



The Quality Advocate's Checklist

By integrating these 10 steps, QC professionals can promote a proactive, sustainable, and high-quality environment that ensures regulatory compliance, reduces risk, and enhances operational performance.



1. Establish a Quality-Focused Culture

- Promote leadership support for quality initiatives.
- Integrate quality control into the organization's mission and values.
- Encourage open communication regarding quality issues and successes.



2. Implement Strong Policies and Procedures

- Develop standardized QC frameworks for all processes.
- Document policies clearly and ensure accessibility across departments.
- Regularly review and update processes to align with regulatory changes.



3. Conduct Regular Training and Education

- Train staff on compliance, QC procedures, and regulatory requirements.
- Provide ongoing education on emerging risks and quality standards.
- Promote awareness of how individual roles impact overall quality.



4. Leverage Data and Technology

- Use data analytics to identify quality trends, patterns, and gaps.
- Implement automated QC tools for efficiency and accuracy.
- Develop dashboards for real-time performance monitoring and reporting.



5. Monitor and Measure Performance

- Conduct routine audits and quality reviews of loans, processes, and services.
- Use Key Performance Indicators (KPIs) to measure quality improvement.
- Benchmark and calibrate performance against industry standards and peers.



6. Perform Root Cause Analysis (RCA)

- Investigate the root causes of errors, defects, or inefficiencies.
- Implement corrective and preventive actions (CAPA) to address issues.
- Track progress to ensure solutions are effective over time.



7. Foster Collaboration Across Departments

- Work closely with lines of business, risk management and compliance teams.
- Promote cross-departmental initiatives to align on quality goals.
- Conduct collaborative reviews to ensure consistent standards.



8. Maintain Compliance and Regulatory Oversight

- Stay current with federal and state regulations (e.g., CFPB, FHA, FNMA).
- Ensure QC practices align with internal policies and external guidelines.
- Perform ongoing checks to mitigate compliance risks.



9. Prioritize Continuous Improvement

- Implement feedback loops to gather insights from staff and audits.
- Regularly review processes for opportunities to improve efficiency and quality.
- Encourage a mindset of continuous learning and innovation.



10. Report and Communicate Quality Metrics

- Prepare clear and actionable quality reports for leadership.
- Share audit results, findings, and improvement plans organization-wide.
- Highlight wins and showcase improvements in performance over time.



Why We Stand

Our mission is to empower organizations to deliver transparent, efficient, and reliable lending that builds trust and drives sustainable growth. By championing integrity, innovation, and accountability, we aim to inspire a commitment to quality that transforms the way financial institutions serve their communities and stakeholders. Together, we stand for quality—because excellence matters.

Learn more at www.istandforquality.com

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About ACES Quality Management

ACES Quality Management is the leading provider of enterprise quality management and control software for the financial services industry. The nation's most prominent lenders, servicers and financial institutions rely on ACES Quality Management & Control[®] Software to improve audit throughput and quality while controlling costs, including:

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of the top 20
independent
mortgage
lenders

**7 of the
Top 10**
loan
servicers

**11 of the
Top 30**
banks

**3 of the
Top 5**
credit
unions

Unlike other quality control platforms, ACES Flexible Audit Technology[®] gives financial institutions and independent mortgage lenders the ability to easily manage and customize ACES to meet their business needs without having to rely on IT or other outside resources. Using a customer-centric approach, ACES clients get responsive support and access to our experts to maximize their investment.

**Commit to Excellence.
Step Up. Stand for Quality.**

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