Desk Audit of _____

Based on Federal Transit Administration (FTA) Quality Assurance and Quality Control Guidelines FTA-IT-90-5001-02.1

Reviewed by: _____

Element	Requirements	Applicable Section	Comply?	Details of (Non)/Compliance	Comments
1. Management Responsibility	Is a quality policy defined and documented?				
	Is an approved organization chart included that identifies reporting lines and relationships?				
	Is the quality policy communicated, implemented, and maintained at all levels of the organization?				
	Is a representative (quality management representative) designated?				
	Are persons responsible for the quality assurance function identified?				
2. Documented Quality Management System	Do sufficient documented procedures or work instructions exist to ensure quality objectives are satisfied*? Note as per audit of particular element.*				
	Do the documented procedures define the purpose and scope of the activity? *These requirements pertain to the procedures supporting the other required elements.*				
	Do the documented procedures or work instructions refer to appropriate codes, standards, or specifications?				
	Do the documented procedures include testing and inspection requirements?				

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	Do the documented procedures identify the quality records needed?				
3. Design Control	Are the design requirements (input) reviewed and agreed-to?				
	Are the verification activities planned for?				
	Are the verification activities executed?				
	Are the individuals responsible for the different parts of the design identified?				
	Are the organizational interfaces identified?				
	Is the information that should be gathered, reviewed, and transmitted defined?				
	Does the plan specify how the operating and maintenance departments of the transit agency will interface with the design team?				
	Is the design output defined?				
	Are acceptance criteria for the design output defined?				
	Are the aspects of the design, which are crucial to the safe and proper functioning of the final product or system, identified?				
	Does the design review include; Constructability, Operability, and Maintainability?				
	Are changes and modifications to the design controlled?				
	Is configuration control maintained?				
	Is there a complete drawing list established that shows the total number of drawings, the titles, the revision status, and the dates the drawings were approved are recorded?				
4. Document Control	Are relevant documents current and available to all users who require them?				

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	Do authorized personnel review the documents?				
	Are the distribution and storage of these documents controlled?				
	Is there a procedure for the elimination of obsolete documents?				
	Are changes to the documents controlled?				
	Is there a Design Output Index including: • Drawings? • Technical Specifications? • Special Processes? • Test Specifications? • Engineering Change Notices?				
5. Purchasing	Does purchased product or service meet specified requirements?				
	Is there a supplier quality program?				
	Are consultants and other service providers included in the program?				
	Is there an approved supplier list?				
	Are the expectations and requirements of the purchaser, including relevant standards, drawings, specifications, process requirements, inspection instructions, and approval criteria for materials, processes, and product defined and communicated to the supplier?				
	Are purchasing documents reviewed and approved by a designated authority?				
	Does the supplier understand the contract?				
	Does the supplier agree to the contract?				
	Does the supplier have the capacity to perform as required?				

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	Are suppliers selected based on their ability to meet requirements?				
	Are acceptance testing and inspection defined where applicable?				
	For equipment purchases, are the handling, storage, packaging, and delivery of the product defined?				
6. Product Identification and Traceability	Are items of production (batches, components, etc.) identified and controlled so as to ensure only correct and acceptable items are used or installed, at any stage including; Incoming, In-process, Final product or assembly?				
	Are unidentified items, items lacking required traceability, or nonconforming items segregated to prevent use or installation?				
7. Process Control	Are the production and installation processes that directly affect quality performed under controlled conditions?				
	Are there sufficient work instructions available?				
	Is the use of suitable equipment identified?				
	Are the personnel qualifications defined?				
	Are the pertinent codes, regulations, and quality plans referenced?				
	Are special processes, the results of which cannot be verified by subsequent inspection and testing of the product, continuously monitored?				
8. Inspection and Testing	Are there procedures for; Receiving incoming products In-process, and Final inspection and testing? Records should be maintained of the various inspections and tests to provide evidence that				

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	the product has passed inspection and/or test with defined acceptance criteria.				
9. Inspection, Measuring, and Test Equipment	Is inspection, measuring and test equipment identified, controlled, calibrated, and maintained in order to demonstrate the conformance of work to the specified requirements?				
	Are measurement accuracies defined?				
	Are the instruments calibrated to national standards?				
	Are the instruments maintained?				
	Is there a calibration schedule?				
	When inspection, measuring, or test equipment is found to be out of calibration, is the validity of previous inspection and test results assessed and documented?				
10. Inspection and Test Status	Are there means to ascertain the inspection and test status of work?				
	Is nonconforming material identified in inspection reports?				
11. Nonconformance	Is nonconforming work controlled/segregated to prevent inadvertent usage or installation?				
	Are nonconformances tagged to control the item and tracked through resolution?				
	Is nonconforming material evaluated to determine appropriate handling?				
	Does the engineer of record concur with determinations to accept nonconforming work, as is or with repair?				
	Are there documented procedures to re-inspect reworked or repaired work?				
	Are all nonconformances resolved in cooperation with project management and quality personnel?				

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	Do contract documents define a nonconformance?				
12. Corrective Action	Are causes of nonconforming work investigated?				
	Are there procedures to detect and eliminate potential causes of nonconforming work?				
	Are corrective actions taken?				
	Is the effectiveness of corrective actions determined?				
	Are there procedures to implement and record changes in procedures resulting from corrective action?				
13. Quality Records	Are there procedures for handling quality records; Production Collection Retention (duration) Indexing Filing Storage Maintenance, and Disposition?				
	Are supplier, contractor, and subcontractor quality records kept?				
	Are retention times and final dispositions established and recorded?				
	Is there a Quality Assurance Records List?				
14. Quality Audits	Is there a documented internal audit program?				
	Is the audit schedule based on the status and importance of the activity being audited?				
	Are the results of the audits presented to the personnel having responsibility in the area being audited?				

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	Do the responsible persons take timely corrective action on the audit findings?				
	Are audits performed against a standard or a checklist?				
	Are the auditors independent of the area being audited?				
	Responsible management personnel should take timely corrective action on the deficiencies found by the audit.				
	Is a final audit report generated, distributed, and tracked for closure?				
15. Training	Are training needs identified?				
	Are there qualification criteria for personnel performing activities affecting quality?				
	Are training and qualification records maintained?				