ACT Government
Major Projects Canberra

ACT GOVERNMENT SECOND PARTY AUDIT REPORT

Audit Number		Audit Date	

Supplier Name	
ABN / ACN	
Address	
Management Representative	
Senior Auditor	
Audit Scope	

Audit Standards

ISO 9001:2015 ☐ AS 4801:2001 ☐ ISO 14001:2015 ☐

Summary Report

☐ All relevant observations were discussed and agreed as understood with the appropriate personnel.

☐ Opening meeting was held on _____ refer to attached attendance record.

☐ Closing meeting was held on _____ refer to attached attendance record.

☐ Copy of this report with Specific Comment(s) No. (s) _____ was provided to the supplier.

☐ Audit Checklists were used in auditing and will be filed and stored.

☐ Checklist Summary has been filed for ☐ ISO 9001 ☐ AS 4801:2001 ☐ ISO 14001

Certification Report

☐ QA Substantial Level Certification Recommended Yes ☐ No ☐

☐ Occupational Health Safety Recommended Yes ☐ No ☐

☐ Environmental Management Certification Recommended Yes ☐ No ☐

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Comments

Senior Auditor **Date**

Consent that the Audit Report may be forwarded to the Prequalification Registrar, Major Projects Canberra

Auditee's Signature **Date**

SPECIFIC COMMENTS

(Please indicate whether it is a Major or Minor non-conformance, or an Observation)

No 1 Ma ☐ Mi ☐ Obs ☐

No 2 Ma ☐ Mi ☐ Obs ☐

No 3 Ma ☐ Mi ☐ Obs ☐

No 4 Ma ☐ Mi ☐ Obs ☐

No 5 Ma ☐ Mi ☐ Obs ☐

Senior Auditor **Date**

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Supplier Company Name	
Management Representative	
Senior Auditor	

Name	Title / Organisation	Entry Meeting (Signature)	Exit Meeting (Signature)

DISCLAIMER

ACT GOVERNMENT SECOND PARTY AUDIT REPORT

The Applicant (auditee firm) acknowledges by the execution of the application for Management System Certification that the Australian Capital Territory acting through the Treasury & Economic Development Directorate:

1. by certifying the Applicant as prequalified under the Prequalification Scheme, does not necessarily certify that the Applicant has complied, or will in the future comply, with all its obligations at law in relation to activities of the nature contemplated by, or carried out in accordance with procedures certified as meeting the requirements of the Prequalification Scheme and the Territory will not, in any way, be liable for any past or future breach of the law, whether in relation to activities of the nature contemplated by, or carried out in accordance with procedures certified as meeting the requirements of the Prequalification Scheme or otherwise;

2. has no control over the activities of the auditor which the applicant engages to conduct the audit in respect of the application for certification and cannot accept any responsibility in respect of any matter arising out of the audit process including any negligent or fraudulent activity on the part of the auditor. The Applicant acknowledges that in those circumstances the Applicant does not rely on any representation implied or otherwise as to the capacity, capability or honesty of the auditor in relation to any activity of the auditor associated in any way he application by the Applicant.

3. By certifying that the Applicant meets the requirements of the Prequalification Scheme does not endorse in any way the business or other activities of the Applicant and the Applicant undertakes that it shall not represent either directly or impliedly that the Territory endorses the business or activities of the Applicant by reason solely of the Applicant's certification as prequalified under the Prequalification Scheme.

Applicant's Representative Name (printed please)

Signature

Date

Witnessed by

Senior Auditor's Name

Signature

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Major Projects Canberra

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CHECK LIST

Major Non-Conformance (needs to be corrected within 13 weeks & closed out):

Based on objective evidence, the absence of, or a significant failure to implement and/or maintain conformance to the requirements of the applicable standard. (i.e. the absence of or failure to implement a complete Management System clause of the standard, including legal noncompliance); or A situation which would on the basis of available objective evidence, raise significant doubt as to the capability of the Management System to achieve the stated policy and objectives of the customer.

Minor Non-Conformance (needs to be closed out before the next audit):

Represents either a management system weakness or minor issue that could lead to a major nonconformance if not addressed. Each minor NC should be considered for potential improvement and to further investigate any system weaknesses for possible inclusion in the corrective action program.

Observation (advice only to the auditee):

Auditor's opinion of what could potentially lead to a Non-conformance or how the management system could be improved to prevent such outcome and also improve the effectiveness of the system.

Clause Number	**CHECKLIST SUMMARY** ISO 9001:2015 Quality Management Systems-Requirements	OK	NC		**Major & Minor NC, OBS Ref. No(s)**
		Complies	Minor NC	Major NC	**Note:** *Please keep in mind the above definitio when classifying your findings.*
4.1	Understanding the organization & context	☐	☐	☐	
4.2	Needs & expectations of interested parties	☐	☐	☐	
4.3	Determining the scope of the QMS	☐	☐	☐	
4.4	QMS & its processes	☐	☐	☐	
5.1	Leadership & Commitment	☐	☐	☐	
5.2	Policy (establishing & communicating)	☐	☐	☐	
5.3	Organizational roles & responsibilities	☐	☐	☐	
6.1	Actions to address risks & opportunities	☐	☐	☐	
6.2	Quality objectives & plans to achieve them	☐	☐	☐	
6.3	Planning of changes	☐	☐	☐	

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Clause Number	**CHECKLIST SUMMARY** ISO 9001:2015 Quality Management Systems-Requirements	OK	NC		**Major & Minor NC, OBS Ref. No(s)**
		Complies	Minor NC	Major NC	**Note:** *Please keep in mind the above definitio when classifying your findings.*
7.1	Resources	☐	☐	☐	
7.2	Competence	☐	☐	☐	
7.3	Awareness	☐	☐	☐	
7.4	Communication	☐	☐	☐	
7.5	Documented information	☐	☐	☐	
8.1	Operational planning & control	☐	☐	☐	
8.2	Requirements for products & services	☐	☐	☐	
8.3	Design & development of products & services	☐	☐	☐	
8.4	Control of externally provided processes/prod/serv.	☐	☐	☐	
8.5	Production & service provision	☐	☐	☐	
8.6	Release of products & services	☐	☐	☐	
8.7	Control of non-conforming outputs	☐	☐	☐	
9.1	Monitoring, measurement, analysis & evaluation	☐	☐	☐	
9.2	Internal audit	☐	☐	☐	
9.3	Management review	☐	☐	☐	
10.1	General Improvement	☐	☐	☐	
10.2	Nonconformity & corrective action	☐	☐	☐	
10.3	Continual improvement	☐	☐	☐	

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Definition of Major & Minor Non-conformances and Observations

Major Non-Conformance (needs to be corrected within 13 weeks & closed out) :

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Minor Non-Conformance (needs to be closed out before the next audit) :

Represents either a management system weakness or minor issue that could lead to a major nonconformance if not addressed. Each minor NC should be considered for potential improvement and to further investigate any system weaknesses for possible inclusion in the corrective action program.

Observation (advice only to the auditee) :

Auditor's opinion of what could potentially lead to a Non-conformance or how the management system could be improved to prevent such outcome and also improve the effectiveness of the system.

Clause Number	**CHECKLIST SUMMARY** AS/NZS 4801:2001 Health & Safety Management Standard	OK	NC		**Major & Minor NC, OBS Ref. No(s)**
		Complies	Minor NC	Major NC	**Note:** *Please keep in mind the above definitio when classifying your findings.*
4.1	General Requirements	☐	☐	☐	
4.2	OHS policy	☐	☐	☐	
4.3.1	Planning i/d of hazards, assessment, & control	☐	☐	☐	
4.3.2	Legal and other requirements	☐	☐	☐	
4.3.3	Objectives and targets	☐	☐	☐	
4.3.4	OHS management plans	☐	☐	☐	
4.4.1.1	Resources	☐	☐	☐	
4.4.1.2	Responsibility & accountability	☐	☐	☐	
4.4.2	Training & competency	☐	☐	☐	
4.4.3.1	Consultation	☐	☐	☐	

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Clause Number	**CHECKLIST SUMMARY** AS/NZS 4801:2001 Health & Safety Management Standard	OK	NC		**Major & Minor NC, OBS Ref. No(s)**
		Complies	Minor NC	Major NC	**Note:** *Please keep in mind the above definitio when classifying your findings.*
4.4.3.2	Communication				
4.4.3.3	Reporting				
4.4.4	Documentation				
4.4.5	Document & data control				
4.4.6.1	Hazard i/d, assessment, & control-general				
4.4.6.2	Hazard identification				
4.4.6.3	Hazard assessment				
4.4.6.4	Hazard control				
4.4.6.5	Evaluation				
4.4.7	Emergency preparedness & response				
4.5.1.1	Monitoring & measurement-general				
4.5.1.2	Health surveillance				
4.5.2	Investigation, corrective & preventive action				
4.5.3	Records & records management				
4.5.4	OHS audit				
4.6	Management review				

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Minor Non-Conformance (needs to be closed out before the next audit) :

Represents either a management system weakness or minor issue that could lead to a major nonconformance if not addressed. Each minor NC should be considered for potential improvement and to further investigate any system weaknesses for possible inclusion in the corrective action program.

Observation (advice only to the auditee) :

Auditor's opinion of what could potentially lead to a Non-conformance or how the management system could be improved to prevent such outcome and also improve the effectiveness of the system.

Clause Number	**CHECKLIST SUMMARY** ISO 14001:2015 Environmental Management Systems - Requirements	OK	NC		**Major & Minor NC, OBS Ref. No(s)**
		Complies	Minor NC	Major NC	**Note:** *Please keep in mind the above definitio when classifying your findings.*
4.1	Understanding the Organization & its context	☐	☐	☐	
4.2	Needs & expectations of interested parties	☐	☐	☐	
4.3	Determining the scope of the EMS	☐	☐	☐	
4.4	Environmental Management System	☐	☐	☐	
5.1	Leadership & Commitment	☐	☐	☐	
5.2	Environmental Policy	☐	☐	☐	
5.3	Organizational roles, responsibilities & authorities	☐	☐	☐	
6.1	Actions to address risks & opportunities	☐	☐	☐	
6.2	Environmental objectives & plans for achievement	☐	☐	☐	
7.1	Resources	☐	☐	☐	

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Clause Number	**CHECKLIST SUMMARY** ISO 14001:2015 Environmental Management Systems - Requirements	OK	NC		**Major & Minor NC, OBS Ref. No(s)**
		Complies	Minor NC	Major NC	**Note:** *Please keep in mind the above definitio when classifying your findings.*
7.2	Competence	☐	☐	☐	
7.3	Awareness	☐	☐	☐	
7.4	Communication	☐	☐	☐	
7.5	Documented information	☐	☐	☐	
8.1	Operational planning& control	☐	☐	☐	
8.2	Emergency preparedness & response	☐	☐	☐	
9.1	Monitoring, measurement, analysis & evaluation	☐	☐	☐	
9.2	Internal audit	☐	☐	☐	
9.3	Management review	☐	☐	☐	
10.1	Improvement (General)	☐	☐	☐	
10.2	Nonconformity & corrective action	☐	☐	☐	
10.3	Continual improvement	☐	☐	☐	