

Department of Treasury and Finance

Quality Assurance Checklist for Consultants

Quality Assurance Audit Checklist and Report for Consultants

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 Consultant) has:

- Demonstrated compliance with all the Consultant 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 Consultant 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 Consultant, _____ has demonstrated compliance with all these Consultant Quality Assurance Requirements to a satisfactory standard.

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

- The Consultant, _____ has failed to demonstrate compliance with these Consultant 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:

I. Context of the Consultant's Organisation

I.1 Determining the Scope of the Quality Management System.

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

I.2 Quality Management System and its Processes

Requirement	Finding	Evidence / Comments / Audit Trails
Has the consultant'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	

2 Leadership

2.1 Client Focus

Requirement	Finding	Evidence / Comments / Audit Trails
Has senior management demonstrated leadership and commitment with respect to client focus by ensuring that: (i) client and applicable statutory and regulatory requirements are determined, understood and consistently met for each project?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
(ii) the risks and opportunities that can affect conformity of the consultant 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	
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2.2 Quality Policy

Requirement	Finding	Evidence / Comments / Audit Trails
Has senior management documented , implemented, and maintained a Quality Policy that is appropriate to and aligns with, the consultant organisation's 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	

2.3 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	

3 Planning

3.1 Actions to address Project Risks and Opportunities

Requirement	Finding	Evidence / Comments / Audit Trails
Has the consultant'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 consultant's organisation used to plan actions to control these risks and opportunities? .	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

3.2 Quality / Project Objectives and Planning to Achieve Them

Requirement	Finding	Evidence / Comments / Audit Trails
Has the consultant organisation established and documented quality / project objectives that are consistent with the Quality Policy? (ie "SMART").	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
How has the consultant 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	

4 Support and Resources

4.1 People

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

4.2 Competence

Requirement	Finding	Evidence / Comments / Audit Trails
Has the consultant's organisation: (i) determined the necessary competence for personnel performing work affecting project quality? and (ii) provided training or taken other actions to satisfy these needs? (iii) retained records of personnel's qualifications, skills, and experience? (eg, CPD records, training records, recruitment and induction programs, etc)	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

4.3 Communication

Requirement	Finding	Evidence / Comments / Audit Trails
Has the consultant's organisation determined the internal and external communications relevant to its Quality Management System and each project?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
2. Does the consultant organisation's communication include: (i) providing information relating to its services? (eg, website) (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, contractor, etc?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

4.4 Control of Documented Information Including Records

Requirement	Finding	Evidence / Comments / Audit Trails
Is the documented information required by the consultant organisation's Quality Management System controlled?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

<p>Is the consultant organisation's documented information adequately protected from loss of confidentiality, improper use, or loss of integrity? (eg, <i>password control for software programs</i>).</p>	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
<p>When creating and updating documented information does the consultant's organisation ensure appropriate:</p> <p>(i) identification and description? (eg <i>title, issue date, etc.</i>) and</p> <p>(ii) review and approval prior to issue and / or re-issue?</p>	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
<p>Is documented information of external origin determined by the consultant 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 consultant 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 consultant organisation's documented method, once its retention times have elapsed?</p>	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

5 Operation - Projects

5.1 Requirements for Projects – Design, Development and Project Management Inputs

Requirement	Finding	Evidence / Comments / Audit Trails
Does the consultant's organisation determine the requirements essential for the specific types of services / projects to be designed and developed and retain documented information ?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

5.2 Determining, Reviewing, and Changes to Project Requirements

Requirement	Finding	Evidence / Comments / Audit Trails
Once the consultant's organisation has determined the client's requirements, does the organisation ensure: (i) the project requirements are understood? (ii) that any anomalies are resolved? and (iii) that any applicable project specific requirements, including statutory and regulatory requirements are considered, as well as those not specifically stated by the client?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the consultant's organisation ensure it has the capability to meet the specified client and project 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	

6 Design, Development and Project Management

6.1 Planning

Requirement	Finding	Evidence / Comments / Audit Trails
Has the consultant's organisation established, documented , implemented, and maintained, a design and development process that is appropriate to ensure the subsequent provision of its design, development and project management services as applicable to each project?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

6.2 Controls

Requirement	Finding	Evidence / Comments / Audit Trails
(i) does the consultant's organisation apply controls to the design and development process, to ensure that the results to be achieved are defined?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
(ii) does the consultant's organisation conduct reviews at planned stages to evaluate the ability of the results of design and development processes to meet specified requirements?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
(iii) does the consultant's organisation take appropriate actions on problems / changes identified during the reviews? and	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
(iv) is documented Information of all these activities retained?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

6.3 Outputs

Requirement	Finding	Evidence / Comments / Audit Trails
Does the consultant's organisation ensure that project design outputs meet the project input requirements and that documented information is retained?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

6.4 Changes

Requirement	Finding	Evidence / Comments / Audit Trails
Does the consultant's organisation identify, review and control changes made during, or subsequently to the project activities and services, 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 consultant's organisation retain documented information to demonstrate that any project changes have been reviewed and authorised where necessary?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

6.5 Control of Externally Provided Processes, Products, and Services

Requirement	Finding	Evidence / Comments / Audit Trails
Does the consultant'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 consultant's organisation determine and apply criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the consultant'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 consultant'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	

6.6 Control of Non-conforming Outputs and Corrective Actions

Requirement	Finding	Evidence / Comments / Audit Trails
Does the consultant's organisation ensure projects that do not conform to their requirements are identified and controlled to prevent their unintended use, or are corrected? (egs, through design reviews, quality checking, etc).	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Does the consultant's organisation: (i) retain documented information of actions taken to correct any project non-conformances? (ii) does this include any concessions obtained, (ie, variation requests, etc).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	

7 Management Review

Requirement	Finding	Evidence / Comments / Audit Trails
Does the consultant organisation's senior management review the Quality Management System at appropriate intervals determined by the consultant's organisation, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic directions of the organisation?	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	
Do the records (ie minutes) of management review meetings include information on: (a) client satisfaction and feedback from relevant interested parties? (ie compliments and complaints). (Section 5.1); (b) the extent to which Quality / Project Objectives have been met? (Section 6.2); (c) project performance and conformity to requirements? (Section 8.3);	<input type="checkbox"/> Complies <input type="checkbox"/> Observation <input type="checkbox"/> Non-conformance	

Procurement, Risk and Contract Management Branch

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