ensure that procedures and policies are current and appropriate to meet program requirements provide clear project goals, objectives, and the procedures used to implement DWB programs as well as define the process for quality assessments. QAPPs conform to requirements contained in *EPA Requirements for Quality Assurance Project Plans*, EPA QA/R-5. Other project planning documents will conform to program requirements which include adherence to the principles of EPA QA/R-5.

- SDWIS streamlines planning by maintaining sampling schedules, monitoring, and reporting requirements, compliance deadlines, and other information important to planning and implementing DWB programs for each of the approximately 1,084 active public water systems regulated by DWB in New Mexico.

- Environmental data collection operations and work activities are planned according to EPA's data quality objectives (DQO) process and are documented in quality assurance project plans to ensure that the work processes are implemented as planned and in accordance with the established quality system,

- Project SOPs: Are developed by programmatic staff and approved by Group Managers according to specific program requirements and procedures and must be produced in accordance with established document control procedures. SOPs for collection, analysis, and validation of environmental data developed in accordance with program requirements, are reviewed, and revised during the term of the approved QAPP.

  Revisions to SOPs are made as necessary and reviewed in the same manner as new SOPs or as specified in other procedures. New SOPs and revisions to existing SOPs are uniquely identified. Each new SOP (and revision of an existing SOP) must be approved, prior to issuance by the appropriate Group Manager. SOPs will conform to *Guidance for Preparing Standard Operating Procedures (SOPs) for Quality-Related Documents* (EPA QA/G-6) as applicable.

8.2   Do (Implementation)

The DWB Quality Program is decentralized, and individual programs are responsible for ensuring program elements of the QMP are being addressed at each level. One mechanism to

address the integrity of the QA system is to conduct program assessments that are conducted at the program level. Program assessments should be conducted by the QAC at least annually where program instituted quality assurance procedures are evaluated and compared to the DWB QMP.

Environmental programs shall be conducted so as to ensure that customer needs and requirements are met, and products and results are produced in a timely manner. Environmental programs conducted by or on behalf of DWB shall be implemented in accordance with approved work plans. Exceptions, deviations, and changes to these plans shall be approved and documented prior to implementation.

The Bureau ensures environmental work is performed according to plan through the following:

- Program and project planning.
- Ongoing oversight of performance.
- Staff performance evaluations

The Bureau 's QMP is reviewed and revised annually by the QAC as applicable for EPA's approval. QAPPs are reviewed by the QAC annually and revised as necessary. The QAC shall monitor the status of QAPPs, and terms and conditions of grants agreements related to EPA required QA implementation requirements in QAPPs. The QAC will report to DWB's Management Team within 30 days if found that any environmental data operations that do not have current, approved QAPPs

As part of DWB's quality program, the QAC maintains all QA documents integral to the quality program and shall ensure QA documents are readily available to all staff. Maintenance includes ensuring appropriate reviews and approvals are conducted as well as ensuring that outdated documents are withdrawn. DWB staff input is allowed during QA document review process to ensure that procedures and policies are current and appropriate to meet program requirements.

8.3   Check (Assessment and Oversight)

DWB has developed a QA strategy to assess the Bureau's Quality Program. All DWB programs will be assessed at a minimum of once per year. Annual assessments are conducted based on the period when Group Managers/Supervisors/Team Leads have the most time available to assess their respective programs and assist the QAC when conducting quality assurance audits of EIO programs.

For most programs this is either in the first or last quarter of the year. This is done so that assessments have a minimal impact on other required job duties. Assessments may be conducted if required due to customer or employee complaints, findings from external audits, or to check on the training of new and current staff (especially if there is a major change in federal or state regulations in between annual assessments).

The QAC is responsible for EIO program assessments, writing assessment reports, and tracking corrective actions for any deficiencies found during the audit process. The DWB Management Team, Supervisors and Team Leads may also assist with developing corrective actions, solving any disputes over corrective actions, and reviewing assessment reports.

Note: This QMP is reviewed annually for content relevance and clarity.

The assessment may be either a quality assurance assessment, managerial, or technical assessment. The Bureau may use one of several assessment tools including: quality system audits, management systems reviews, peer reviews, technical reviews, performance evaluations, data quality assessments, readiness reviews, technical systems audits, and surveillance. The applicable QA/QC measurements or tool is selected, the results of the assessment will be reported to the DWB Management Team. The DWB Management Team will review the assessment and any proposed corrective actions and approve and assist with corrective actions and disputes if necessary.

8.3.1   Types of Assessments:

- Contract/ Vendor Audits: Done before a contractor/vendor is selected to ensure that the contractor/vendor can fulfill all aspects of the contract/ supply order on time and on budget. Also done periodically to make sure the contractor is following the schedule and that their work meets the necessary standards. Also done at the end of the contract to make sure all work is properly completed.

- Data Assessments: A review of data to ensure that it is complete, accurate, traceable, and organized. Looks for any trends in data or data quality. Data audits are performed by the SDWIS Supervisor.

- Document Audit: Audit of new and/or existing documents including SOPs, QAPPs, and forms to make sure that they are up to date and adhere to the most recent state and federal regulations and standards. Also makes sure that documents are properly secured, organized/ archived, distributed, and recalled if obsolete. Helps resolve/check for any discrepancies between documents. For example, are SOPs in agreement with QAPPs. Ensures that documents are written at the proper level for the users.

- Program Assessment: Assessments are done to ensure that technical and management programs including the quality assurance program are efficiently meeting their goals and following written procedures. Also helps ensure that programs are meeting the needs of water systems and the public. Decides if new programs need to be created or if new SOPs/ QAPPs need to be written. Decides if programs are outdated or irrelevant. Looks for areas of improvement (i.e. does the program have sufficient staff, are the goals or the project properly defined, are projects properly prioritized with regard to allotted time and staff, etc.).

- Preparatory Assessments: Assessments done to ensure that the Bureau has all the proper materials in place and up to date for an external audit.

- Safety Assessments: Assessments are done to make sure that any necessary safety procedures are in place and being followed. Ensures that any relevant OSHA guidelines are being followed. Safety assessments are performed by the WCF Lead Chemical Hygiene Officer.

- Training Assessments: Assessments training courses to ensure they properly cover all aspects of the job, are kept up to date with the latest SOPs, QAPPs, regulations, and technologies, and are effective.

8.4   Act (Corrective Actions and Improvements)

The QAC will review quality-related deficiencies, non-conformances, and quality related programmatic improvements on at least an annual basis. The QAC will advise the DWB Management Team of any significant trends that need to be addressed to ensure the quality of work products and will review Quality Program goals as appropriate and necessary.

All personnel working on environmental programs are encouraged to identify, plan, implement, and evaluate quality improvement activities for their areas of responsibility. Personnel should prevent quality problems wherever possible and report opportunities for improvement as well as quality problems as they are identified.

Deficiencies and non-conformances should be reported to the DWB Management Team and QAC to ensure that deficiencies and non-conformances are documented and addressed appropriately. If necessary, the appropriate Group Manager will develop a plan for corrective action. The planning and implementation Corrective Actions documents:

- Root cause (s).
- Programmatic impact.
- Required corrective action(s), including action(s) needed to prevent recurrence.
- Means by which corrective action completion will be documented and verified.
- Timetable(s).
- Milestones to be used to track progress through completion.
- Individuals responsible for implementing corrective action.

Group Managers shall ensure that corrective actions are effectively implemented in a timely manner. Group Managers, Supervisors, Team Leads, and the QAC encourage staff at all levels to maintain open communication with all parties, identify process improvement opportunities and identify and propose solutions to problems. The Group Managers shall notify the QAC when corrective actions have been completed and verified to be effective and have been closed.

8.5   Trend Analysis and Annual Reporting

At least annually, the QAC shall review quality-related deficiencies, assess programmatic information, improvements, and advise the advice the DWB Management Team as part of the quality assurance annual audit. At least annually, the QAC shall advise the DWB Management Team of significant trends affecting the agency Quality Program. The QAC shall provide an annual report to the DWB Management Team's review and approval for the submission to the EPA Region 6 describing the status of the Bureau's Quality Program through QA/QC audits and assessments.

8.6   Dispute Resolution

Resolution of quality-related disputes between individual program areas and the Bureau staff are expected to be resolved at the lowest organizational level, i.e., Bureau staff and Bureau management. Quality-related disputes that cannot be resolved at the staff level will be elevated through the QAC to the Bureau Chief.

<u>**Note**</u>: This QMP is reviewed annually for content relevance and clarity.

8.7   **Quality Improvement**

Ideas for improving the NMED may be submitted directly to management or through the Idea Bank located on the NMED employee intranet site.

The overall goal in continuous improvement of the Quality Program is to anticipate and minimize problems from arising, identify issues early on, and correct deficiencies as soon as feasible, ensuring that the corrective issue is successful in addressing the issue, and well documented.

Quality related deficiencies shall be prevented wherever possible. Identified deficiencies shall be documented and corrected in a timely manner. Corrective actions will be verified to ensure timely and effective implementation. Efforts will be made to improve quality systems in EIO programs and QA documents. Personnel should prevent quality problems wherever possible, report problems as they occur, and identify opportunities for improvement.