

This is Document “Schedule 5 Part 1” referred to in this Contract

SCOTTISH MINISTERS’ REQUIREMENTS

SCHEDULE 5 PART 1

QUALITY MANAGEMENT SYSTEM

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SCOTTISH MINISTERS' REQUIREMENTS

SCHEDULE 5 PART 1

QUALITY MANAGEMENT SYSTEM

1 GENERAL REQUIREMENTS

1.1 Requirements

1.1.1 The Quality Management System shall be

- (i) established
- (ii) documented
- (iii) implemented and
- (iv) maintained

to continually improve its effectiveness in compliance with the requirements specified in Clause 13 of Schedule 1.

Notwithstanding any other provisions of this Contract the Quality Management System documentation shall include but not be limited to the following requirements

- (v) documented statements of
 - (a) quality
 - (b) environmental
 - (c) health and safety
 - (d) finance and
 - (e) risk policy
- (vi) documented objectives of
 - (a) quality
 - (b) environmental
 - (c) health and safety
 - (d) finance and
 - (e) risk
- (vii) quality environmental and health and safety manual that shall include
 - (a) the scope of the quality environmental health and safety aspects of the Quality Management System and the Quality Plan
 - (b) the documented procedures established for the Quality Management System and the Quality Plan or reference to them and
 - (c) a description of the interaction between the processes for the Quality Management System and the Quality Plan
- (viii) a Quality Plan meeting the requirements of BS ISO 10005 and this Part 1 of this Schedule 5

- (ix) documented procedures required by BS EN ISO 9001 BS EN ISO 14001 and OHSAS 18001
- (x) documented procedures required by this Part 1 of this Schedule 5
- (xi) documentation required by the Operating Company to ensure the effective planning operation measurement and control of its processes for the implementation of this Contract
- (xii) all records required by the Quality Management System and the Quality Plan and this Contract.

1.2 Consortium Partnership or Joint Venture

1.2.1 In the event that the Operating Company shall be a consortium partnership or joint venture or the like a single Quality Management System and Quality Plan shall be

- (i) established
- (ii) documented
- (iii) implemented and
- (iv) maintained

to continually improve its effectiveness by all members of the consortium partnership or joint venture or the like.

2 REQUIREMENTS OF THE QUALITY PLAN

2.1 Requirements

2.1.1 Subject to the other provisions of this Contract the Operating Company shall prepare and submit to the Director a Quality Plan in accordance with paragraph 1 of this Part 1 of this Schedule 5 together with the provisions of Clause 13 of Schedule 1.

The principal requirements and principles which shall apply to the Quality Plan shall be as required by Clause 13 of Schedule 1 and shall include but not be limited to the requirements stated in paragraphs 2.1.1.1 to 2.1.1.8 inclusive of this Part 1 of this Schedule 5.

2.1.1.1 The Operating Company's arrangements for the quality control of Operations including but not limited to

- (i) the work of sub-contractors including where applicable a resources programme
- (ii) hold points
- (iii) witness points
- (iv) testing arrangements including but not limited to a list of inspection and test plans or like items and
- (v) identification of the forms, systems and/or databases that shall be used by the Operating Company for
 - (a) recording the inspection and test results
 - (b) the certification of compliance by relevant personnel

- (c) all Certificates for Operations and Works as shall be required by this Contract and
- (d) any other certificates.

Such arrangements and records shall identify all changes to products and specifications and the like and provide for the verification and traceability of all processes and products in connection with Operations and Works.

2.1.1.2 The Operating Company's arrangements for statement/invoice preparation records together with all required back-up data including in particular but not limited to complying with the provisions of Clause 10 of Schedule 1

- (i) the names roles responsibilities and authority of the key personnel that shall be employed in Operations including but not limited to the line of command and communication links between all parties involved in the delivery of the Operations by the Operating Company under this Contract in the form of annotated charts (such key personnel shall include but not be limited to the Operating Company's Representative members of the Core Management Team and other personnel nominated to be responsible for specific tasks activities or duties in accordance with the other provisions of this Contract)
- (ii) a description of the arrangements for the interfaces with and between the
 - (a) Operating Company
 - (b) sub-contractor
 - (c) sub-consultant and
 - (d) Works Contractor personnel
 - (e) any other necessary interfaces
- (iii) a description of the arrangements for the interface with the Director and the Director's staff including any proposals for a strategic management board or similar arrangement
- (iv) a description of the arrangements for the interface with the Performance Audit Group
- (v) identification of the Operating Company staff responsible for overseeing each activity in respect of Operations and Works.
- (vi) a schedule (including but not limited to the timing and scope) for Operating Company audits of the Operating Company's own and its sub-contractor activities and the like and the Quality Management System that shall comply with paragraph 4 and Annex 5.1/A of this Part 1 of this Schedule 5 and
- (vii) a programme for submission of procedures method statements and other required documentation in sufficient time to allow the relevant activity under Operations or Works to be commenced where such procedures method statements or required documentation have not been incorporated in the initial Quality Plan as not required for the Operations at that time.

2.1.1.3 Documented procedures for

- (i) the control of sub-contracts (including but not limited to sub-contractors and/or sub-consultants and the like) that shall include the assessment of the sub-contractors and/ or sub-consultants and the like for

- (a) quality
- (b) environment
- (c) health and safety
- (d) finance
- (e) risk systems and
- (f) quality control capabilities

for the identification and implementation of necessary controls on each such sub-contractor or sub-consultant and the like to enable the Operating Company to fulfil its obligations under this Contract.

2.1.1.4 Regular reviews and recording thereof by the Operating Company to assess its own performance in fulfilling its obligations under this Contract and the introduction of any remedial and preventive action in connection thereto

- (i) management reviews and audits to monitor and demonstrate control over the implementation of the
 - (a) Quality Management System
 - (b) Quality Plan
 - (c) Operations and
 - (d) Works
- (ii) the control of all documentation including but not limited to showing the identification and traceability of documents and document issues and status that shall also include the control of documentation recording the verification review comments approval consent to and releases in respect of Operations and Works (this shall include but not be limited to all documentation and information that shall be provided by the Operating Company to the Director or shall be kept available at the Operating Company's offices or depots and the like for inspection or audit by or on behalf of the Director and the Performance Audit Group) and
- (iii) compliance by the Operating Company with this Part 1 of this Schedule 5.

2.1.1.5 Documented procedures including method statements that shall apply to secure but not be limited to the following requirements

- (i) the effective implementation of Operations and Works.
- (ii) the procurement of all activities required for Operations and Works and
- (iii) the provision to the Director at the various times required by this Contract of all information and records in respect of Operations and Works that shall require to be provided by the Operating Company (including but not limited to the procurement of such information from others by the Operating Company) and specified in this Contract.

2.1.1.6 Arrangements for liaison and meetings with the Operating Company with

- (i) sub-contractors and the like
- (ii) sub-consultants and the like
- (iii) Works Contractors

- (iv) the Director and the staff of the Director and
 - (v) with all third parties or interested parties and the like.
- 2.1.1.7 Arrangements for the control of personnel selection that shall be based on consideration of
 - (i) skill
 - (ii) care
 - (iii) qualifications
 - (iv) training
 - (v) competence and
 - (vi) experience.
- 2.1.1.8 The identification of the person(s) responsible for the initiation maintenance and upgrading of the Quality Management System and the Quality Plan during the Contract Period including but not limited to
 - (i) the identification of the person(s) responsible for monitoring compliance with the Quality Management System and the Quality Plan in respect of the Operations
 - (ii) the identification of the person(s) responsible for the adequacy of the Quality Management System and Quality Plan records produced
 - (iii) the identification of the person(s) responsible for document control
 - (iv) arrangements for the effective environmental management of Operations and Works by the Operating Company in accordance with the other provisions of this Contract statutory requirements and BS EN ISO 14001 including but not limited to
 - (a) the development of an environmental policy
 - (b) the identification by the Operating Company of environmental aspects, objectives targets programmes training and communication requirements
 - (c) the inclusion of environmental aspects in method statements and the like by the Operating Company including but not limited to such for operational control and emergency response
 - (d) the development of procedures and the like by the Operating Company relating to environmental implementation control records and corrective and preventive action
 - (e) the establishment of a register by the Operating Company of relevant legal requirements and
 - (f) procedures to address any other requirements of BS EN ISO 14001 that shall not have been addressed by the Operating Company in other parts of the Quality Management System and the Quality Plan
 - (v) arrangements for the effective health and safety management of Operations and Works in accordance with the other provisions of this Contract statutory requirements and OHSAS 18001 including but not limited to
 - (a) the development of a health and safety policy

- (b) the identification of health and safety aspects, objectives targets programmes training and communication requirements
- (c) the inclusion of health and safety aspects in method statements and the like
- (d) the development of procedures and the like relating to health and safety implementation, control records corrective action and preventive action and
- (e) procedures to address any other requirements of OHSAS 18001 that shall not have been addressed by the Operating Company in other parts of the Quality Management System and the Quality Plan and
- (vi) the provision of any other item which may be brought to the attention of the Operating Company by the Director and the staff of the Director and or the Performance Audit Group and which as a result shall be incorporated into the Quality Management System and the Quality Plan.

3 DIRECTOR'S MONITORING OF THE OPERATING COMPANY'S QUALITY MANAGEMENT SYSTEM AND QUALITY PLAN

3.1 Requirements

3.1.1 Subject to the other provisions of this Contract the Director shall during the Contract Period have in place procedures for monitoring the Operating Company's Quality Management System and the Quality Plan.

These procedures shall result in written reports including reports on

- (i) hazards identified in a Hazard Notice
- (ii) Observations Resulting from Inspection
- (iii) matters subject to a Notice of Non-Conformance
- (iv) matters subject to a Remedial Notice and
- (v) Defaults Non-conformances and Defects (including but not limited to, where appropriate, Notices of Non-Conformance, Remedial Notices) that shall be notified in writing to the Operating Company and notwithstanding the other provisions of this Contract the Operating Company shall within a timescale acceptable to the Director
 - (a) take due cognisance of such reports
 - (b) investigate the cause(s) of the Non conformances
 - (c) take all necessary corrective action(s) and
 - (d) initiate all necessary action(s) required to prevent recurrence of any such events and integrate same into the Quality Management System and the Quality Plan and in particular into the documented control management and working procedures and the like including method statements and the like.

4 INTERNAL AUDITS BY THE OPERATING COMPANY

4.1 Requirements

- 4.1.1 The Operating Company shall meet the requirements of ISO 9001 Clause 8.2.2 for the planning and undertaking of internal audits and as a minimum shall undertake auditing of relevant Operating Company or its sub-contractor or sub-consultant and the like activities as described in Annex 5.1/A of this Part 1 of this Schedule 5.

Notwithstanding the minimum requirements in Annex 5.1/A of this Part 1 of this Schedule 5 the Operating Company shall plan and undertake internal audits according to the status and importance of the processes.

4.2 First Internal Audit

- 4.2.1 The Operating Company shall undertake the first internal audit of any element of the Quality Management System including the Quality Plan not later than 13 weeks after the commencement date of the relevant activity.

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ANNEX 5.1/A – Operating Company Internal Audit Schedule

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QUALITY MANAGEMENT SYSTEM

ANNEX 5.1/A – Operating Company Internal Audit Schedule

Operating Company Internal Audit Schedule Annex 5.1/A		
Schedule	Parts	Frequency
1	All - not elsewhere covered in other Schedules and/or Parts	Once per year
2	All	Twice per year
3	Parts 1 to 5	Once per year
	Parts 6 and 7	Twice per year
	Parts 8 and 9	Once per year
4	Part 1	Once per year
	Part 2	Twice per year
	Parts 3 and 4	Once per year
	Part 5	Twice per year
5	Part 1	Twice per year
	Parts 2 to 5	Once per year
6	Part 1	Three times per year
	Parts 2 and 3	Twice per year
7	Part 1	Three per year
	Part 2 to 6	Once per year
	Parts 7 and 8	Twice per year
	Part 9 and 10	Once per year
8	Parts 1 and 2	Once per year
	Part 3	Twice per year
	Parts 4 and 5	Once per year

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