


<h1>Project Navigator</h1>				Guideline			
TITLE QUALITY ASSURANCE AUDITS				VALE # NAV-GP-0076		PAGE 1/5	
				DM # 597632		REV. 2	
EffectiveDate:	April 4/13	Revisit Date:	Oct 2015	Prepared By:	K. Robin	Approved By:	T. Hirschfeld

1.0 PURPOSE

This guideline describes the best practices for performing and documenting QA Audits. The guideline is to be read with the Quality Assurance Checklist / Plan, and the QA Audit Template documents.

2.0 REFERENCE DOCUMENTATION

The following documents were used in the development of this document or are related to it. The most recent revision shall be used.

NAV-TP-0168	Quality Assurance Checklist / Plan Template
NAV-TP-0076	Quality Assurance Audit Template

3.0 GENERAL


Note: the use of a formal *Quality Assurance Plan* is optional, at the Project Mangers discretion. At minimum the use of the *Quality Assurance Checklist* is recommended.

QA Audits are done to ensure that all items outlined in the *Quality Assurance Plan* are being followed. These audits are not intended to create additional work for the groups being audited; the audit process should help refine the practices that are already in place.

Where required, *QA Audits* must be performed at the hold points outlined in the Quality Assurance Plan, but audits can be conducted at any point during the work. The audit frequency and schedule should be reviewed at the Pre-Mobilization Kick-Off meeting, in order to schedule the required resources. The audits are typically performed by the Project Engineer, the Vale Representative, or a Subject Matter Expert.

A *QA Audit* does not have to include all items from the Quality Assurance Plan.

The steps to conduct a *QA Audit* include: **Prepare, Audit, and Follow-Up.**


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4.0 PREPARE

This step includes pre-audit planning, reviews of previous audit reports and gathering of audit tools / equipment or specialized resources. The auditor should be prepared to look for what is wrong, what is missing, and what is right.

- i. Review the *Quality Assurance Plan*, and decide what items to look at, based on that Plan.
- ii. Where appropriate, review the applicable codes and standards that apply to those items, to ensure a clear understanding of what “In Compliance” means.
- iii. Review previous audits for similar work. Note that these should be used only as a guide: conditions, standards and work practices can change over time.
- iv. Review previous audit reports from the project, and where appropriate, previous audits of the group doing the work. Look for repeated Substandard Conditions, items that were omitted from previous audits, remedial actions that were not completed, and those with substandard outcomes. The new audit is a chance for follow-up.
- v. Prepare the *QA Audit* form based on the template, tailored to the type of audit and the items identified. An area map showing the areas to be audited should be attached if appropriate.
- vi. Gather the tools and materials required for the audit: appropriate clothing, PPE, checklists, writing tools, measuring instruments, flashlight, camera, etc.
- vii. Review the Construction PHR and the Contract-Specific Safety Plan documents with any Subject Matter Experts participating in the audit, to ensure all parties are familiar with the jobsite hazards and the area procedures.

Some audits will require specialized resources, or, to aid the auditor in determining compliance. These resources often require advance notice of audit schedule.

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5.0 AUDIT


A systematic approach is required in order to give each item the appropriate attention. Without a systematic approach, auditors can be distracted by the work processes in use or the progress of the work, and fail to notice Substandard Conditions.

- i. Select the first area to audit.
- ii. Complete the *QA Audit* form in its entirety for that area. Take brief notes or tallies of items found in compliance / satisfactory and note items which should be commended.
- iii. Assign a number to each Substandard Condition that pertains to the audit in that area. Described each in detail and photograph each. Note the photo file #'s for all photos associated with each item number. Always write a full description on the spot; don't rely on memory or abbreviated notes.

Each Substandard Condition shall be classified as:

- Minor, corrected on spot
 - NCR but fixable
 - NCR
- iv. Where appropriate, alert the Vale Representative for the work immediately of Substandard Conditions, especially if the work is ongoing and the problem is likely to be repeated.
 - v. Repeat the steps above for each area to be audited, indicating which items are complete on the audit map.

NOTE: if any serious risk or danger is found, the auditor shall take immediate action to ensure that the risk is reduced to ALARA. This includes audit items and other issues (Safety, Health, Environment, Production, etc). **If required, stop the work.**

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6.0 FOLLOW-UP

Each Substandard Condition requires follow-up.

- i. Report the substandard condition to the appropriate personnel, including the Vale Representative for the work, and ensure that the group doing the work is made aware of the issue.
- ii. Assist in developing remedial action plans and recommendations.
- iii. Action plans should address the basic cause of the Substandard Condition, wherever possible. The effort put into this should be proportional to the seriousness of the Substandard Condition and the risk created.
- iv. All action plan items must be assigned to an individual, and a reasonable completion date must be agreed upon.
- v. The auditor and the Vale Representative for the work must agree on who is responsible for verifying that each item is completed, and reporting to the Project Manager and other stakeholders.


7.0 THE QA AUDIT REPORT

The audit report is the formal means of communicating the audit results to all stakeholders and is a vital part of the audit.

The report shall provide management feedback on Substandard Conditions, in order to make better decisions related to the equipment, materials, and personnel used for quality work. These reports should be shared to help identify Substandard Conditions in other areas or projects.

The written report must include:

- i. The Audit template,
- ii. The audit map, if any
- iii. All audit findings,
- iv. Relevant photographs,
- v. All follow-up actions c/w with current status of each, and
- vi. General comments on the level of quality of the workmanship, personnel and conditions encountered during the audit.

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8.0 APPENDICES

Appendix A: Revision and Transition Notes

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Revision notes describe: what was changed, why it was changed, and the plan to implement the change, including whether changes are retroactive)

Revision Control Information

Rev #	Date	Nature of Change	Page inserted, replaced, revised or cancelled	Approved by document owner
1	Aug 29/12	Creation	Creation of the guideline for revisions and approval for Project Navigator.	KL Robin
1A	April 4/13	Approval Review	Minor revisions	T. Hirschfeld
2	Oct 2/14	Minor update	Minor verbiage updates to reflect the merger of "Project" and "Contract-Specific" QA Plan into one template (Quality Assurance Checklist/Plan Template)	T.Hirschfeld