

Quality Assurance Checklist for Contractors

October 2018

Quality Assurance Audit Checklist and Report for Contractors

2. Auditor Certification

I, _____, an auditor approved by the Procurement, Risk and Contract Management Branch of the Department of Treasury and Finance, hereby certify that _____ (the Contractor) has:

Demonstrated compliance with all the Contractor Quality Assurance requirements to a satisfactory standard.

Immediately forward the Audit Checklist and Report to the Procurement, Risk and Contract Management Branch.

Failed to demonstrate compliance with the Contractor Quality Assurance requirements to a satisfactory standard as outlined in this report.

Retain the Audit Report for Non-Conformance Report (NCR) follow-up re-audit.

Signature of Auditor: _____

Date of Next Audit: _____

Purpose of Next Audit: Ongoing compliance audit

NCR follow-up audit

AUDITOR RECOMMENDATION – NCR FOLLOW-UP AUDIT

The Contractor, _____ has demonstrated compliance with all these Contractor Quality Assurance Requirements to a satisfactory standard.

Immediately forward the Audit Checklist and Report to the Procurement, Risk and Contract Management Branch.

The Contractor, _____ has failed to demonstrate compliance with these Contractor Quality Assurance Requirements to a satisfactory standard as outlined in this report.

Immediately forward this Audit Checklist and Report and the NCR Report(s) to the Procurement, Risk and Contract Management Branch.

Signature of Auditor:

Date:

4 – CONTEXT OF THE CONTRACTOR’S ORGANISATION

4.1 Determining the Scope of the Quality Management System.

Requirement	Finding	Evidence / Comments / Audit Trails
Has the contractor’s organisation documented the scope of its Quality Management System?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

4.2 Quality Management System and its Processes

Requirement	Finding	Evidence / Comments / Audit Trails
Has the contractor’s organisation established, documented , implemented and maintained a Quality Management System in accordance with the requirements in this checklist?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

5 LEADERSHIP

5.1 Client Focus

Requirement	Finding	Evidence / Comments / Audit Trails
Has senior management demonstrated leadership and commitment with respect to client focus by ensuring that:	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
(i) client and applicable statutory and regulatory requirements are determined, understood and consistently met for each project?		
(ii) the risks and opportunities that can affect conformity of the contractor organisation’s services and the ability to enhance client satisfaction are determined and addressed for each project? and	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
(iii) the focus on enhancing client satisfaction is maintained?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

5.2 Quality Policy

Requirement	Finding	Evidence / Comments / Audit Trails
Has senior management documented , implemented, and maintained a Quality Policy that is appropriate to the contractor organisation and aligns with its strategic direction?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the Quality Policy: i) provide a framework for its stated goals / objectives? and ii) include a commitment to satisfy applicable requirements and to continually improve the Quality Management System?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Is the Quality Policy: i) communicated to all employees? How? and ii) available to interested parties, as appropriate?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

5.3 Organisational Roles, Responsibilities, and Authorities

Requirement	Finding	Evidence / Comments / Audit Trails
How has senior management ensured that the responsibilities and authorities for relevant roles are assigned, documented , communicated and understood within the contractor's organisation for each project?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

6 PLANNING

6.1 Actions to address Project Risks and Opportunities

Requirement	Finding	Evidence / Comments / Audit Trails
Has the contractor's organisation determined the risks and opportunities relating to each project?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

What method(s) has the organisation used to plan actions to control these risks and opportunities? (<i>Section 10</i>)	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
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6.2 Quality / Project / Construction Objectives and Planning to Achieve Them

Requirement	Finding	Evidence / Comments / Audit Trails
Has the contractor organisation established and documented quality / project / construction objectives that are consistent with the Quality Policy? (<i>ie "SMART"</i>).	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
How has the organisation determined: (i) What will be done? (S); (ii) How the results will be evaluated ? (M); (iii) Who will be responsible ? (A); (iv) What resources will be required? (R); and (v) When each will be completed ? (T)	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

7 Support and Resources

7.1 People

Requirement	Finding	Evidence / Comments / Audit Trails
Has the contractor's organisation determined and provided the persons necessary for the effective implementation of its Quality Management System and for the operation and control of its project activities? (<i>Describe</i>).	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

7.2 Competence

Requirement	Finding	Evidence / Comments / Audit Trails
Has the contractor's organisation: (i) determined the necessary competence for personnel performing work affecting project / construction quality?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

(ii) provided training or taken other actions to satisfy these needs? and		
(iii) retained records of personnel's qualifications, skills, and experience? (eg, <i>training records copies of licences, certificates, database, matrix etc</i>)		

7.3 Communication

Requirement	Finding	Evidence / Comments / Audit Trails
Has the contractor's organisation determined the internal and external communications relevant to its Quality Management System and projects?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the contractor organisation's communication include: (i) providing information relating to its services? (eg, <i>website</i>) (ii) handling enquiries, tenders, contracts, or commissions, including changes? (iii) obtaining feedback relating to its services from clients? and (iv) handling and controlling documented information provided by the client, consultant, sub-consultant, sub-contractor, etc?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

7.4 Control of Documented Information Including Records

Requirement	Finding	Evidence / Comments / Audit Trails
Is the documented information required by the contractor organisation's Quality Management System controlled?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Is the contractor organisation's documented information adequately protected from loss of confidentiality, improper use or loss of integrity? (eg, <i>password control for software programs</i>).	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
When creating and updating documented information , does	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

<p>the contractor's organisation ensure appropriate:</p> <p>(i) identification and description? (eg ,title, issue date, etc). and</p> <p>(ii) review and approval prior to issue and/or re-issue?</p>		
<p>Is documented information of external origin determined by the contractor organisation as necessary for its operations, identified and controlled, as appropriate?</p>	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
<p>Describe how the contractor organisation suitably ensures that documented information and record(s) is / are:</p> <p>(i) available where appropriate personnel are able to gain easy access?</p> <p>(ii) suitably stored and legible?</p> <p>(iii) readily retrievable?</p> <p>(iv) retained for a specified period of time, taking into consideration regulatory requirements? and</p> <p>(v) disposed of in accordance with the organisation's documented method once its retention times have elapsed?</p>	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

8 OPERATION - PROJECTS & CONSTRUCTION MANAGEMENT

8.1 Requirements & Planning for Projects – Project / Construction Management

Requirement	Finding	Evidence / Comments / Audit Trails
<p>Does the contractor's organisation plan, implement, and control the processes needed to meet the project / construction requirements in accordance with contractual requirements and retain documented information? (ie <i>Project Management Plans or similar. Refer to Section 10</i>).</p>	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

8.2 Determining, Reviewing, and Changes to Project /Construction Tender Requirements

Requirement	Finding	Evidence / Comments / Audit Trails
<p>Once the contractor's organisation has determined the client's</p>	<input type="checkbox"/> Complies <input type="checkbox"/> Observation	

requirements, does the organisation ensure: (i) the project / construction requirements are understood? (ii) that any anomalies are resolved? and (iii) that any applicable project / construction requirements, including statutory and regulatory requirements are considered, as well as those not specifically stated by the client?	<input type="checkbox"/> Non-conformance	
Does the contractor's organisation ensure it has the capability to meet the specified client requirements prior to commitment? (eg, prior to submitting tenders or other similar documents).	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Is documented information of all these processes and outcomes maintained?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

8.3 Control and Management of Projects and Construction Activities

Requirement	Finding	Evidence / Comments / Audit Trails
Has the contractor's organisation implemented, project and construction activities under controlled conditions? (Section 10).	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Do the controlled conditions include, as applicable: (a) the availability of documented information that defines the characteristics of the project / construction activities to be provided, or to be performed and the results to be achieved?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
(b) the availability and use of suitable monitoring and measuring resources, including any equipment requiring calibration, as applicable to each project?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
(c) implementation of inspection and testing activities at appropriate stages of the project / construction, to verify that criteria for control and acceptance criteria have	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

been met? (eg, inspections, hold points, etc).		
(d) appointment of competent persons to each construction project, including any required qualification(s) / licences?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the contractor's organisation, identify, review and control changes made during, or subsequently to the project / construction activities, to the extent necessary to ensure that there is no adverse impact on meeting the project contractual requirements?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the contractor's organisation retain documented information to demonstrate that any project / construction changes have been reviewed and authorised where necessary?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the contractor's organisation formally track each project against stated timelines, to allow determination of its status at any given point in time?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the contractor's organisation implement appropriate completion and post-delivery activities for each project, or stages of the project, in accordance with contractual requirements?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

8.4 Control of Externally Provided Project / Construction Processes, Products, and Services

Requirement	Finding	Evidence / Comments / Audit Trails
Does the contractor's organisation ensure that externally provided processes and services, conform to requirements?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the contractor's organisation determine and apply criteria for the evaluation, selection, monitoring of	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

performance and re-evaluation of external providers?		
Does the contractor's organisation retain documented information of these activities and any necessary actions arising from the evaluations?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the contractor's organisation provide all necessary information to external providers? (<i>Describe methods used</i>).	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

8.6 Control of Non-conforming Outputs and Corrective Actions

Requirement	Finding	Evidence / Comments / Audit Trails
Does the contractor's organisation ensure project / construction outputs that do not conform to their requirements are identified and controlled to prevent their unintended use, delivery or installation are corrected? (<i>egs, through inspections, meetings, hold points inspections etc</i>).	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the contractor's organisation: (i) retain documented information of actions taken to correct any project non - conformances? (ii) does this include any concessions obtained from the client or end - client? (<i>ie, variation requests, etc</i>),and (iii) does it also include the person or authority that made the decision on how to deal with the non-conformance(s)?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

9 MANAGEMENT REVIEW

Requirement	Finding	Evidence / Comments / Audit Trails
Does the contractor organisation's senior management review the Quality Management System at	<input type="checkbox"/> Complies <input type="checkbox"/> Observation	

appropriate intervals determined by the contractor's organisation, to ensure its continuing suitability, adequacy, effectiveness, and alignment with the strategic directions of the organisation?	<input type="checkbox"/> Non-conformance	
<p>2. Do the records (ie minutes) of management review meetings include information on:</p> <p>(a) client satisfaction and feedback from relevant interested parties? (ie compliments and complaints). (Section 5.1);</p> <p>(b) the extent to which Quality/ Project / Construction Objectives have been met? (Section 6.2);</p> <p>(c) project / construction performance and conformity to requirements? (Section 8.3);</p> <p>(d) non -conformities and corrective actions? (Section 8.6);</p> <p>(e) the performance of external providers? (Section 8.4);</p> <p>(f) the adequacy of resources, and any additional / future resource needs? (Section 7.1 & Section 7.2);</p> <p>(g) the effectiveness of actions taken to address risks and opportunities? ((Section 6.1); and</p> <p>(h) opportunities for improvement?</p>	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

10 PROJECT MANAGEMENT PLANS

Requirement	Finding	Evidence / Comments / Audit Trails
Identify the Project Audited:		
Does the contractor's organisation develop Project Management Plans for specific projects?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Depending on the value and complexity of the project, do the Project Management Plans include, as a minimum, the following requirements:	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
a) description of the project?		
b) client requirements?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

c) timeline of the project?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
d) responsibilities and authorities of the contractor organisation's personnel and company structure, also that of sub-contractors / sub-consultants / contractors, as appropriate for each project?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
e) identified project /construction risks and methods for controlling these risks?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
f) control of project documents and records?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
g) control of the project / construction processes?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
h) Control of non - conformances and corrective actions?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
i) Identification and control of potential / actual project / construction safety issues hazards and risks? (eg JSA's, SWMS etc), and	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
j) Identification and control of potential /actual environmental issues and risks?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

AUDITORS ADDITIONAL COMMENTS:



