|  |  |  |  |
| --- | --- | --- | --- |
| RMSGov_logo_mono_RGB |  | Contractor Project Quality Plan (PQP) compliance checklist | 906 |
| Regional Maintenance |  | For information about this form see procedure: OCP-04 Contractor management |

|  |
| --- |
| RM Project Engineer to strike through [~~strike through~~] non- applicable requirements before issuing to the Contractor.  Project Engineer to check for compliance when completed and returned by the Contractor. **(Delete this box before sending to the Contractor).** The generic version of this checklist has been developed against Q4 Ed 2/Rev 8 and Q6 Ed 1/Rev 10. |

**This document is to be completed by the Contractor to show how their documentation complies with RMS requirements.**

**Contract**

**Contractor**

|  | To be completed by Contractor | To be completed by RM |
| --- | --- | --- |

| RMS Q4/ Q6 Clause | Requirement | Yes/No | Reference to clause/ page in your PQP | Complies  Y/N  Comments/ Actions (where there is non-compliance) |
| --- | --- | --- | --- | --- |
| **4.2** | DOCUMENTATION REQUIREMENTS |  |  |  |
| 4.2.2 | Quality Management System Documents |  |  |  |
|  | Does your PQP reference or include quality management system procedures? |  |  |  |
|  | Do your quality management system procedures shown in PQP cover the relevant requirements of ISO 9001 Section 4 as applicable for this project?  *(Overview response only needed to this question)* |  |  |  |
|  | Is your PQP set up to effectively communicate to various levels of organisational responsibility what they have to do and how to do it? |  |  |  |
| 4.2.3 | Control of Documents |  |  |  |
|  | Does your PQP define authority for approval, issue and review of quality management system documentation for this project? |  |  |  |
|  | Are documents included in your PQP authorised by the appropriate personnel? |  |  |  |
|  | Are all documents in your PQP identified and revision status shown on a master list (or equivalent)? |  |  |  |
|  | Does your PQP identify how applicable issues of documents will be made available at locations where operations essential to effective functioning of the quality management system is performed? |  |  |  |
|  | Does your PQP include procedure for change control? |  |  |  |
|  | Does your PQP include procedure for removing obsolete documents promptly from points of use or clearly identifying them as obsolete? |  |  |  |
|  | Does your PQP define responsibility for maintaining the following documents at site:  - Drawings, specifications? [**RMS Q6 only**] - Specified Test Methods? [**RMS Q6 only**] - ISO 9001, HB90.3? [**RMS Q6 only**] - Other documents as required by RMS specifications? |  |  |  |
| 4.2.4 | Control of Records |  |  |  |
|  | Does your PQP include procedures for identification, collection, indexing, access, filing, storage, maintenance and disposition of quality records for the project? |  |  |  |
|  | Do quality records include all those shown in **RMS Q Annexure Q/E**? |  |  |  |
|  | Does your record system cover locations shown in **RMS Q Annexure Q/E**? |  |  |  |
|  | Will records associated with the project be filed in facilities that provide a suitable environment to minimise deterioration or damage, prevent loss and be readily retrievable? |  |  |  |
|  | Are retention times established and recorded for quality records associated with the project (**RMS Q Annexure Q/E Clause E1.4.4**)? |  |  |  |
|  | Is provision made for Principal’s Authorised Person to have reasonable access to records? |  |  |  |
|  | Does your PQP identify any commissioning records and operation and maintenance manuals for submission to Principal’s Authorised Person? |  |  |  |
| **5.3** | **QUALITY POLICY [RMS Q6 only]** |  |  |  |
|  | Is Quality Policy and objectives included in your PQP and relevant to this project? |  |  |  |
| **5.4** | **PLANNING** |  |  |  |
|  | Does your PQP address RMS’s quality management system requirements (Table Q/D)? |  |  |  |
| **5.5** | **RESPONSIBILITY, AUTHORITY AND COMMUNICATION** |  |  |  |
| 5.5.1 | Responsibility and Authority |  |  |  |
|  | Do personnel who manage, perform and verify work affecting quality management in relation to this project have their responsibility and authority defined in your PQP and communicated within the organisation? |  |  |  |
| 5.5.2 | Management Representative |  |  |  |
|  | Is your Project Quality Representative nominated and their responsibilities defined? |  |  |  |
|  | Is your Project Quality Representative’s position, qualifications and experience shown? |  |  |  |
|  | Does your PQP defines responsibility and authority for personnel who: |  |  |  |
|  | - Identify/record quality problems? |  |  |  |
|  | - Initiate/recommend solutions through designated channels? |  |  |  |
|  | - Verify implementation of solutions? |  |  |  |
|  | - Control further processing/delivery/installation of nonconforming product until deficiency or unsatisfactory condition is corrected? |  |  |  |
| 5.5.3 | Internal Communication [RMS Q6 only] |  |  |  |
|  | Does your PQP clearly define the inter-relationship between corporate QA staff and site personnel responsible for quality? |  |  |  |
| **5.6** | **MANAGEMENT REVIEW** |  |  |  |
|  | Does your PQP include procedure for management review of PQP and indicates timetable and agenda? |  |  |  |
| 6.2.2 | COMPETENCE, AWARENESS AND TRAINING |  |  |  |
|  | Does your PQP identify tasks requiring qualified or skilled personnel? |  |  |  |
|  | Do you verify that suitably qualified personnel are available? |  |  |  |
|  | Does your PQP include procedure to identify training needs of project personnel and arrange appropriate training? |  |  |  |
|  | Do you arrange induction programme to make project personnel aware of Project Quality Policy and their quality management responsibilities, including subcontractors? **[RMS Q6 only]** |  |  |  |
|  | Is site specific induction and training plan included in your PQP? **[RMS Q6 only]** |  |  |  |
|  | Are training and induction records maintained?  **[RMS Q6 only]** |  |  |  |
|  | Is responsibility and authority defined for planning and implementing training and induction? **[RMS Q6 only]** |  |  |  |
| **7.3** | **DESIGN AND DEVELOPMENT** |  |  |  |
|  | Are Design Plans submitted which address design tasks and responsibilities, identify organisational/technical interfaces, design criteria, verification checks, design reviews and any design validation needed for: |  |  |  |
|  | - Permanent works for which Specification assigns design responsibility to Contractor (e.g. reinforced soil wall)? |  |  |  |
|  | - Temporary structures? |  |  |  |
|  | - Checking permanent structures for construction loading? |  |  |  |
|  | - Alternative permanent structures proposed by Contractor? |  |  |  |
|  | - Concrete/asphalt mixes? |  |  |  |
|  | - Traffic control, temporary roadways and detours? |  |  |  |
|  | Does your PQP include methods for control and verification of any design subcontractors who don’t have a quality management system? **[RMS Q6 only]** |  |  |  |
|  | Does your PQP define responsibility for identifying, documenting, reviewing and approving design changes and modifications before their implementation? |  |  |  |
|  | Does your PQP indicate method of identifying changes to design output? |  |  |  |
| **7.4** | **PURCHASING** |  |  |  |
|  | Does your PQP identify items to be purchased or work to be subcontracted (where you have been given approval to subcontract part of the works)? |  |  |  |
|  | Does your PQP identify your methods of surveillance and inspection of subcontractor’s operations to verify compliance with their quality management system and with specified product quality? |  |  |  |
|  | Does your PQP identify how you will verify and release subcontractor’s product at subcontractor’s premises, when applicable? |  |  |  |
|  | Does your PQP require you to verify that each purchased product will be compatible with other products and works, as appropriate? |  |  |  |
|  | Does your PQP define responsibility for ensuring that purchased product is handled and installed as per manufacturer’s recommendations? |  |  |  |
|  | Does your PQP identify processes where independent inspection, witnessing and monitoring will be carried out? (**RMS Q Annexure Q/F**) |  |  |  |
|  | Does your PQP identify any products to be supplied by the Principal and include specific procedures for their safekeeping (if needed)? |  |  |  |
| **7.5** | **PRODUCTION AND SERVICE PROVISION** |  |  |  |
|  | Are Work Process Control Plans (PCPs) included for all manufacturing and construction activities as required by RMS’ Specification and in all cases where the absence of a PCP could adversely affect quality? |  |  |  |
|  | Are decisions to omit PCP’s documented for each process without a PCP? |  |  |  |
|  | Does your PQP include mechanisms for review and approval of processes and define responsibilities? |  |  |  |
|  | Does your PQP define responsibility for implementing and monitoring process controls, and rectifying any deficiencies? |  |  |  |
|  | Where “qualified” Work Processes are to be undertaken by a subcontractor, does your PQP indicate how you assess subcontractor’s capability? |  |  |  |
| 7.5.1 | Survey [Refer also RMS G71] |  |  |  |
|  | Does your PQP contain suitable survey control procedures to: |  |  |  |
|  | - Set out the works? |  |  |  |
|  | - Verify conformity to Drawings and Specifications? |  |  |  |
|  | - Determine lengths, areas or volumes of materials or products, where required, for measurement of work? |  |  |  |
|  | Do you use qualified surveyors to direct and take responsibility for all surveys? |  |  |  |
|  | Is survey equipment subject to appropriate control **(ISO 9001 Clause 7.6)**? |  |  |  |
| 7.5.3 | Identification and traceability |  |  |  |
|  | Does your PQP include system for subdividing work into lots and for uniquely identifying each lot? |  |  |  |
|  | Will this system be used to identify all samples and test results with the field location to which they relate? |  |  |  |
|  | Does your PQP provide for traceability of materials (e.g. concrete, asphalt and stabilised pavement material, steel plate in bridge girders and columns from production source to site location)? |  |  |  |
| **7.6** | **CONTROL OF MONITORING AND MEASURING DEVICES** |  |  |  |
|  | Does your PQP indicate your system for controlling, calibrating and maintaining inspection, measuring and test equipment to provide for: |  |  |  |
|  | - Determining measurements and accuracy required and selecting equipment capable of necessary accuracy and precision for intended application? |  |  |  |
|  | - Establishing a calibration register and programme to include all measuring and test equipment used on the project site, with periodic calibration at prescribed intervals or prior to use? |  |  |  |
|  | - Engaging certified external calibration services or establishing suitable methods to check calibration against internationally or nationally recognised standards and describing actions if results are unsatisfactory? |  |  |  |
|  | - Carrying out calibrations when required and keeping records? |  |  |  |
|  | - Identifying calibration status of equipment by suitable indicator or record? |  |  |  |
|  | - Confirming (by audit) calibration status of measuring and test equipment used by subcontractors? |  |  |  |
|  | - Providing suitable containers for storage of equipment and instructing personnel on handling and use of equipment to prevent abuse, misuse or damage and maintain accuracy and fitness for use? |  |  |  |
|  | - Verifying the validity of previous inspection and test results if equipment is damaged or out of calibration? |  |  |  |
|  | - For IMTE calibrated in-house, preserving condition of calibration facilities (if applicable) to maintain suitability for accurate calibration? |  |  |  |
|  | - Defining responsibility for above control measures? |  |  |  |
| **8.1** | **MEASUREMENT, ANALYSIS AND IMPROVEMENT - GENERAL** |  |  |  |
|  | Does your PQP identify work processes for which RMS statistical techniques are applicable? |  |  |  |
|  | Are sampling personnel responsible for determining and recording random sampling locations? |  |  |  |
|  | Is conformity of lots determined by calculating characteristic value of attribute, when applicable? |  |  |  |
|  | Do you require nonconforming lots to be fully re-sampled and retested after rework? |  |  |  |
| **8.2** | **MONITORING AND MEASUREMENT** |  |  |  |
| 8.2.2 | Internal Audit [RMS Q6 only] |  |  |  |
|  | Does your PQP include Audit Schedule identifying:  - Quality management system audits? - Product or service audits? - Process and technical procedure audits? - Audits of subcontractors? |  |  |  |
|  | Will all work process control activities be audited at least once during the project? |  |  |  |
|  | Are audit results recorded and brought to attention of responsible personnel for action? |  |  |  |
|  | Is responsibility defined for scheduling audits and reviewing audit results? |  |  |  |
| 8.2.4 | Monitoring and measurement of product |  |  |  |
|  | Are ITPs included for all manufacturing and construction activities controlled by you that require inspection and testing? |  |  |  |
|  | Are NATA-accredited (or Principal’s Authorised Person approved) laboratories or personnel used for sampling and testing, (including selection of locations) when appropriate? |  |  |  |
|  | Does your PQP define responsibility for verifying conformity of incoming product before using it in the Works? |  |  |  |
|  | Is amount and nature of receiving inspection planned with consideration of controls exercised by subcontractor and subcontractor’s conformity records? |  |  |  |
|  | Do you have an effective positive recall mechanism if incoming product is released for urgent use before you verify its conformity? |  |  |  |
|  | Is responsibility defined for in-process inspection activities? |  |  |  |
|  | Are products held until all tests are completed and results received (except positive recall)? |  |  |  |
|  | Do you carry out final review of all inspection/test results to confirm that all inspections and tests have been carried out to completely verify conformity for each lot? |  |  |  |
|  | Is responsibility defined for final (or acceptance) inspection and testing? |  |  |  |
|  | Is responsibility defined for final review of all inspection/test results to confirm that all inspections/tests have been carried out to completely verify conformity for each lot? |  |  |  |
|  | Is each product held until it has passed final review of inspection and testing? |  |  |  |
|  | Do you produce a suitable summary of conformity results? |  |  |  |
| **8.3** | **CONTROL OF NONCONFORMING PRODUCT** |  |  |  |
|  | Does your PQP define suitable methods for identifying and controlling inspection and test status of each lot to indicate its conformity or nonconformity? |  |  |  |
|  | Does your PQP apply corporate nonconformity procedure to: |  |  |  |
|  | - Identify, notify and segregate nonconforming and untested product to prevent unintended use? |  |  |  |
|  | - Evaluate nonconformities and determine appropriate dispositions? |  |  |  |
|  | - Ensure submission of Nonconformity Report or acceptable program to Principal’s Authorised Person within 2 working days for concurrence to dispositions, except when simply reworking with same process **(RMS Q Clause 8.3)?** |  |  |  |
|  | - Ensure that reworked and repaired products are re-inspected and re-tested? |  |  |  |
|  | - Prevent covering up of rectified work if required by Principal’s Authorised Person, pending review by Principal’s Authorised Person of completed rectification **(RMS Q Clause 8.3**)? |  |  |  |
|  | - Maintain records which trace the resolution of the nonconformity and identify actual condition of product when resolution has been completed, including register which summarises status of nonconformity rectification? |  |  |  |
|  | Does your PQP clearly define responsibility and authority for control of nonconforming product? |  |  |  |
| **8.5** | **IMPROVEMENT** |  |  |  |
|  | Does your PQP apply corporate corrective action procedure to: |  |  |  |
|  | - Review, analyse and record the cause of nonconformities? |  |  |  |
|  | - Effectively handle customer complaints? |  |  |  |
|  | - Determine corrective actions needed (including immediate to prevent repetition, and long term to eliminate cause) which are appropriate to the magnitude of the problem and commensurate with the risk encountered? |  |  |  |
|  | - Monitor and review outcomes to confirm that corrective action is effective? |  |  |  |
|  | Does your PQP clearly define responsibility and authority for detection of deficiencies, investigation of causes, authorisation and application of controls to ensure corrective action is effective? |  |  |  |

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| --- |
| **Contractor Verification** |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| The Contractor or Contractor’s representative who completes the checklist completes this section to confirm that their documentation complies with RMS requirements. | | | | |
| Contractor name: |  | Position: |  | |
| Company name: |  | Contact Phone: |  | |
| Email: |  | | | |
| Signature: |  | | Date: |  |

|  |
| --- |
| **Project Engineer Assessment** |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Note:** It is recommended that the Contractor work to their own Quality Management Plan where the contract is valued > $1 million or where the work is complex with definite possibility of product or service nonconformity. | | | | |
| Quality Management Plan assessed as complete for this project? | Yes | □ | No | □ |
| Contractor to work under their own Quality Management plan? | Yes | □ | No | □ |

If there are non-compliances or if there are specific sections of the RM Quality Management Plan the contractor is required to work under, list these below. Hard copies of RM RSMP/PSP (or sections thereof) provided to the Contractor must be controlled.

|  |
| --- |
|  |

|  |  |  |  |
| --- | --- | --- | --- |
| PE name: |  | Date: |  |
| PE signature: |  | | |

**Guidance notes (delete this section prior to sending to the contractor)**

This checklist is prepared by the RM Project Engineer and used once the successful contractor is selected and a Form-901 Contractor Pre Engagement Questionnaire has been completed.

The intention of this checklist is for the Contractor to list where their Quality Management Plan meets RMS requirements. It will also identify if there are any deficiencies in the contractor’s Quality Management Plan that need to be supported by RM to ensure compliance in the delivery of works. If only part compliant, or if there are specific sections of the RM QMP that the contractor is required to work to, these are listed above.

The Project Engineer must verify the Contractor’s quality planning documents using this form prior to commencement of work on site.

Once the Checklist is completed and returned by the Contractor, retain a copy for your site records and send a copy to the Procurement Unit.

Ensure that contractors and their documentation meet RMS and RM’s requirements for safety, environmental and quality management as follows:

|  |  |
| --- | --- |
| Type of contractor | Responsibilities |
| Panel contract | **Procurement Unit** – as part of the evaluation the contractor’s system certification, prequalification and registration evidence and currency (where applicable) and the contractor’s standard management plan documents (Q, E, S) are assessed against RMS requirements. The Procurement Unit will work with contractor to close-out any standard deficiencies.  **Procurement Unit** – approve the standard documents that meet RMS requirements, which is conditional for the contractor to become eligible to deliver works and services under the panel.  **Project Engineer** – prior to commencing, project specific Quality, WHS and Environmental requirements are assessed and compared against any standard documents approved through the Procurement Unit. Any site specific matters are recorded and mitigated in the management plans including, but not limited to, the risk assessment, staff and equipment details, ITPs, SWMS, Emergency Plan, CEMP, EWMS, TCPs, VMPs. Deficiencies in plans are communicated to the contractor, resubmitted, assessed and approved prior to the product being delivered or service commencing.  **Procurement Unit** – manages the audit program. See QP11 Internal Audit on ROMS.  **Project Engineer** – plans for and manages surveillance of the contractor. |
| Stand alone contract | **Procurement Unit** – as part of the evaluation stage, assesses the contractor’s system certification, prequalification and registration evidence and currency where applicable, and assesses the contractor’s standard management plan documents (Q, E, S) against RMS requirements. The Procurement Unit will work with the proponent to close-out any standard deficiencies.  **Project Engineer** – as part of the transition stage, assesses the project specific requirements against the management plans submitted with the tender, including Quality Plan, ITPs, WHS Management Plan, SWMS, CEMP, TCPs, VMPs and authorise suitable for use on the project.  Deficiencies must be communicated to the contractor, resubmitted, assessed and approved prior to that product or service being delivered.  **Project Engineer** – plans for and manages surveillance of the contractor.  **Regional SEQ Systems staff** – manages the audit program. |
| All Contracts and Panels | **Project Engineer** – manages contractor on site including monitoring system implementation requirements, Release management plan, technical, process and corrective action hold points. |
| All Contracts and Panels over $50,000 and all Tier 2 & Tier 3 Asphalt projects | **Project Engineer** - completes a Contractor Performance Report (CPR) in accordance with the requirements of ICP 08 Contractor [Performance Reporting on Contractors to the Construction Industry](http://home.rta.nsw.gov.au/intranetsitesearch/viewDocument.jsp?cid=viewDocument&viewDocument:Query=Contractor%20Performance%20Report%20%20&viewDocument:QueryParser=Internet_AdvancedWeb&dtype=K2V_DocNative&viewDocument:DocumentKey=..%2Foriginal%2Ficprocedures%2Ficp-08.pdf%40crd2) including specified reporting intervals.  **Project Engineer** – supplies the fully completed CPR to the Procurement Unit upon completion of the works.  **Procurement Unit** – enters CPR report into CM21.  **Procurement Unit and Region:** work together to address unacceptable performance reported in the CPR. |

See OCP-04 *Contractor Management* for full requirements on specifying system requirements in the contract, assessing contractor’s management systems and managing contractors on site.