Assessment of Contractor’s Quality Management System (ISO 9001:2015 & Q6/Q5)

Transport for NSW | February 2024 | Issue 6

**SUMMARY**

|  |  |
| --- | --- |
| Assessment report for: | *[Insert contractor’s name]* |
| Applicable Q specification (1): | *[State whether Q6 or Q5]* |
| ISO 9001 (2) Clause | Corporate Quality Management System | Number of Nonconformities (3) |
| 4.3 | Determining the scope of the quality management system |  |
| 4.4 | Quality management system and its processes |  |
| 5.1 | Leadership and commitment |  |
| 5.2 | Policy |  |
| 5.3 | Organizational roles, responsibilities and authorities |  |
| 6.1 | Actions to address risks and opportunities |  |
| 6.2 | Quality objectives and planning to achieve them |  |
| 7.1 | Resources |  |
| 7.2 | Competence |  |
| 7.3 | Awareness |  |
| 7.5 | Documented information |  |
| 8.1 | Operational planning and control |  |
| 8.2 | Requirements for products and services |  |
| 8.3 | Design and development of products and services |  |
| 8.4 | Control of externally provided processes, products and services |  |
| 8.5 | Production and service provision |  |
| 8.6 | Release of products and services |  |
| 8.7 | Control of nonconforming outputs |  |
| 9.1 | Monitoring, measurement, analysis and evaluation |  |
| 9.2 | Internal audits |  |
| 9.3 | Management review |  |
| 10.2 | Nonconformity and corrective action |  |

| Q6/Q5 (1) Clause | Project Quality Plan | Number of Nonconformities (3) |
| --- | --- | --- |
| 2.2 | Quality Manual |  |
| 3.1 | Project Roles, Responsibilities and Authorities |  |
| 3.2 | Monitoring and Measuring Resources |  |
| 3.3 | Competence and Awareness |  |
| 3.4 | Communication and Documented Information |  |
| 3.5 | Operational Planning and Control |  |
| 3.6 | Design and Development of Products and Services |  |
| 3.7 | Control of Externally Provided Processes, Products and Services |  |
| 3.8 | Control of Production and Service Provision |  |
| 3.9 | Identification and Traceability |  |
| 3.10 | Property Belonging to Principal |  |
| 3.11 | Close Out of Work Lots and Release of Products |  |
| 3.12 | Control of Nonconforming Outputs |  |
| 3.13 | Internal Audit |  |
| 3.15 | Corrective Action |  |
| 4.1 | Records Management System |  |
| 4.2 | Records Management Plan |  |
| 5.4 | Lot Definition and Sampling Locations |  |

Notes:

(1) For applications for Categories R1/B1 and Specialist Categories A1, C1, C2, CC3 and T, the applicable Q specification is Q6.
For applications by Councils, and for Traffic Signal Prequalification and Registration Categories CC2, D, E, F, X and Z, the applicable Q specification is Q5.

(2) This can be either ISO 9001:2015 or AS/NZS ISO 9001:2016.

(3) Details of nonconformities are contained in the evaluation checklists following.

|  |  |
| --- | --- |
| Conclusions: |  |
| Is Contractor’s quality management system implemented and suitable for accreditation/use? | Yes / No |
| *[Insert comments]* |  |
| Assessor:  |  | Date:  |  |

| ISO 9001 Clause | Requirement | Guide (1) | Finding(2) |
| --- | --- | --- | --- |
| 4 | CONTEXT OF THE ORGANISATION |  |  |
| 4.3 | Determining the scope of the quality management system |  |  |
| 4.3 | Does the organization determine the boundaries and applicability of the quality management system to establish its scope? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4.3 | Is the scope of the quality management system available and maintained as documented information? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4.3 | Does the scope state the types of products and services covered, and provide justification for any requirement that the organization determines is not applicable? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4.3 | Do the requirements determined as not being applicable not affect the organization’s ability to ensure conformity of its products and services and the enhancement of customer satisfaction? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4.4 | Quality management system and its processes |  |  |
| 4.4.1 | Does the organization determine the processes needed for the quality management system and their application throughout the organization? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 4.4.2 | Does the organization: |  |  |
| a) | maintain documented information to support the operation of its processes? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | retain documented information to have confidence that the processes are being carried out as planned? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 5 | LEADERSHIP |  |  |
| 5.1 | Leadership and commitment |  |  |
| 5.1.1 | General |  |  |
| 5.1.1 | Does top management demonstrate leadership and commitment with respect to the quality management system by: ensuring that the quality policy and quality objectives are established for the quality management system; and ensuring the integration of the quality management system requirements into the organization’s business processes? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 5.2 | Policy |  |  |
| 5.2.1 | Establishing the quality policy |  |  |
| 5.2.1 | Does top management establish, implement and maintain a quality policy that: |  |  |
| a) | is appropriate to the purpose and context of the organization and supports its strategic direction? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| b) | provides a framework for setting quality objectives? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| c) | includes a commitment to satisfy applicable requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| d) | includes a commitment to continual improvement of the quality management system? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 5.2.2 | Communicating the quality policy |  |  |
| 5.2.2 | Is the quality policy: available and maintained as documented information; communicated, understood and applied within the organization; and available to relevant interested parties, as appropriate? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 5.3 | Organizational roles, responsibilities and authorities |  |  |
| 5.3 | Does top management assign the responsibility and authority for: |  |  |
| a) | ensuring that the quality management system conforms to the requirements of its customers? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | ensuring that the processes are delivering their intended outputs? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| c) | reporting on the performance of the quality management system and on opportunities for improvement, in particular to top management? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| d) | ensuring the promotion of customer focus throughout the organization? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| e) | ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 6 | PLANNING |  |  |
| 6.1 | Actions to address risks and opportunities |  |  |
| 6.1.1 | When planning for the quality management system, does the organization determine the risks and opportunities that need to be addressed to: give assurance that the quality management system can achieve its intended result(s); enhance desirable effects; prevent, or reduce, undesired effects; and achieve improvement? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 6.1.2 | Does the organization plan: actions to address these risks and opportunities; and how to integrate and implement these actions into its quality management system processes, and evaluate the effectiveness of these actions? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 6.2 | Quality objectives and planning to achieve them |  |  |
| 6.2.1 | Does the organization establish quality objectives at relevant functions, levels and processes needed for the quality management system? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 6.2.1 | Are, or do, the quality objectives: consistent with the quality policy; measurable; take into account applicable requirements; and relevant to conformity of products and services and to enhancement of customer satisfaction? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 6.2.1 | Does the organization maintain documented information on the quality objectives? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 7 | SUPPORT |  |  |
| 7.1 | Resources |  |  |
| 7.1.1 | General |  |  |
| 7.1.1 | Does the organization determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 7.1.2 | People |  |  |
| 7.1.2 | Does the organization determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 7.1.3 | Infrastructure |  |  |
| 7.1.3 | Does the organization determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 7.1.4 | Environment for the operation of processes |  |  |
| 7.1.4 | Does the organization determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 7.2 | Competence |  |  |
| 7.2 | Does the organization: |  |  |
| a) | determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | ensure that these persons are competent on the basis of appropriate education, training, or experience? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| c) | where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| d) | retain appropriate documented information as evidence of competence? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 7.3 | Awareness |  |  |
| 7.3 | Does the organization: ensure that persons doing work under the organization’s control are aware of: the quality policy; relevant quality objectives; their contribution to the effectiveness of the quality management system, including the benefits of improved performance; and the implications of not conforming with the quality management system requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 7.5 | Documented information |  |  |
| 7.5.3 | Control of documented information |  |  |
| 7.5.3.1 | Is documented information controlled to ensure: it is available and suitable for use, where and when it is needed; and it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 7.5.3.2 | For control of documented information, does the organization address: its distribution, access, retrieval and use; storage and preservation; control of changes (e.g. version control); and retention and disposition? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 7.5.3.2 | Is documented information of external origin determined by the organization to be necessary for the planning and operation of the quality management system identified and controlled? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 7.5.3.2 | Is documented information retained as evidence of conformity protected from unintended alterations? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8 | OPERATION |  |  |
| 8.1 | Operational planning and control |  |  |
| 8.1 | Does the organization plan, implement and control the processes needed to meet the requirements for the provision of products and services, to implement the actions to address risks and opportunities and to achieve its quality objectives, by: |  |  |
| a) | determining the requirements for the products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | establishing criteria for the processes and the acceptance of products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| c) | determining the resources needed to achieve conformity to the product and service requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| d) | implementing control of the processes in accordance with the criteria? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| e) | determining, maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned and to demonstrate the conformity of products and services to their requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.2 | Requirements for products and services |  |  |
| 8.2.2 | Determining the requirements for products and services |  |  |
| 8.2.2 | When determining the requirements for the products and services to be offered to customers, does the organization ensure that: the requirements for the products and services are defined; and the organization can meet the claims for the products and services it offers? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.2.3 | Review of the requirements for products and services |  |  |
| 8.2.3.1 | Does the organization ensure that it has the ability to meet the requirements for products and services to be offered to customers, by conducting a review before committing to supply products and services to a customer? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.2.3.1 | Does the organization ensure that contract or order requirements differing from those previously defined are resolved? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.2.3.2 | Does the organization retain documented information, as applicable: on the results of the review; and on any new requirements for the products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.2.4 | Changes to requirements for products and services |  |  |
| 8.2.4 | Does the organization ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.3 | Design and development of products and services *(only applicable if scope of quality management system includes design and development)* |  |  |
| 8.3.1 | General |  |  |
| 8.3.1 | Does the organization establish, implement and maintain a design and development process that is appropriate to ensure the subsequent provision of products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.3.2 | Design and development planning |  |  |
| 8.3.2 | In determining the stages and controls for design and development, does the organization consider: |  |  |
| a) | the nature, duration and complexity of the design and development activities? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| b) | the required process stages, including applicable design and development reviews? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| c) | the required design and development verification and validation activities? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | the responsibilities and authorities involved in the design and development process? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| e) | the internal and external resource needs for the design and development of products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| f) | the need to control interfaces between persons involved in the design and development process? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| g) | the need for involvement of customers and users in the design and development process? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| h) | the requirements for subsequent provision of products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| i) | the level of control expected for the design and development process by customers and other relevant interested parties? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| j) | the documented information needed to demonstrate that design and development requirements have been met? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.3.3 | Design and development inputs |  |  |
| 8.3.3 | Does the organization determine the requirements essential for the specific types of products and services to be designed and developed by considering: |  |  |
| a) | functional and performance requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| b) | information derived from previous similar design and development activities? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| c) | statutory and regulatory requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | standards or codes of practice that the organization has committed to implement? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| e) | potential consequences of failure due to the nature of the products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.3.4 | Design and development controls |  |  |
| 8.3.4 | Does the organization apply controls to the design and development process to ensure that: |  |  |
| a) | the results to be achieved are defined? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| b) | reviews are conducted to evaluate the ability of the results of design and development to meet requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| c) | verification activities are conducted to ensure that the design and development outputs meet the input requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| e) | any necessary actions are taken on problems determined during the reviews, or verification and validation activities? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| f) | documented information of these activities is retained? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.3.5 | Design and development outputs |  |  |
| 8.3.5 | Does the organization ensure that design and development outputs:  |  |  |
| a) | meet the input requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| b) | are adequate for the subsequent processes for the provision of products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| c) | include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision? |  |  |
| Applicant |  | L | [ ] |
| Assessor |  |  |  |
| 8.3.5 | Does the organization retain documented information on design and development outputs? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.3.6 | Design and development changes |  |  |
| 8.3.6 | Does the organization identify, review and control changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.3.6 | Does the organization retain documented information on: design and development changes; the results of reviews; the authorization of the changes; and the actions taken to prevent adverse impacts? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.4 | Control of externally provided processes, products and services |  |  |
| 8.4.1 | General |  |  |
| 8.4.1 | Does the organization determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.4.1 | Does the organization retain documented information of these activities and any necessary actions arising from the evaluations? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.4.2 | Type and extent of control |  |  |
| 8.4.2 | Does the organization: |  |  |
| a) | ensure that externally provided processes remain within the control of its quality management system? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| b) | define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| c) | take into consideration the potential impact of the externally provided processes, products and services on the organization’s ability to consistently meet customer and applicable statutory and regulatory requirements, and the effectiveness of the controls applied by the external provider? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.4.3 | Information for external providers |  |  |
| 8.4.3 | Does the organization ensure the adequacy of requirements prior to their communication to the external provider? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.4.3 | Does the organization communicate to external providers its requirements for: |  |  |
| a) | the processes, products and services to be provided? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | the approval of: products and services; methods, processes and equipment; and the release of products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| c) | competence, including any required qualification of persons? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | the external providers’ interactions with the organization? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| e) | control and monitoring of the external providers’ performance to be applied by the organization? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| f) | verification or validation activities that the organization, or its customer, intends to perform at the external providers’ premises? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.5 | Production and service provision |  |  |
| 8.5.1 | Control of production and service provision |  |  |
| 8.5.1 | Does the organization implement production and service provision under controlled conditions, which include, as applicable: |  |  |
| a) | the availability of documented information that defines: the characteristics of the products to be produced, the services to be provided, or the activities to be performed; and the results to be achieved? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | the availability and use of suitable monitoring and measuring resources? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| c) | the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | the use of suitable infrastructure and environment for the operation of processes? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| e) | the appointment of competent persons, including any required qualification? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| f) | the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| g) | the implementation of actions to prevent human error? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| h) | the implementation of release, delivery and post-delivery activities? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 8.6 | Release of products and services |  |  |
| 8.6 | Does the organization implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.6 | Does the release of products and services to the customer not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.6 | Does the organization retain documented information on the release of products and services, which include: |  |  |
| a) | evidence of conformity with the acceptance criteria? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | traceability to the person(s) authorizing the release? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.7 | Control of nonconforming outputs |  |  |
| 8.7.1 | Does the organization ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.7.1 | Does the organization take appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services, including nonconforming products and services detected after delivery of products, during or after the provision of services? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.7.1 | Are conformity to the requirements verified when nonconforming outputs are corrected? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 8.7.2 | Does the organization retain documented information that: describes the nonconformity; describes the actions taken; describes any concessions obtained; and identifies the authority deciding the action in respect of the nonconformity? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 9 | PERFORMANCE EVALUATION |  |  |
| 9.1 | Monitoring, measurement, analysis and evaluation |  |  |
| 9.1.1 | General |  |  |
| 9.1.1 | Does the organization determine: |  |  |
| a) | what needs to be monitored and measured? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| b) | the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| c) | when the monitoring and measuring will be performed? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | when the results from monitoring and measurement will be analysed and evaluated? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 9.1.1 | Does the organization evaluate the performance and the effectiveness of the quality management system? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 9.1.1 | Does the organization retain appropriate documented information as evidence of the results? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 9.1.2 | Customer satisfaction |  |  |
| 9.1.2 | Does the organization monitor customers’ perceptions of the degree to which their needs and expectations have been fulfilled? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 9.1.2 | Does the organization determine the methods for obtaining, monitoring and reviewing this information? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 9.2 | Internal audits |  |  |
| 9.2.1 | Does the organization conduct internal audits at planned intervals to provide information on whether the quality management system: |  |  |
| a) | conforms to the organization’s own requirements for its quality management system? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | is effectively implemented and maintained? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 9.2.2 | Does the organization: |  |  |
| a) | plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting the organization, and the results of previous audit? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | define the audit criteria and scope for each audit? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| c) | select auditors and conduct audits to ensure objectivity and the impartiality of the audit process? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| d) | ensure that the results of the audits are reported to relevant management? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| e) | take appropriate correction and corrective actions without undue delay? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| f) | retain documented information as evidence of the implementation of the audit programme and the audit results? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 9.3 | Management Review |  |  |
| 9.3.1 | General |  |  |
| 9.3.1 | Does top management review the organization’s quality management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 10 | IMPROVEMENT |  |  |
| 10.2 | Nonconformity and corrective action |  |  |
| 10.2.1 | When a nonconformity occurs, including any arising from complaints, does the organization: |  |  |
| a) | react to the nonconformity and, as applicable: take action to control and correct it; and deal with the consequences? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: reviewing and analysing the nonconformity; determining the causes of the nonconformity; and determining if similar nonconformities exist, or could potentially occur? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| c) | implement any action needed? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| d) | review the effectiveness of any corrective action taken? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| e) | update risks and opportunities determined during planning, if necessary? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| f) | make changes to the quality management system, if necessary? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 10.2.2 | Does the organization retain documented information as evidence of: |  |  |
| a) | the nature of the nonconformities and any subsequent actions taken? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| b) | the results of any corrective action? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |

| Q6/Q5 Clause | Requirement | Guide (1) | Finding(2) |
| --- | --- | --- | --- |
| 2 | QUALITY MANAGEMENT SYSTEM |  |  |
| 2.2 | Quality Manual |  |  |
| 2.2.1 | Is a Quality Manual, as documentation for the quality management system, available? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 2.2.2 | Where the Quality Manual is arranged differently to the sequence and structure in ISO 9001, is a matrix or table provided showing how the quality management system addresses all the requirements of ISO 9001 and Q6? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 3 | SUPPLEMENTARY REQUIREMENTS |  |  |
| 3.1 | Project Roles, Responsibilities and Authorities |  |  |
| 3.1.1 | Project Quality Representative |  |  |
| 3.1.1 | Does the Project Quality Plan nominate (or have provision to nominate) a Project Quality Representative, directly responsible to top management, with defined authority and responsibility for ensuring that the requirements of the quality management system and Project Quality Plan are implemented and maintained on the Contract? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.1.2 | Other Key Personnel |  |  |
| 3.1.2 | Does the Project Quality Plan state (or have provision to state) the responsibilities and authorities of other key personnel who will be responsible for implementing the quality management system requirements of the Contract? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.1.2 | Does the Project Quality Plan nominate (or have provision to nominate) the person(s) fulfilling key roles specified in the specifications applicable to the contract; for example, Piling Supervisor, Responsible Welding Coordinator and Welding Supervisor, Paving Supervisor (for concrete pavements), Concrete Supervisor (for concrete structures), etc? *(not applicable for Q5)* |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.1.2 | Does the Project Quality Plan nominate (or have provision to nominate) the person(s) responsible for supervision of other major construction activities in the Contract; for example, earthworks, asphalt paving, etc? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.2 | Monitoring and Measuring Resources |  |  |
| 3.2.1 | General |  |  |
| 3.2.1 | Does the Project Quality Plan include (or have provision to include) a list of monitoring, measuring and testing devices (other than laboratory testing equipment) used to ensure or verify conformity of the Works? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 3.2.2 | Measurement Traceability |  |  |
| 3.2.2 | Where applicable, does the Project Quality Plan include (or have provision to include) calibration and maintenance schedules for the monitoring, measuring and testing devices? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 3.2.2 | Is documented information kept of the calibration status of the equipment? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 3.3 | Competence and Awareness |  |  |
| 3.3.1 | Quality Management Induction and Training |  |  |
| 3.3.1 | Does the Project Quality Plan include (or have provision to include) an induction and training plan describing the competence required, the personnel to be trained, and the frequency of the training? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.4 | Communication and Documented Information |  |  |
| 3.4.2 | Control of Documented Information |  |  |
| 3.4.2 | Does either the Quality Manual or Project Quality Plan include a procedure for version control of documented information, including those from the Principal or external design service provider? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.4.2 | Does either the Quality Manual or Project Quality Plan include a procedure for the controlled distribution of documented information, including to suppliers and subcontractors? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.5 | Operational Planning and Control |  |  |
| 3.5.2 | Planning Documents in Other Specifications |  |  |
| 3.5.2 | Does the Project Quality Plan include (or have provision to include) a list of planning documents identified in Annexure D of the project specifications? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.6 | Design and Development of Products and Services *(only applicable if scope of quality management system includes design and development)* |  |  |
| 3.6.1 | Design Plans |  |  |
| 3.6.1 | Where applicable, does the Project Quality Plan include (or have provision to include) Design Plan(s) showing the design stages and associated controls for each stage, for all design activities required under the Contract? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 3.6.2 | External Design Service Provider |  |  |
| 3.6.2 | Where design and development is to be provided by an external service provider (i.e. design subcontractor), does the Project Quality Plan include details of the controls for such externally provided service? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 3.7 | Control of Externally Provided Processes, Products and Services |  |  |
| 3.7.1 | General |  |  |
| 3.7.1 | Does the Project Quality Plan include (or have provision to include): |  |  |
| (a) | details of the major items of product or services that are to be externally provided? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| (b) | a procurement schedule showing the timing of the procurement process, with due allowance for any lead time required for approval by the Principal? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| (c) | the method of evaluation of the supplier’s or subcontractor’s ability to provide products and services which will conform to the specified requirements? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.7.3 | Type and Extent of Control |  |  |
| 3.7.3 | Does the Project Quality Plan include details of the type and extent of control to be exercised over supplier(s) and subcontractor(s) to ensure the provision of conforming products and services? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 3.7.3 | Does the Project Quality Plan include details for surveillance of subcontractors to monitor their performance and verify that their quality management system is being implemented? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 3.8 | Control of Production and Service Provision |  |  |
| 3.8.1 | General |  |  |
| 3.8.1 | Where appropriate, do the documented controls for work processes include: |  |  |
| (a) | product characteristics, tolerances and workmanship standards to be met? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| (b) | competency and skills requirements for personnel, including any required qualifications |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| (c) | method(s) of monitoring the work process, and showing the relevant inspection and test points? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| (d) | method(s) of controlling the work process to prevent human error? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| (e) | method(s) for identifying and controlling the inspection and test status of product or work, including that which is incorporated into the Works prior to it being verified as conforming? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| (f) | method of arranging for release of HOLD POINTS by the Principal (including that for work carried out by subcontractors)? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| (g) | responsibilities for implementing and monitoring work process controls and rectifying any deficiencies? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| (h) | records to be kept as evidence that the work process controls are effective? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.8.1 | Does the Project Quality Plan identify and list (or have provision to identify and list) any work processes where the resulting outputs cannot be verified by subsequent monitoring and measurement, and the method of validation of these processes? *(only applicable if “special processes” are involved)* |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.8.2 | Inspection and Test Plans |  |  |
| 3.8.2 | Does the Project Quality Plan include Inspection and Test Plans (ITPs) and associated forms, for use in verifying that the Works comply with the specified requirements? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.8.3 | Frequency of Testing |  |  |
| 3.8.3 | Is the appropriateness of the frequency of testing nominated in the ITPs reviewed as part of management review? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 3.9 | Identification and Traceability |  |  |
| 3.9 | Does the Project Quality Plan include methods of identification and traceability for various types of work? *(only applicable to precast concrete elements, steel plates used in bridge girders and columns, structural bolts in fatigue prone situations, concrete in structures and pavements, plant mixed stabilised material, and asphalt)* |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.10 | Property Belonging to Principal |  |  |
| 3.10 | Where applicable, does the Project Quality Plan include procedure(s) for care of property belonging to the Principal while it is under the control of the Contractor, such as Principal supplied materials or equipment, and items to be retained by the Principal during demolition of existing structures? |  |  |
| Applicant |  |  |  |
| Assessor |  | F | [ ] |
| 3.11 | Close Out of Work Lots and Release of Products |  |  |
| 3.11.1 | General |  |  |
| 3.11.1 | Does the Project Quality Plan include a procedure for close out of a conforming work Lot? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.11.2 | Covering Up Before Verification of Conformity |  |  |
| 3.11.2 | Where applicable, does the Project Quality Plan include a procedure describing how a work Lot which will be covered up before it is verified to be conforming, will be identified and traced, and subsequently verified for conformity, and what action will be taken if full conformity is not achieved? *(only applicable to work output that is areal in nature such as constructed earthworks or pavements)* |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.12 | Control of Nonconforming Outputs |  |  |
| 3.12.1 | General |  |  |
| 3.12.1 | Does the Project Quality Plan include a procedure for the identification and control of any product or service that do not conform to the specified requirements, including options for its disposition? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.12.1 | Does the Project Quality Plan include a Nonconformity Report with details of: the nonconformity; the root cause of the nonconformity; the proposed disposition for the nonconformity; and the proposed corrective action on the root cause of the nonconformity? (template Nonconformity Report or sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.13 | Internal Audit |  |  |
| 3.13.1 | Audit Schedule |  |  |
| 3.13.1 | Does the Project Quality Plan include an internal audit schedule covering audits on operation of the quality management system, audits of work process control, and product or service audits? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 3.15 | Corrective Action |  |  |
| 3.15.2 | Required Action By Contractor |  |  |
| 3.11.2 | Does the Project Quality Plan include a procedure for identifying the root cause of nonconformities? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4 | RECORDS MANAGEMENT |  |  |
| 4.1 | Records Management System *(not applicable for Q5)* |  |  |
| 4.1.1 | General |  |  |
| 4.1.1 | Does the organization have a Records Management System, either as part of the quality management system or as a separate system, for the creation, capture, storage, retrieval and use of records? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4.1.2 | Record Keeping Policy |  |  |
| 4.1.2 | Does the Records Management System include a record keeping policy? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4.2 | Records Management Plan |  |  |
| 4.2.1 | General |  |  |
| 4.2.1 | Does the Records Management System or Records Management Plan include procedures for the creation, registration, filing, indexing, storage, movement, maintenance, retrieval and disposal of Project Records, and their control? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 4.2.1 | Does the Records Management Plan include (or have provision to include) a list of all Identified Records under the Contract, and a procedure for the submission and delivery of Identified Records to the Principal |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 4.2.3 | Record Keeping Responsible Person |  |  |
| 4.2.3 | Does the Records Management Plan nominate (or have provision to nominate) a person who will be responsible for record keeping matters, and be the contact person on matters relating to Project Records including provision of access to, or copies of, such records? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 4.2.4 | Disaster Recovery Plan |  |  |
| 4.2.4 | Does the Records Management System or Records Management Plan include a disaster recovery plan (or procedures) for the Contract, providing an organised and prioritised response to a disaster? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4.2.5 | Review and Audit |  |  |
| 4.2.5 | Does the Records Management Plan state the requirements for review of the Records Management Plan, to confirm the continuing suitability and effectiveness of the Records Management Plan? |  |  |
| Applicant |  |  |  |
| Assessor |  | L | [ ] |
| 4.4 | Identified Records |  |  |
| 4.4.1 | General |  |  |
| 4.4.1 | Does the Records Management Plan include (or have provision to include) a list of all Identified Records stated in Annexure C2 of all specifications which are applicable to the Contract? (sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 5 | SAMPLING AND TESTING |  |  |
| 5.4 | Lot Definition and Sampling Locations |  |  |
| 5.4.4 | Lot Boundaries |  |  |
| 5.4.4 | Does the Project Quality Plan include a procedure for determining the Lot boundaries? *(only applicable to work output that is areal in nature such as constructed earthworks or pavements)* |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 5.4.6 | Lot Identification |  |  |
| 5.4.6 | Does the Project Quality Plan include a procedure for Lot numbering, including details of how the location of the Lot is identified? |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |
| 5.4.6 | Does the Project Quality Plan include a Lot register identifying each Lot in the contract? (template Lot register or sample documents acceptable) |  |  |
| Applicant |  |  |  |
| Assessor |  | W | [ ] |