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Note: If hardcopy, check electronic system for latest revision

Transnet Capital Projects

Quality Management

General Quality Requirements for Contractors and Suppliers

QAL-STD-0001

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Date

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1. Purpose

This Standard outlines the minimum requirements to ensure that products and services supplied to Transnet Capital Projects (TCP) are manufactured, provided, constructed or installed in accordance with all specified requirements as defined in the Contract, all associated specifications, drawings, codes and standards.

2. Definitions / Abbreviations

Term, Abbreviation	Meaning
Contract:	Formal document evidencing agreement between *Employer* and *Contractor* for supply of on site or off site services (generic term used for Purchase Orders, Contracts and Service Orders in this Standard).
Contractor:	The party to a *contract* that provides services to the *Employer* (generic term used for Vendors, Suppliers, Contractors, Consultants, etc.).
Concession:	A request to deviate from the requirements of the *Contract* or specified requirements. The *Concession* request shall clearly identify all elements of the proposed deviation together with any resultant technical, commercial and/or schedule impacts.
Data:	All drawings / documents / data / information / Data Packs and Installation and Operating Manuals required to be supplied under the *Contract*.
Data Pack (DP):	A compilation of manufacturing data, certification, inspection and testing records prepared by the *Contractor* to verify compliance with the Contractual requirements.
Employer:	The party to a *Contract* or Purchase Order to whom the goods are supplied or for whom the work or services are performed. In the context of this document, Transnet Capital Projects is the *Employer*.
Field Inspection Checklist (FIC):	A document that details the checks, requirements and test parameters for each type of equipment to permit field installation and pre-commissioning of the equipment.

Inspection Release Report (IRR):	A document issued to the *Contractor* by TCP advising release of materials for shipment. This does not relieve the *Contractor* of its obligations in accordance with the Terms and Conditions of the *Contract*.
Inspection Waiver Report (IWR):	A document issued to the *Contractor* by TCP advising that TCP has waived final inspection for the materials listed in this document. The issue of this report does not preclude further inspections by TCP. It is issued without prejudice and does not relieve the *Contractor* from the guarantees and obligations included in the *Contract*.
Installation and Operating Manual (IOM):	A document prepared by the *Contractor* providing relevant information applicable to the installation, operation and maintenance of the specific equipment, including data relating to consumables (eg. oils, etc.)
Non Conformance (NC):	Material, product or workmanship which is not in accordance with the requirements of the *Contract*.
Non-Conformance Report (NCR):	A document initiated by either TCP or the *Contractor* advising that certain materials/products/workmanship provided by the *Contractor* do not conform to the required standards and specifications.
Project Quality Plan (PQP):	A document that outlines the *Contractor's* strategy, methodology, resources allocation, Quality Assurance and Quality Control coordination activities to ensure that Goods and Services supplied meet or exceed the requirements defined in the *Contract* drawings, codes and standards.
Quality Assurance (QA):	A formal methodology designed to assess the quality of products or services provided.
Quality Control (QC):	A set of activities intended to ensure that quality requirements are actually being met.
Quality Control Plan (QCP):	A document outlining specific manufacturing/construction inspection and testing requirements, including responsibilities, test acceptance criteria, nomination of witness and hold points.

Technical Query Note (TQN):	A document used by the *Contractor* to formally clarify a Technical Query related to the scope of supply. This should not be used where a Non-Conformance Report has already been initiated
TCP:	Transnet Capital Projects – a division of Transnet SOC Limited.
Works Information:	Refers to the *Works Information* as defined in the *Contract (NEC3)*

3. Applicable Documents

3.1 General

All work performed shall comply with the requirements of this Standard, the documentation referenced in the *Contract* and the latest revision/edition of the relevant Codes and Standards referenced herein, except works which are specifically excluded by the TCP Principal Project Manager or higher delegated authority.

3.2 Statutory Regulations

Occupational Health & Safety Act, Act No 85, of 1993 and Regulations as amended.

3.3 Codes and Standards

Document No.	Title
ISO 9001:2015	International Organization for Standardization: Quality Systems

4. Quality System

4.1 General

The *Contractor* / Supplier is responsible for all quality activities necessary to ensure the Work meets the requirements specified in the Contract, and shall manage and coordinate all Quality aspects of the Work in accordance with the requirements of this Standard, together with the *Contractor's* / Supplier's PQP and QCPs once reviewed and accepted by TCP.

4.2 *Contractor* / Supplier Quality System Requirements

The *Contractor* / Supplier shall have and maintain a documented Quality Management System. The *Contractor* / Supplier may be required to demonstrate its use to TCP. The *Contractor's* / Supplier's Quality Management System should be in accordance with the requirements of International Standard ISO 9001.

The *Contractor* / Supplier submits the following Quality System documentation to TCP at the time of tender and at Contract Phases as detailed below:

- Project Quality Plan (Provisional at tender)
- Typical Quality Control Plan (Provisional at tender)
- Schedule/List of QCP's envisaged for the Works
- Quality Policy
- Copy of ISO 9001 certificate (if certified)
- Quality Manual
- Organogram showing clearly the staffing arrangements for Quality (HO and Site)
- Quality Management personnel CVs
- Schedule/List/Index of Quality Management and Project Procedures to be used for the project/contract/works
- Programme of internal and external audits
- Procedure for the evaluation of Suppliers and Sub-contractors
- Typical Data Pack Indices
- Approved Supplier/Contractor List
- Quality Management System Questionnaire (refer to Annexure 4)

The *Contractor* / Supplier will make formal submission of this Quality Documentation on award of the *Contract* and included in the *Works Information* for the *Contract*.

4.3 *Contractor* / Supplier Documentation Submittal Requirements

The Contractor's / Supplier's responsibilities are defined in terms of *DOC-STD-0001* which outlines the standard requirements for preparation, submission, receipt, review, and collection of Technical and (or) Deliverable Documentation.

The *Contractor* / Supplier develops and maintains a comprehensive Register of Documents that will be generated throughout the project. The Register includes all quality related documents. The Register is a 'live' document and is submitted to TCP for review following each revision by the *Contractor* / Supplier. The Register indicates the dates of issue of the documents taking into account sufficient time to allow for the TCP review/acceptance cycle prior to the document being required for use.

4.4 Project Quality Plan

Where specified, the *Contractor* / Supplier submits a PQP to TCP within the period stated and in any event not later than 28 days after the *Contract* start date. The PQP details

how the *Contractor's* / Supplier's Quality System will be applied to the Scope of Work specified in the *Contract*, and shall address the following:

- Satisfying the technical and quality requirements of the *Contractor's* / Supplier's Scope of Work, and relevant elements of the applicable ISO 9001 standard,
- Include all quality activities relevant to the Scope of Work, identifying all procedures, reviews, audits, controls and records used to control and verify compliance with the specified Contractual requirements.
- Include a listing of all special processes (eg. welding and non-destructive testing, cube testing, etc.) envisaged for use, including confirmation of personnel certification as required,
- Include all proposed method statements (for site based work activities),
- Include a description of the *Contractor's* / Supplier's project organisation, with key positions and responsibilities identified and individuals named. The organisation structure shall also indicate the resources committed to the management and coordination of QA / QC activities,
- Include a listing of all Quality Control Plans (QCPs), and associated Field Inspection Checklists (FICs), as applicable,
- Identify in the PQP any Sub-Contractor/Sub-Supplier work. Sub-Contractor/Sub-Supplier plans are approved by the *Contractor*, and a copy forwarded to TCP for information,
- Include the proposed Authorised Inspection Authority (where applicable - for pressurised equipment and systems),
- Include a schedule of proposed quality records.

The PQP shall be controlled and re-submitted for approval when required to incorporate any change necessary during the *Contract* duration to ensure that the document is maintained for effective control, change management and records. The change management will be done to an agreed policy or procedure.

Note: Where the *Contractor* / Supplier is required to provide a PQP, no work shall commence until the PQP is accepted by TCP. The *Contractor* / Supplier can consult the sample PQP, Annexure 1, in order to assess the typical requirements that should be addressed.

4.5 Procedures

The *Contractor's* / Supplier's PQP and procedures shall address the system elements and activities appropriate to the Scope of Work, in compliance with the specified Quality Standard.

Where specified, the *Contractor* / Supplier submits copies of Quality Procedures for review. In addition, the *Contractor* / Supplier ensures that copies of all Procedures relevant to the Scope of Work are available for reference by TCP at each work location.

These will include, as applicable, the following:-

4.5.1 **Document Control**

The *Contractor's* / Supplier's PQP shall provide a description of how documents provided by TCP, Sub-Supplier/Sub-Contractor to the *Contractor* are to be managed. The description shall address as a minimum:

- Management tools and databases
- Receipt, registration and maintenance
- Internal and external distribution to *Employer*, third parties and Sub-Contractors
- Management of Codes, Standards and Specifications
- Internal review and approval routines and authorities
- How it is ensured that the correct revisions of documents are available at the point of use including retention periods for all documentation.

4.5.2 **Design Control**

Where the *Contractor* / Supplier is responsible for any aspect of design related to the Scope of Work, the Quality Plan shall describe the *Contractor's* / Supplier's methods and procedures for the control of these design activities. The Works Information also addresses *Contractor's* / Supplier's Design Responsibilities, etc.

4.5.3 **Procurement**

Where the *Contractor* / Supplier is responsible for any aspect of procurement related to the Scope of Work, the Quality Plan shall describe the *Contractor's* / Supplier's methods and procedures for the control of these activities.

4.6 ***Contractor* / Supplier Audits**

The *Contractor* / Supplier shall:

- Carry out audits in accordance with its Quality System at its own and Sub-Supplier/Sub-Contractor's facilities to ensure project quality requirements are being achieved.
- Include a QA Audit Schedule in the *Contractor's* / Supplier's PQP submitted to TCP prior to commencement of the Scope of Work. The Audit Schedule shall include all audits to be implemented by the *Contractor* / Supplier and Sub-Supplier/Sub-Contractor during the execution of the *Contract*.
- Where stipulated in the *Contract*, perform an audit within three months after the *Contract* start date and thereafter at a minimum frequency of three months. Audit reports are submitted to TCP at the completion of each Audit. Where unsatisfactory

performance is evident, TCP will direct the *Contractor* / Supplier to perform additional audits.

4.7 TCP Audit

TCP reserves the right to perform quality audits or participate as an observer in *Contractor* / Supplier audits to verify compliance with the Contractual requirements. The *Contractor* / Supplier shall within a time frame as agreed upon, correct any adverse audit findings advised by TCP. TCP will use the attached Audit Notification (Annexure 8) and Audit Checklist (Annexure 5) to conduct the audit.

5. Inspection and Testing

5.1 General

TCP may, at its discretion, perform surveillance inspections at the *Contractor's* / Supplier's premises, the premises of any Sub-Supplier/Sub-Contractor or at the location of the Scope of Work.

Dependent on the nature of the Scope of Work and the frequency of inspections, TCP may elect to have inspection personnel resident at the place of manufacture, fabrication, or assembly.

The *Contractor* / Supplier ensures free entry and access is given to TCP, certifying authorities and statutory authorities to inspect the Scope of Work and review procedures and quality records at all parts of the *Contractor's* / Supplier's and Sub-Supplier/Sub-Contractor's premises, or at the location of the Scope of Work while any work or test is in progress.

The *Contractor* / Supplier provides TCP with all necessary tools, calibrated measuring equipment, safety equipment and workspace to verify or witness tests in progress.

While TCP is at the *Contractor's* / Supplier's premises, the *Contractor* / Supplier provides, free of charge, reasonable facilities including office facilities and reasonable access to a telephone, facsimile machine and computer connection point.

The *Contractor* / Supplier provides written notice within a time frame as agreed upon, to allow the attendance of TCP and other representatives at nominated witness and hold points.

5.2 Quality Control Plans

The *Contractor* / Supplier prepares and submits QCPs to TCP for review in accordance with the requirements of the *Contract* and PQP.

QCPs must clearly identify all inspection, test and verification requirements to meet the Contractual obligations, specifications, drawings and related details including destructive and non-destructive testing, witness and hold points.

The *Contractor* / Supplier shall not commence fabrication or manufacture prior to review and approval of the applicable QCP by TCP.

QCPs shall include reference to all tests specified in the *Works Information*.

A typical format for a QCP is shown in Annexure 2. The *Contractor* / Supplier may use its own format providing all information shown in the sample in Annexure 2 is included.

5.3 Inspection Points

The QCP identifies points in the fabrication, manufacturing and/or installation process that are selected for inspection. These points are denoted by the following inspection codes:

- Hold Point (H) — Inspection points in the manufacturing cycle, beyond which work shall not proceed without the specified activity, work or function being witnessed and signed off. Hold points require written notification to TCP.
- Witness Point (W) — An inspection point in the manufacturing cycle that will be witnessed or verified. If TCP confirms it is unable to attend after being provided with the written notification then manufacture may proceed. Witness points require written notification to TCP.
- Review Point (R) — A point at which products and quality records are verified and endorsed. Review points are not points that require notification to TCP.
- Surveillance (S) — An inspection point in the manufacturing cycle during which any activity, work or function is observed. No formal notification is required.

The *Contractor* / Supplier maintains the status of testing and inspection by progressively having the QCP's signed off.

5.4 Revision to Quality Control Plans

Revision of the QCP is subject to the same submission, review and acceptance routines as described for the original QCP issued.

5.5 Kick Off Meeting

After the *Contract* start date, and prior to manufacture or construction activities, TCP will require a Kick-Off Meeting with the *Contractor* / Supplier to discuss fully the implications of meeting TCP's quality requirements. This meeting may be held as part of the *Contract*

kick-off meeting for each package or may be a separate meeting, subject to the critical or complex nature of the work. This requirement for a pre-inspection meeting may be repeated when Sub-Suppliers/Sub-Contractors of key equipment are engaged.

5.6 Schedule of Inspection

The *Contractor* / Supplier shall submit a Schedule showing the proposed dates for inspections and tests nominated in the QCP where witness and hold points are required. The Schedule shall be regularly updated with progress and issued to TCP to show the current inspection and test status.

5.7 Field Inspection Checklists

For site installation and construction activities, the *Contractor* / Supplier prepares Field Inspection Checklists (FICs) to permit inspection and testing of installed equipment and constructed facilities in accordance with the respective QCP's.

FIC's are submitted to TCP for initial review. FICs are used to record the results of inspection and testing (where applicable). On completion, FICs are submitted to TCP to confirm satisfactory completion of the tests and inspections at nominated QCP witness and hold points.

5.8 Inspection Notification

The *Contractor* / Supplier notifies TCP in writing at least two calendar weeks prior to the advent of inspections or tests that require witnessing.

For inspections or tests within the country, arrangements are confirmed at least three working days before the event. For inspection and tests outside of the country, arrangements are confirmed at least seven working days before the event.

Inspection notifications include the following essential information:

- Contract Number
- Location of Inspection or Test
- Nature of Inspection or Test
- Date and Time of Inspection or Test
- Name and telephone number of the *Contractor's* / Supplier's Representative

5.9 Inspection and Testing

The *Contractor* is responsible for the conduct of all *Contractor* / Supplier inspections and tests. This responsibility includes:

- Documenting inspection and test results in the QCP's and relevant FICs
- Progressively inspecting the quality of the Scope of Work performed, including that of all Sub-Supplier/Sub-Contractors
- Inspecting to meet all Contractual requirements, in number, type and form

- Inspecting day to day activities, material receipts, issue of materials for manufacture/installation, in-process inspections, and final inspections.
- The template for an Inspection Report is given in Annexure 9.

Completed original QCP's and FICs are included in the Data Pack that the *Contractor* / Supplier submits to TCP.

5.10 Inspection Release

At completion of the Scope of Work, either in total or in phases, TCP may issue an Inspection Release Report (IRR) or an Inspection Waiver Report (IWR).

The issue of either an inspection release or waiver of inspection does not relieve the *Contractor* / Supplier of its obligations under the *Contract*. The *Contractor* / Supplier ensures that a copy of the release note and final expediting release note for transport, where appropriate, is attached to the delivery docket and accompanies the Work to the designated destination indicated in the *Contract*. Items delivered to TCP without a copy of these documents may not be accepted.

A copy of the inspection release or waiver of inspection is included in the Data Pack.

5.11 Special Processes

It is the *Contractor's* / Supplier's responsibility to ensure that all processes which require pre-qualified procedures and/or work methods are tested and qualified before work begins. This typically covers such activities as welding, non-destructive testing, special fabrication techniques and painting. Unless specified such procedures are the *Contractor's* / Supplier's responsibility and do not require submission to TCP before work begins. When such procedures are requested, no work shall commence until procedures are approved by TCP.

It is the *Contractor's* / Supplier's responsibility to ensure all operators are qualified for the processes in accordance with the procedure and/or applicable standards. Records of qualification of operators shall be maintained by the *Contractor* / Supplier and made available to TCP when requested.

Records of qualification of procedures and processes shall be maintained by the *Contractor* / Supplier in accordance with the applicable procedure or code.

5.12 Welding Procedures

Where the *Contractor's* / Supplier's Scope of Work includes fabricated weldments, Welding Procedure Specifications (WPS) defining the method, preparation and sequences to be adopted to achieve a satisfactory welded joint shall be provided for all weld types required in the execution of the *Contractor's* / Supplier's Scope of Work. The procedure shall only be submitted to TCP when requested in the *Contract*.

ICT

WPS include all welding essential and non-essential variables for each process used, including appropriate test results. WPS comply fully with the standard or code pertaining to welding required in the execution of the *Contractor's* / Supplier's Scope of Work.

When requested in the *Contract*, a suitably marked "weld map" is completed by the *Contractor* / Supplier for all items to be fabricated. A summary of WPS is prepared and, when used, is identified on the weld map.

Where TCP approval is required, fabrication is not to commence until written approval of WPS and Welding Procedure Qualification Records (WPQR) is received by the *Contractor* / Supplier . No welding fabrication will be accepted that is not covered by a TCP approved WPS/WPQR.

Welding Procedure Qualification (WPQ) tests may be witnessed by TCP and/or an independent inspection authority. Testing of the specimens prepared during the WPQ Tests is carried out by an approved testing laboratory, independent of both TCP and the *Contractor* / Supplier . In certain instances, a certificate to EN 10204 3.1 B may be required, which will be clarified at Tender review and clarification stage.

Where actual weld deposit analysis and weld metal physical properties are required for procedure qualification, the information is taken from the procedure qualification tests. Data listed in the catalogues of the manufacturer of welding consumables is not acceptable.

Welders/welding operators are qualified in accordance with the relevant welding code prior to commencing production fabrication. Specific Welder Qualification (WQ) records will be reviewed by TCP in the *Contractor's* / Supplier's works and should NOT be submitted for review.

A register of welders qualified to work shall be maintained by the *Contractor* / Supplier .

5.13 Material Traceability

Where, and to the extent that material traceability is required, the *Contractor* / Supplier shall provide its procedures for the maintenance of material identification throughout all phases of manufacture. Methods of identification, routines for re-stamping or stencilling as appropriate shall be defined and agreed with TCP.

Adequate records shall be maintained throughout construction enabling traceability of key materials from final product back to original material certificates. The material traceability records shall form part of the Data Pack.

The *Contractor* / Supplier shall prepare a schedule of materials and equipment that are subject to traceability requirements.

5.14 Material Certification

Where specified in the *Contract* the following certificates shall be provided to TCP and included in the Data Pack:

Type A: A *Contractor's* / Supplier's certificate of compliance with the *Contract*. This certifies that the goods or services are supplied in compliance with the *Contract* without mention of any test results (EN10204 certificate 2.1).

Type B: A certificate issued by a laboratory or test facility independent of the *Contractor's* / Supplier's works. It shall quote test results carried out on the product supplied and state whether compliance with the relevant technical standard, code, etc., has been complied with. (EN10204 certificate 3.1B).

Type C: The same as Type B, the tests are to be witnessed by a third party (EN10204 certificate 3.1C).

6. Non-Conforming Products

6.1 General

The *Contractor* / Supplier shall establish and maintain procedures to control materials or products that do not meet the specified requirements.

All *Contractor's* / Supplier's products and/or materials identified as not conforming to requirements shall be dealt with promptly as follows:

- If the *Contractor* / Supplier discovers materials or products which are not in accordance with the requirements of the *Contract*, i.e. a non-conformance, the *Contractor* / Supplier shall immediately initiate the non-conformance procedure in terms of the Supplier/*Contractor's* Quality Management System, advise TCP promptly, and provide a copy of the non-conformance report (NCR) (Annexure 6) to TCP.
- If TCP or its agent/s identifies a non-conformance, a TCP NCR may be raised.
- The *Contractor* / Supplier shall maintain an updated Non Conformance Register as per Annexure 7.

Originals of all closed out NCRs shall be included in the Data Pack.

6.2 Corrective and Preventative Action

If the *Contractor* / Supplier proposes a disposition of any non-conforming materials or products which varies from the requirements of the Specification or *Contract*, such a proposal shall be submitted in writing to TCP whose decision on the proposal shall be

obtained in writing before the non-conforming material or product is covered up or incorporated into the Works, or is the subject of any other disposition.

The disposition of non-conformances which do not vary the requirements of the *Contract*, specifications or drawings may be approved by the *Contractor* / Supplier following discussion and agreement with TCP.

7. Concession Requests and Technical Queries

7.1 Concession Requests

Where a *Contractor* / Supplier requests a Concession to deviate from the requirements of the *Contract* or specified requirements, the *Contractor* / Supplier raises the request with TCP using the format as shown in Annexure 3.

The Concession Requests shall clearly identify all elements of the proposed deviation together with any resulting technical, commercial and/or schedule impacts.

Completed original Concession Requests shall be included in the Data Pack.

7.2 Technical Queries

For clarification of technical issues (only), the *Contractor* / Supplier may submit a Field Engineering Query(FEQ) to TCP in accordance with the *Contract*.

The FEQ shall clearly identify all elements of the query, and all supporting documentation and/or drawings shall be attached where appropriate.

Completed original FEQ's shall be included in the Data Pack.

8. Inspection, Measuring and Test Equipment

8.1 Calibration

The *Contractor* / Supplier , including its Sub-Suppliers/Sub-Contractors, shall ensure the calibration of test and measuring equipment is performed and maintained in accordance with the relevant *Contractor* / Supplier procedures and/or the equipment manufacturer's specifications.

Where calibration is required by an external laboratory, the *Contractor* / Supplier shall ensure that the facility selected for calibration possesses current certification. Calibration certificates shall contain a statement that the test equipment is accurate to within specified tolerances.

The *Contractor* / Supplier should establish the frequency of calibration for each item of equipment (including jigs, fixtures or templates) and record the details in a 'Measuring and Test Equipment Register' (or similar).

8.2 Use of Inspection, Measuring and Test Equipment

The *Contractor* / Supplier shall ensure that authorised equipment users:

- Use the equipment in accordance with manufacturer's instructions, and accepted industry practices
- Ensure the equipment is covered by a current calibration certificate
- Conduct the measurements or tests in accordance with the equipment manufacturer's specifications or other relevant specification
- Prior to commencement of each inspection or test activities:
  - Identify the measurements to be made
  - Determine the accuracy required
  - Select the appropriate inspection, measuring or test equipment for the scope of work.

8.3 Verification of Previous Test Results

Where the calibration status of the equipment is unknown, expired or has doubtful accuracy, the equipment shall immediately be quarantined, and tagged according to *Contractor* / Supplier's Quality System procedures. The *Contractor* / Supplier shall then arrange for either in-house or external calibration, and:

- review all previous test results associated with the suspect equipment;
- identify the inspections, measurements or tests required to re-validate the results;
- ensure that suitable re-testing is performed with calibrated equipment;
- record the results of the re-testing on the respective inspection and test documentation.

9. Quality Personnel Qualifications

It is preferable that *Contractor* / Supplier's personnel engaged in Quality Assurance and Quality Control are members of one or more of the following organisations:

South African Quality Institute

Southern African Society for Quality

It is mandatory that personnel undertaking testing of rail-associated infrastructure are qualified as follows:

For signalling:

- The *Contractor* / Supplier is not allowed to do the commissioning but only a Transnet representative (Transnet employed Test Engineer)

- The *Contractor* / Supplier should supply a Certificate of Compliance signed by a registered engineer/technologist
- This person should have a minimum of 5 years' experience as a professional
- The CV confirming that his/her experience is in line with the scope of work to be overseen as Quality Assurance or Control Officer

For OHTE and Perway:

- The *Contractor* / Supplier should supply a Certificate of Compliance signed by a registered engineer/technologist
- This person should have a minimum of 5 years' experience as a professional
- The CV confirming that his/her experience is in line with the scope of work to be overseen as Quality Assurance or Control Officer.

10. Quality Records

The *Contractor* / Supplier shall maintain Quality Records necessary to provide objective evidence that demonstrates and verifies achievement of the QA / QC requirements associated with the Scope of Work. All Quality Records, including original source material test certificates and non-destructive test reports, shall be retained by the *Contractor* / Supplier during the project, and be provided to TCP at the times, and in the quantities specified in the *Contract.*

The *Contractor* / Supplier shall collate all quality records in the Data Pack and submit the Data Pack to TCP in accordance with the *Contract* and all referenced standards and specifications. This DP shall be compiled progressively, and shall be available for review at all phases of manufacture or construction activities.

The Scope of Work shall not be complete until the *Contractor's* / Supplier§ Data Pack, including the quality records from Sub-Supplier/Sub-Contractors, has been reviewed and accepted by TCP.

The *Contractor* / Supplier shall retain a copy of all Quality documentation generated during the *Contract,* including a copy of the complete Data Pack, for his own records for a minimum period of five (5) years after the completion of the Scope of Work, including Design Work.

ANNEXURE 1 – Sample Project Quality Plan

Pages 19 to 23

PROJECT QUALITY PLAN

PROJECT:			**PROJECT CODE:**		**ITEMS DESCRIPTION:**		
ORDER NO.:							
CLIENT:			**CLIENT CONTRACT NO:**		**DRAWING/SPECIFICATION NO.:**		
COST CODE SERIAL NO.:							
GENERAL DESCRIPTION:							

RESPONSIBILITY LEGEND			**APPROVALS**			
H	=	HOLD POINT		**AUTHORITY**	**SIGNATURE**	**DATE**
W	=	WITNESS	1.	Project Quality Manager		
S	=	SURVEILANCE	2.	Project Manager		
V	=	VERIFY	3.	Client Project Manager		
R	=	REVIEW	4.	Project Director		
A	=	APPROVE				

ACT NO.:	**ACTIVITY DESCRIPTION**	**(ACCEPTANCE CRITERIA) REFERENCE DOCS**	**1**			**2**			**3**			**4**		
1.	**MANAGEMENT AND SERVICES**		**R**	**SIGNATURE**	**DATE**	**R**	**SIGNATURE**	**DATE**	**R**	**SIGNATURE**	**DATE**	**R**	**SIGNATURE**	**DATE**
1.1	Contract Agreement and Acceptance.	Signed Contract.	**H**			**H**			**H**					
1.2	Project Schedule and WBS Acceptance.	Accepted Project Schedule and WBS	**H**			**H**			**H**					
1.3	Project PEP.	Signed PEP	**H**			**H**			**H**					
1.4	Quality Policy & Project Procedures.	Signed Approved documents	**H**			**H**			**H**					
1.5	Project Quality Plan.	Accepted Quality Management Plan.	**H**			**V**			**V**					
1.6	Safety & Health Management Plan.	Accepted Safety & Health Management Plan.	**V**			**V**			**V**					
1.7	Environmental Management Plan.	Accepted Environmental Management Plan.	**V**			**V**			**V**					
1.8	Engineering Management Plan.	Accepted Environmental Management Plan.	**V**			**V**			**V**					

PROJECT QUALITY PLAN

1.9	Document Management Plan.	Accepted Documentation Management Plan.	H			V			H					
1.10	Procurement Management Plan	Accepted Procurement Management Plan	H			V			H					
1.11	Project Controls Management Plan	Accepted Project Controls Management Plan	V			V			V					
1.12	Acceptance of Functional Specifications.	Signed Functional Specification.	H			V			H					
1.13	Acceptance Specification.	Signed Acceptance Specification.	H			V			H					
2	**BASIC DESIGN AND DEVELOPMENT**													
2.1	Engineering Planning and Control	Accepted Engineering Management Plan	V			V			V					
2.2	Basic Design reviews completed	Minutes of Design Review	H			V			H					
2.3	Basic Design Documentation completed	Approved Documentation List	H			V			H					
2.4	Finalisation of Detail Design Baseline	Approved Detailed Design Baseline	H			V			H					
3	**DETAIL DESIGN AND DEVELOPMENT**													
3.1	Mechanical Design of Main Systems.	Approved Drawings inc. Code Requirements.	H			V			H					
3.2	Main Facility Pipe design completed.	Approved Drawings inc. Code Requirements.	H			V			H					
3.3	Test Set-up pipe design completed.	Approved Drawings inc. Code Requirements.	H			V			H					
3.4	Civil and Structural design completed.	Approved Drawings inc. Standards Requirements. (SABS 1200)	H			V			H					
3.5	C&I design completed.	Approved C&I Datasheets	H			V			H					
3.6	Electrical design completed.	Approved Drawings and Specifications	H			V			H					
3.7	Conduct Detail Design Reviews.	Design Review Minutes	H			V			H					
3.8	Conduct HAZOP (PFD, P&ID, GA Drawings, Data Sheets, Design	HAZOP Review Minutes and Close Out Report	H			V			H					

PROJECT QUALITY PLAN

	Standards and Codes, etc.)														
3.9	Prepare and Accept O & M Manuals.	Approved O & M Manuals.	H			V			H						
3.10	Detail Design Documentation completed and finalisation of Product Baseline.	Approved Documents	H			V			H						
4	**PROCUREMENT**														
4.1	Detail Procurement Planning and Control.	Accepted Procurement Management Plan.	H			H			H						
4.2	Supplier Selection and Assessments completed and Suppliers Approved.	Supplier Register	H			V			H						
4.3	Critical Items Procurement.	Signed Contracts.	H			V			H						
4.4	Piping and Installation Procurement.	Signed Contracts.	H			V			H						
4.5	Civil and Structural Procurement.	Signed Contracts.	H			V			H						
4.6	C & I Procurement.	Signed Contracts.	H			V			H						
4.7	Procurement Electrical Systems.	Signed Contracts.	H			V			H						
4.8	Procurement of Test set-up Systems.	Signed Contracts.	H			V			H						
4.9	Updating all Procurement and Manufacturing Documentation and finalisation of Manufacturing Baseline.	Approved Manufacturing Baseline.	H			V			H						
5	**MANUFACTURING**														
5.1	Manufacturer QCP's reviewed and accepted.	Applicable Codes, Specifications & Drawings	H			V			H						
5.2	In-process monitoring and control.	Approved QCP's	H			V			H						
5.3	Inspection and FAT of final product.	Approved QCP's	H			V			H						
5.4	Product Acceptance and Release.	Approved QCP's	H			V			H						
5.5	Delivery to Site.	Packaging and Shipping Requirements.	H			V			H						
6	**CONSTRUCTION**														
6.1	Site establishment.	Established Site.	H			H			H						
6.2	Site preparation.	Site Inspection.	H			V			H						
6.3	Civil and Structural work completed.	Civil & Structural Inspections and Records.	H			V			H						

PROJECT QUALITY PLAN

6.4	Main Systems installation work completed.	Installation inspections.	H			V			H						
6.5	Piping installation completed.	Installation inspections.	H			V			H						
6.6	Mechanical Equipment installation completed.	Installation inspections.	H			V			H						
6.7	Electrical installation completed.	Installation inspections.	H			V			H						
6.8	C&I installation completed.	Installation inspections.	H			V			H						
6.9	Installation of Test set-up Systems.	Installation inspections.	H			V			H						
6.10	"As Built" Construction Documentation updates and finalisation of Construction Baseline.	Approved Construction Baseline.	H			H			H						
7	**COLD COMMISSIONING AND HANDOVER FOR HOT COMMISSIONING**														
7.1	Agreement and Acceptance of Commissioning Plan.	Approved Commissioning Plan.	H			V			H						
7.2	Visual Checks and Pressure Testing.	Inspection and pressure Test Results. AIA Release Notes.	H			H			H						
7.3	Cold Commissioning of Components.	Test Results and Reports.	H			V			H						
7.4	C&I and Electrical Commissioning.	Test Results and Reports.	H			V			H						
7.5	Final Update of Plant Configuration to "As Built".	Data Books	H			H			H						
7.6	"As Built" Data Book Verifications.	Project Quality Approval.	H			H			H						
7.7	Plant and System Hand Over.	Customer Acceptance. Customer Release Notes.	H			H			H						

ANNEXURE 2 – Sample Quality Control Plan

Pages 24 to 25

QUALITY CONTROL PLAN

Quality Control Plan No.		Revision:		Date Issued:	
Contract No.		Description:		Item No.	
Contractor		Location:			

Activity No.	Activity Description	Procedure Reference / Code Specification	Specification Acceptance Criteria	Verifying Document / Report / Certificate	Verification/Witness					
					Contractor		**AIA**		**TCP**	
					Action	Sign	Action	Sign	Action	Sign

Rev	Date	Reason for Revision	Drawn	Checked

ACTION

H – Hold. Mandatory Hold Point

R – Review (Verify) only

W - Witness

S - Surveillance

NOTE: H & W points require formal notification to TCP

ANNEXURE 3 – Concession Request

Pages 26 to 29

19

CONCESSION FORM

Request for Concession No:			
Project Name:		Project Number:	
A. SUPPLIER/CONTRACTOR SUPPLIED INFORMATION			
SUPPLIER/CONTRACTOR NAME:		P/O /CONTRACT NO.:	
SUPPLIER/CONTRACTOR CONCESSION NO:		DATE:	
Required concession applicable to: (Item/Material/Equipment/Area)			
Quantity Affected:			
Original Requirements:			
Description of Concession – Revised Requirements:			
Justification:			
Cause :			
Consequence :			
References:			
Original Requirements reference:			

Drawing No.:		Rev.:		Specification No.:		Rev.:	
Drawing No.:		Rev.:		Specification No.:		Rev.:	
Drawing No.:		Rev.:		Specification No:		Rev.:	
Attached applicable documentation:							

CONCESSION FORM

A. SUPPLIER/CONTRACTOR SUPPLIED INFORMATION continued						
(NOTE: This concession will be rejected if the following information is not provided):						
(i) VALUE OF BENEFIT TO CLIENT $/R.....	(ii) AGREE TO AN EXTENSION OF THE WARRANTY	YES ☐	NO ☐	(iii) ANY IMPACT ON SCHEDULE?	NO ☐	YES ☐
	IF "YES" WHAT PERIOD?			IF "YES" WHAT PERIOD?		

Requested by:(Supplier/Contractor)							
Name:		Title:		Signature:		Date:	

B. SITE ADMINISTERED CONTRACT?	☐ Yes	☐ No
Possible QC implications:		
Recommended	☐	**Rejected** ☐
Recommendations with the following Conditions:		

Area Manager:		Signature:		Date:	
Site Engineer:		Signature:		Date:	

C. RECOMMENDATION BY CONTRACT ADMINISTRATOR:					
Name:		Signature:		Date:	

D. RECOMMENDATION BY ENGINEERING:					
Recommended	☐	**Rejected**	☐	**Conditional**	☐
Recommendations:					

PR Engineer:		Signature		Date	
Lead Discipline Engineer:		Signature		Date	
Engineering Manager:		Signature		Date	
Comments:					

CONCESSION FORM

E. AREA MANAGER:		**Accepted**	☐	**Rejected**	☐
Name:		Signature		Date	
F. Transnet Capital Projects :		**Accepted**	☐	**Rejected**	☐
Name:		Signature		Date	

ANNEXURE 4 – Tender Returnable Quality Management System

Pages 30 to 36

TENDER RETURNABLE'S REVIEW - QUALITY

Tender Returnable – Quality Management System

Tender Information Required

The following documents shall be attached to this returnable and submitted with the tender. Failure to submit the documents may result in the tender being declared non responsive and subsequently rejected.

Item	Document to be submitted	Attached? (Y/N) (Tenderer to complete)
1	Quality Management Questionnaire	
2	ISO 9001 Certification	
3	Quality Policy	
4	Quality Manual	
5	Schedule / List Quality Management System Procedures	
6	Typical Project Quality Plan	
7	Schedule / List of Quality Control Plans (QCPs)	
8	Typical QCP	
9	Quality Management Representatives C.V.	
10	Quality Staffing (Organogram)	
11	Programme of Internal / External Audits	
12	Procedure for Evaluation of Suppliers / Contractors	
13	Approved Supplier / Contractors List	
14	Typical Data Pack Indices	

Quality Management System Questionnaire

1. Quality Management System			
Is the tenderer certified to ISO 9001 – Quality Management System Requirements?		☐ Yes	☐ No
If yes	Certificate No.:	Certification Body:	Expiry Date:
Are there any exclusions specified? ☐ Yes ☐ No		If yes provide Details of Exclusions:	
If no, is the tenderer Quality Management System ISO 9001 compliant due to?			
Expired certificate	☐ Yes	☐ No	Comments:
Independent verification	☐ Yes	☐ No	Comments:
Other	☐ Yes	☐ No	Provide Details:
Does the Tenderer have an approved Quality Manual that complies with ISO 9001 requirements? *(If yes, please submit a copy)*	☐ Yes	☐ No	Document No.:
Has your Quality Manual been reviewed?	☐ Yes	☐ No	Has it been reviewed in the last: ☐ 6 months ☐ 12 months ☐ more than 12 months
Does the Tenderer have an approved Quality Policy that complies with ISO 9001 requirements in place? *(If yes, please submit a copy)*	☐ Yes	☐ No	Document No.:
Has your Quality Policy been reviewed in the last:	☐ Yes	☐ No	Has it been reviewed in the last: ☐ 6 months ☐ 12 months ☐ more than 12 months
Does the Tenderer have an Index of Management System Procedures? *(If yes, please submit a copy)*	☐ Yes	☐ No	Document No.:
Does the Procedures cover the full Scope of the Quality Management System	☐ Yes	☐ No	Comments:
Has Project Specific Procedures been compiled and approved	☐ Yes	☐ No	Comments:

TENDER RETURNABLE'S REVIEW - QUALITY

Has your Quality Management System procedures been reviewed in the last:	☐ Yes	☐ No	Has it been reviewed in the last: ☐ 6 months ☐ 12 months ☐ more than 12 months
Typical Project Quality Plan *(If yes, please submit a copy)*	☐ Yes	☐ No	Document No.:

Does the Project Quality Plan specify the Management System arrangements in relation to:

Project Initiation and Planning	☐ Yes	☐ No	Organization, Staff allocation and Teams	☐ Yes	☐ No
Interaction Management	☐ Yes	☐ No	Communication Planning and Control	☐ Yes	☐ No
Change Management	☐ Yes	☐ No	Information Management	☐ Yes	☐ No
Project Handover and Closure	☐ Yes	☐ No	Risk Management	☐ Yes	☐ No
Scope and Activity Control	☐ Yes	☐ No	Purchasing Planning and Control	☐ Yes	☐ No
Schedule Development and Control	☐ Yes	☐ No	Documentation Requirements	☐ Yes	☐ No
Cost Estimation	☐ Yes	☐ No	Record Requirements	☐ Yes	☐ No
Budgeting	☐ Yes	☐ No	Evaluation of Sub Contractors	☐ Yes	☐ No
Cost Control	☐ Yes	☐ No	Subcontractors	☐ Yes	☐ No
Resource Planning and Control	☐ Yes	☐ No	Contract Control and Administration	☐ Yes	☐ No
Engineering Management	☐ Yes	☐ No	Health and Safety Management	☐ Yes	☐ No
Environmental Management	☐ Yes	☐ No	Quality Management (QA & QC)	☐ Yes	☐ No

TENDER RETURNABLE'S REVIEW - QUALITY

Project / Scope Specific Requirements	☐ Yes	☐ No	Provide Details of Project/Scope Specific Requirements:		
Typical Quality Control Plan *(If yes, please submit a copy)*	☐ Yes	☐ No	Document No:		
Does your Quality Control Plans specify the following?					
Document and Revision No.	☐ Yes	☐ No	Legend for Interventions	☐ Yes	☐ No
Project, Contract and PO No.	☐ Yes	☐ No	Hold interventions as applicable	☐ Yes	☐ No
Reviews Required	☐ Yes	☐ No	Standards/Specifications/Procedures applicable to Action Item/s.	☐ Yes	☐ No
Approvals Required	☐ Yes	☐ No	Acceptance Criteria as applicable	☐ Yes	☐ No
Approvals by Responsible Engineer	☐ Yes	☐ No	Record Requirements for Actions	☐ Yes	☐ No
Distribution Requirements	☐ Yes	☐ No	Check Sheets included as Addendums	☐ Yes	☐ No
Logical Flow of Actions and Action no's	☐ Yes	☐ No	Release Criteria as final Action	☐ Yes	☐ No
Interventions Required by Fabricator / Erector, Client	☐ Yes	☐ No	Any other Project or Scope Specific Criteria	☐ Yes	☐ No
Provide details of Project/Scope Specific Criteria:					
Provisional Schedule or list of WCP's *(If yes, please submit a copy)*	☐ Yes	☐ No	Document No.:		
Does the QCP schedule or list cover the full Scope Expected Works?				☐ Yes	☐ No
Do you employ a QCP Register for control of all QCP's?				☐ Yes	☐ No

TENDER RETURNABLE'S REVIEW - QUALITY

2. Quality Management Organization			
Has a Quality Management representative been appointed? *(If yes, please submit a copy of the CV.)*	☐ Yes	☐ No	Document No.:
Does the Quality representative have relevant experience specific to the nature of the Project/Scope of Works/ Technology/Industry?	☐ Yes	☐ No	
If yes, how many years of experience?	☐ Less than 5 yrs	☐ 5-10 yrs	☐ More than 10 yrs
What qualifications does he/she have?	☐ M and Industry related qualification	☐ M +3 and Industry related qualification	☐ M +4 and Industry related qualification
Project Organogram *(If yes, please submit a copy)*	☐ Yes	☐ No	Document No.:
Has critical positions for quality Management been identified? (HO/Site/Fabricators/Suppliers)	☐ Yes	☐ No	If yes, please supply details:
Does staff numbers and allocation take into account staff utilization?	☐ Yes	☐ No	What is the expected level of staff utilization? ☐ 70% ☐ 80% ☐ 90% ☐ 100%

3. Supplier and Contractor Quality Assurance			
Is an approved audit schedule covering all suppliers and contractors in place?	☐ Yes	☐ No	Document No.:
Have audits been conducted according to the schedule? *(proof to be supplied on contract award)*	☐ Yes	☐ No	Comments
Are audits conducted by qualified auditors and/or subject matter experts?	☐ Yes	☐ No	Comments
Are audit reports factual and available on request?	☐ Yes	☐ No	Comments
Is the audit programme managed in accordance with requirements of ISO 9001?	☐ Yes	☐ No	Comments
Has a documented procedure for evaluation and selection of supplier and contractors been established? *(If yes, please submit a copy)*	☐ Yes	☐ No	Document No.:
Does this procedure provide for quality / performance criteria and categorization of Suppliers/ Contractors based on ability to meet quality / performance requirements?	☐ Yes	☐ No	Comments
Have Suppliers / Contractors been selected and categorized based on this procedure?	☐ Yes	☐ No	Comments
Are Supplier / Contractors continuously monitored /	☐	☐	Comments

TENDER RETURNABLE'S REVIEW - QUALITY

measured in terms of their quality performance?	Yes	No	
Has an Approved Supplier/ Contractors List been implemented and maintained *(If yes, please submit a copy)*	☐ Yes	☐ No	Comments
Does the list indicate the category of Suppliers/ Contractors and are they ranked for preference in terms of performance?	☐ Yes	☐ No	
Has the Approved Supplier / Contractors List been updated and is it current?	☐ Yes	☐ No	Updated in the last: ☐ 6 months ☐ 12 months ☐ 18 months ☐ 24 or more months
Note: Transnet Capital Projects shall approve the list and reserves the right to remove any Supplier/Contractors from the list. Any additions to the List shall be submitted to Transnet Capital Projects for approval.			
Have Typical Data packs Indices been compiled (Fabrication, Construction)? *(If yes, please submit copies)*	☐ Yes	☐ No	Document No/s:
Does Data Packs indices taking into account Industry Practice and Client Requirements?	☐ Yes	☐ No	Comments
Does indices provide for Discipline/Area Specific deliverables in line with Scope of project/Works?	☐ Yes	☐ No	Comments
Have indices been reviewed against the Contractor Deliverables Schedule (CDS) to ensure compliance with requirements of the Project?	☐ Yes	☐ No	Comments

Tenderer should note that information shall be subjected to verification prior to *contract* award.

ANNEXURE 5 – Generic Quality Management System Compliance Checklist

Pages 37 to 41

GENERIC QUALITY MANAGEMENT SYSTEM COMPLIANCE CHECKLIST

1. Scope and Objectives			
1.1 Owner's requirements Specifications detailing the Project Goals and Objectives	☐ Yes	☐ No	Comments:
1.2 Project Quality Objectives defined?	☐ Yes	☐ No	Comments:
2. Planning			
2.1 Project Execution Plan (PEP)	☐ Yes	☐ No	Comments:
2.2 Project Approval Matrix	☐ Yes	☐ No	Comments:
2.3 Kick off minutes (Client and *Contractor* / Supplier)	☐ Yes	☐ No	Comments:
2.4 Project Quality Plan	☐ Yes	☐ No	Comments:
2.5 Are Project Specific Quality Control Plans (QCPs) in place?	☐ Yes	☐ No	Comments:
3. Quality Organisation and People			
3.1 Is there a Quality Organogram for the Project and have the Quality staff been mobilised in line with the Project Schedule?	☐ Yes	☐ No	Comments:
3.2 Have the QA / QC Roles and Responsibilities and Activities been documented?	☐ Yes	☐ No	Comments:
3.3 Is the Project QA / QC team in place and do the resource capacity and competence match the workload?	☐ Yes	☐ No	Comments:
4. Quality Policy and Procedures			
4.1 Is the SHEQ Policy displayed at the workplace?	☐ Yes	☐ No	Comments:
4.2 Is there a Register of Standards and Procedures for the Project?	☐ Yes	☐ No	Comments:
4.3 Are the Standards and Procedures adequate for the scope of work of the Project?	☐ Yes	☐ No	Comments:
4.4 Are Procedures and Task Instructions available at the place of work? Do employees perform work in accordance with Procedures, Work Instructions and other relevant requirements?	☐ Yes	☐ No	Comments:

GENERIC QUALITY MANAGEMENT SYSTEM COMPLIANCE CHECKLIST

4.5 Has Project Specific Procedures been compiled and approved?	☐ Yes	☐ No	Comments:
5. Execution			
5.1 Are the PQP and QCPs implemented effectively with the necessary sign-offs at Hold Points before proceeding?	☐ Yes	☐ No	Comments:
5.2 Are FATs and SATs being conducted, documented and reported on?	☐ Yes	☐ No	Comments:
5.3 Is the Engineer signing off construction / installation in compliance to the design on completion?	☐ Yes	☐ No	Comments:
5.4 Are punch lists being prepared and punch items classified and closed out accordingly?	☐ Yes	☐ No	Comments:
6. Defects and Non-conformance			
6.1 Is there a Defect and Non-conformance Management procedure and is it being applied to the Project?	☐ Yes	☐ No	Comments:
6.2 Are Non-conformances adequately closed out and the Non-conformance Register updated?	☐ Yes	☐ No	Comments:
6.3 Is there adequate Quality Performance tracking?	☐ Yes	☐ No	Comments:
6.4 Are product on hold and recall / rework procedures and instructions used in the event that the supplier's process parameters are found to be outside of specified requirements?	☐ Yes	☐ No	Comments:
7. Quality Audits			
7.1 Is there an approved quality audit schedule?	☐ Yes	☐ No	Comments:
7.2 Have audits been conducted according to the schedule? *(proof to be supplied on contract award)*	☐ Yes	☐ No	Comments:
7.3 Are audits conducted by qualified auditors and/or subject matter experts?	☐ Yes	☐ No	Comments:
8. Inspections and Tests			
8.1 Are all inspections indicated in sequence (inspection planning done)? Are characteristics to be inspected identified?	☐ Yes	☐ No	Comments:

GENERIC QUALITY MANAGEMENT SYSTEM COMPLIANCE CHECKLIST

8.2 Are inspections and tests performed at defined stages with clear indication of inspection and test status?	☐ Yes	☐ No	Comments:
8.3 Is contract requirements incorporated?	☐ Yes	☐ No	Comments:
8.4 Is there evidence that product conforms to specified requirements and do these documents contain proper authorisations? Verify release notes and certificates.	☐ Yes	☐ No	Comments:
8.5 Is Inspection and Test Equipment stored in acceptable conditions?	☐ Yes	☐ No	Comments:
8.6 Are all equipment calibrated (verify serial number on instrument against certificate)?	☐ Yes	☐ No	Comments:
8.7 Have calibration intervals been identified? Verify compliance against due date.	☐ Yes	☐ No	Comments:
8.8 Have calibration accuracy requirements and environmental acceptance criteria been defined (tolerances)?	☐ Yes	☐ No	Comments:
8.9 Are non-conforming instruments removed from work area?	☐ Yes	☐ No	Comments:
9. Transportation, Receipt, Storage and Release of Goods			
9.1 Have transportation and storage protection for goods been provided for?	☐ Yes	☐ No	Comments:
9.2 Are packing & marking in accordance with client specifications?	☐ Yes	☐ No	Comments:
9.3 Are goods received checked against the specifications on receipt and signed off?	☐ Yes	☐ No	Comments:
9.4 Are there records that all products has passed the inspections and test as defined by the acceptance criteria and is the authority identified who is responsible for the release of the product?	☐ Yes	☐ No	Comments:
9.5 Have rejected items been isolated?	☐ Yes	☐ No	Comments:

GENERIC QUALITY MANAGEMENT SYSTEM COMPLIANCE CHECKLIST

Note: Compliance against relevant standard requirements pertaining to the relevant inspection and testing activity/goods supplied should be assessed. For instance, % NDE to be done in accordance with code, stress testing requirements, load testing to be done, etc.			
10. Change Control			
10.1 Are there Change Control Procedures (Engineering, Scope and Project Changes)?	☐ Yes	☐ No	Comments:
10.2 Are changes managed in line with the Procedures?	☐ Yes	☐ No	Comments:
10.3 Is approval given at the appropriate level for each change?	☐ Yes	☐ No	Comments:
10.4 Are Project Plans regularly updated to reflect agreed changes?	☐ Yes	☐ No	Comments:
11. Concessions and Queries			
11.1 Is there a procedure for concessions and a concession register in place?	☐ Yes	☐ No	Comments:
11.2 Are Technical and Field Engineering Queries being addressed timeously and adequately?	☐ Yes	☐ No	Comments:
12. Documentation			
12.1 Are the issuing of documentation/drawings/ specifications controlled and are there Registers for these?	☐ Yes	☐ No	Comments:
12.2 Do all Documentation including Data Packs, Operating and Maintenance Manuals meet the requirements of the Document Handover Matrix?	☐ Yes	☐ No	Comments:
12.3 Does a procedure exist for As-built documents and is it complied with?	☐ Yes	☐ No	Comments
13. Risks			
13.1 Are Quality risks included in the Risk Register?	☐ Yes	☐ No	Comments:
13.2 Are Quality Risks been allowed for in the Risk Allowance?	☐ Yes	☐ No	Comments

Please note that further Project Specific Quality Checklists may need to be developed in line with the scope of work of the Project.

ANNEXURE 6 – Non Conformance Report

Pages 42 to 43

TRANSNET

NON-CONFORMANCE REPORT

Project Name:		NCR Number:	
Project Number:		Date:	

Section A – Initiating a Non Conformance Report

PO/Contract No:		Sub-Contract No:	*(If applicable)*
Supplier/Contractor:			

Description of Non Conformance:

Non Conformance Classification

☐ Construction	☐ Commissioning	☐ Eng/Design	☐ Documentation	☐ Complaint
☐ HSE	☐ Manufacture	☐ Materials	☐ Systems/Procedure	☐ Other

Originator

Name:	Signature:	Date:

Section B – Supplier/Contractor Proposed Corrective Action

Cause :

Corrective Action :

Action to Prevent Recurrence:

Acknowledgement of Receipt by Supplier/Contractor

Name:		Signature:		Date:	

TRANSNET

NON-CONFORMANCE REPORT

Project Name:		NCR Number:	
Project Number:		Date:	

Section C – Review and Recommendations

Comments/Recommendations/Instructions:

Section D - Verification

Comments (if applicable):

Concession Required ☐ Yes ☐ No

Section E – Close Out

Sign off when NCR is completed :

Name: **Project Quality Manager**	Signature:	Date:

ANNEXURE 7 – Non Conformance Register

Pages 44 to 45

NON-CONFORMANCE REGISTER

Project Name:					Project Number :				
NCR No.	Raised By	Issue Date	Assignee	Non-Conformance	Response Date	CAR Agreed (Y/N)	Close Out Date	Classification	Criticality

ANNEXURE 8 – Audit Notification

Pages 46 to 48

TRANSNET

AUDIT NOTIFICATION

AUDIT DATE: from _____ to _____
Opening meeting: date _____ time _____
Closing meeting: date _____ time _____

Detail Audit Plan Attached: Yes ☐ **No** ☐

TYPE OF AUDIT: System ☐ Process ☐ Product ☐

AUDIT OBJECTIVES:

1. To confirm the effective implementation of planned arrangements
2. To confirm that the management system is capable of achieving policy objectives

---

SCOPE:
Department: _____

Reference Documents:
1. ISO 9001:2015
2. QAL-STD-0001
3. _____

AUDITOR(S): _____
_____
_____

TCP Quality Department
Name _____ *Date*

CONFIRMATION:

Name: _____ Date: _____

Day 1: Day ddmmyyyy **Auditors:**				
Time	**Description**	**Reference**	**Area/Process/Function**	**Auditor**
08:00				
08:30	Opening meeting			
09:00				
09:30				
10:00				
10:30				
11:00				
11:30				
12:00				
12:30	BREAK			
13:00				
13:30				
14:00				
14:30				
15:00				
15:30				
16:00				
16:30	Feedback meeting			Auditors
17:00	**END**			

ANNEXURE 9 – Inspection Report - A

Pages 49 to 50

TRANSNET

INSPECTION REPORT - A

Inspection Report (A) Number :			
Contract Name:		Project No:	
Contractor:		PO No:	
Subcontractor:		Equipment:	
Revision/Drawing No:		Location:	

ACTIVITY

☐ Inspection to QCP	☐ Material/Machinery Inspection	☐ Pressure Test
☐ Inspection to Drawing	☐ Welding Inspection/NDT	☐ Performance Test
☐ Documentation Review	☐ Progress Initial/Final	☐ Site Inspection

Status: ☐ REJECTION ☐ APPROVED/RELEASED

ITEM NO	COMMENTS/ACTION	STATUS

Subcontractor Signature		Date:	
Contractor Signature		Date:	
Transnet Capital Projects Representative		Date:	

ANNEXURE 10 – Punch List

Pages 51 to 52

PUNCH LIST

Punch List ID.	Contract No:	Package No:	Sequential No:	Date:	Page
Area Inspected.	Area No:	System/Area:	Subsystem:	Punch List Originator:	

Item No.	Equip No.	Defects Description	Disc	Cat	Priority	Cause	Due Date	Completion					
								Contractor		TCP		Client	
								Date	Sign	Date	Sign	Date	Sign
1													
2													
3													
4													
5													
6													
7													
8													
9													

Discipline		**Category**		**Priority**		**Cause**	
C	Civil	A	Safety Critical items	1	Complete before Commissioning	H	Design inadequate
M	Mechanical	B	Performance Limiting items	2	Complete before Trial Operation	J	Installation incorrect
E	Electrical	C	General installation None critical items	3	Complete before Operations Handover	K	Work remaining
I	Instrumentation			4	Complete before Performance Acceptance	L	Additional item
P	Piping						