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Project Quality Assurance Audit & Reporting Process Guideline

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1.0 PRE-AUDIT MEETING

1.1 Audit Team Leader

- A Pre-Audit Opening Meeting will be held with the management of the Auditee to discuss the audit purpose, scope and process. Attendees at the meeting will record their presence on the Site Visit Summary Attendance Sheet Template (EPM-EQA-TP-000003) per the Project Quality Assurance Audit Procedure EPM-EQA-PR-000001.

2.0 CONDUCTING THE AUDIT

2.1 Audit Team

- Audits will be conducted by interviews and/or examinations of objective evidence using applicable documents which illustrate the application of program requirements being audited.
- Checklist(s) will be used in performing Quality Assurance Audits and for recording audit results. Where objective evidence is provided to demonstrate a finding (e.g. digital photo, copy of certificate), it shall be retained and included in the Audit Report as an attachment.

2.2 Audit Team / Auditee

- Non-conformities identified during all audits will be discussed with the Organization's/ Department's Auditee(s) and where agreed, documented on Corrective Action Notices (CANs) within the Audit Report. These require a formal response from the Auditee (see Project Quality Corrective and Preventative Action Procedure EPM-EQ0-PR-000003).
- Minor non-conformities are identified as Observations and considered to be opportunities for improvement by the Auditee. They do not require a formal response from the Auditee but are still recorded in Quality Assurance Audit and Surveillance Reports.

3.0 POST-AUDIT MEETING

3.1 Audit Team Leader / Auditee

- A Post-Audit Closing Meeting will be convened by the Audit Team Leader, with the Auditee. All key Auditee participants and relevant members of line management including senior management representatives shall be encouraged to attend. Attendees will record their presence on the Site Visit Summary Attendance Sheet Template (EPM-EQA-TP-000003).

3.2 Team Leader / Auditee

At the Post-Audit meeting, the Audit Team Leader will:

- Present an objective summary of the Audit
- Outline the Audit results providing the Auditee with the opportunity to fully discuss CANs and Observations such that any misinterpretation or misunderstanding is avoided. Favorable remarks regarding processes, products will also be summarized.
- In conjunction with the Auditee, establish the responsibilities and schedule completion date(s) for close-out of CANs. Scheduled completion dates shall be established for each CAN with due consideration given to the severity or critical nature of each non-conformance identified.
- Indicate the intended date for issuing the Audit Report and provide details regarding response to audit results, and associated CANs (when applicable).

4.0 AUDIT REPORTS

4.1 Audit Team Leader

- After completion of a Quality Assurance Audit, the Audit Team Leader will prepare an Audit Report using the template (EPM-EQA-TP-000007). The Audit Report shall contain all the documents identified as Attachments in section 6.0 of the report template. Audit results shall be summarized using the template (EPM-EQA-TP-000004). Original Checklists completed during the audit need not necessarily be attached.
- All Audit Reports will be signed by the Audit Team Leader before transmission to the Auditee.
- At the discretion of the Team Leader, Observations may be included in an Audit Report. Observations are intended to foster process enhancement(s) and/or efficiency improvements. Compliance with the Observations shall not be mandatory.
- In the interests of maintaining a balanced viewpoint, Audit Reports will also identify any favorable points noted during the Audit (e.g. especially effective or efficient implementation activities and/or process improvement opportunities).

5.0 AUDIT REPORT DISTRIBUTION

5.1 Audit Team Leader

- Audit Reports will be signed and distributed to the Auditee and relevant Functional Management by the Team Leader. A copy of the Audit Report shall be maintained current within the Enterprise Content Management System (ECMS).

5.2 Authorized Contract Representative

- For External Quality Audits, Audit Reports will be transmitted to the audited organization through the Contract Representative via written notification.

  Note: All further correspondence regarding Audits shall be circulated as per the initial distribution list until the Audit is closed.

5.3 Quality Assurance Staff

- The Quality Audit Status Report Template (EPM-EQA-TP-000006) maintained by the Quality Assurance Department will be updated whenever a new Audit Report is issued and the ECMS updated accordingly.

6.0 CONDUCTING THE SURVEILLANCE

- A Quality Surveillance differs from an Audit in notification, scope, and formality. However, the actual activities and post audit closeout are identical.
- In the case of a Quality Surveillance, an Audit Notification and Plan (EPM-EQA-TP-000002) is not required (although the Auditor may draw up an Agenda/alternative Plan), but, the Contract Representative or internal Auditee shall be formally notified by e-mail at least two days in advance.
- Formal Pre- and Post-Audit meetings are not required. A brief meeting with the Project Manager to provide an overview of the Surveillance process is sufficient.
- A limited number of activities are reviewed in the same manner as a Quality Assurance Audit.
- After completion of a Quality Surveillance, the Auditor shall complete a Quality Surveillance Report Template (EPM-EQA-TP-000005). Activities monitored during the surveillance shall be documented in the Surveillance Report.
- Post surveillance activities shall be performed as described in sections 6.8, 6.9, and 6.10 of the Project Quality Assurance Audit Procedure EPM-EQA-PR-000001.