

**Ministry of Transportation &
Infrastructure**

**2003-2004 Highway Maintenance
Contracts**

**Quality Plan
and
Contractor Assessment Program
(CAP) Manual**

*Ministry of Transportation & Infrastructure
2003-2004 Highway Maintenance Contracts
CAP Manual*

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Glossary

Audit Plan:

Document prepared by each Lead Auditor outlining the audits to be completed in a season; helps ensure that the required number and types of audits are scheduled and that all elements required to assess the contractor are adequately covered over the assessment period.

Audit Report:

Document outlining the attendees at the audit, the purpose of the audit, summarizing the documents reviewed and the findings; may include recommendations and/or identify Non-conformances and opportunities for improvement; may also include photographs; used to support the assessment of the contractor's performance.

Auditing:

Systematic examination of the contractor's records and of the infrastructure to determine whether the contractor is meeting the contractual requirements, whether the contractor is implementing the Quality Management System (QMS) as described, and whether the QMS is effective.

Basic Contract Requirements

Clear, measurable requirements in the maintenance agreement; for example, response times, material requirements, etc; not included are those requirements that are less tangible, e.g., providing proactive winter maintenance, continual improvement, innovation, addressing the needs of customers/stakeholders, partnering, etc.

Bonus

Sum equal to 1%, 1.5% or 2% of the contractor's annual price, payable once/year based on an assessment of the contractor's performance; in order to earn a Bonus, a contractor must demonstrate evidence of being proactive, of effectively dealing with stakeholders, of being committed to maintaining their QMS, and of continually reviewing the effectiveness of their QMS.

Bonus Question

Audit question aimed at determining whether a contractor's performance demonstrates evidence of meeting the Local Assessment Criteria.

Compliance Question

Audit question aimed at determining whether the contractor is meeting Basic Contractual Requirements.

Contractor Assessment Program (CAP)

Method of assessing whether the contractor's performance warrants a Bonus; and if so, the level of Bonus.

Correction

As it relates to Non-conformances, how the contractor must deal with non-conforming work, e.g., if a sign is incorrectly placed, what action must be taken to rectify the situation

Corrective Action

As it relates to Non-conformances, how the contractor will ensure that the problem will not be repeated in the future, e.g., signs not incorrectly placed in the future.

Detailed Process Office Audit

Comprehensive audit conducted in the office; usually focuses on all aspects of a given activity (e.g., patching or bridge deck maintenance) or a given process (e.g., stakeholder consultations). A detailed process audit typically takes 3-4 hours and comprises 10-15 questions.

Detailed Winter Preparedness Office Audit

Comprehensive Audit of the contractor's state of readiness for providing effective and efficient winter maintenance services. Typically takes 3-4 hours and comprises 18-22 questions.

District Lead Auditor

District Operations Manager responsible for a service area; the District Lead Auditor is responsible for ensuring that Monitoring and Auditing activities in the service area are conducted in accordance with the Quality Plan; specifically, that Monitoring and Auditing is adequate, and that these activities are properly documented. The District Lead Auditor is also responsible for ensuring that the Local and Stakeholder Assessments are completed, defensible and documented.

End Product Field (EP) Audit

Field Audit conducted to review the quality of the work on the road/structure, to determine compliance with contract requirements and to verify the effectiveness of the QMS process(es).

Field Audit

A Short Response Time (SRT), In-Process (IP), End Product (EP), Snow & Ice (S&I), Roadside Snow & Ice (RS&I), and Salt Handling (SH) Audit and includes completion of a Field Audit report. The roads/sections and structures are selected by the Lead Auditor who will consider factors such as the road network, the priorities in the service area, the time of year, the contractor's work accomplishments and Trends from the Monitoring.

In-Process (IP) Audit

Field Audit to review how work is being done on the road/structure, to determine compliance with contract requirements and/or the QMS (usually procedures).

Local Assessment

One of 3 components of the CAP; the Local Assessment is the district's input into the assessment of the contractor's performance and is based on the results/observations from the Monitoring and Auditing activities conducted by the district; it is also based on the ongoing communication/relationship between the district and the contractor.

Local Audit

Audit performed by the district; can be a Field Audit or an Office Audit.

Ministry Internal Audit

Audit performed on the districts by Regional Operations personnel, to verify compliance with the Quality Plan and CAP and ensure consistency; includes a review of the type and frequency of Monitoring and Auditing activities, as well as the level and adequacy of documentation (Monitoring Records, Audit Reports, NCRs).

Monitoring

Ongoing visual observation by MoT staff, primarily by Area Managers, of the condition of the highway and its associated inventory. Monitoring activities are documented. Structure inspections are also considered routine Monitoring.

Monitoring Record

Summarizes observations during Monitoring, both positive and negative, of the condition of the highway and/or inventory; includes photographs whenever possible; used to support the assessment of the contractor's performance.

Non-conformance

Contractor's failure to comply with one of the contractual obligations.

Non-conformance Report (NCR)

Report issued by the Ministry outlining the contractor's failure to comply with one of the contractual obligations.

Office Audit

Audit done in the contractor's office to review documentation and discussion based on Trends identified through Field Audits and routine Monitoring, as well as compliance with the QMS. Office Audits may be Task Audits or Detailed Process Audits.

Opportunity for Improvement (OFI)

Imminent risk of failure to a process; something that could potentially result in a Non-conformance, but has not yet reached that point.

Quality Plan (QP)

Monitoring and Auditing activities conducted by ministry staff at the local and regional levels, the results of which are used to support the assessment of the contractor's performance.

Regional Assessment

One of 3 components of the CAP; the Regional Assessment provides 3rd party input into the assessment of the contractor's performance and is based on the results/observations from the Regional Audit(s).

Regional Audit

Audit performed by a regional audit team to provide a second, independent assessment of contractor performance.

Regional Lead Auditor

Regional Manager Operations; the Regional Lead Auditor is responsible for ensuring that the Regional Audit is conducted in accordance with the QP; and that the assessment is completed, defensible and documented. The role of Regional Lead Auditor may be delegated to qualified persons.

Roadside Snow & Ice (RS&I) Audit

Audit to assess the contractor's handling of the clean up phase of a snow and/or ice event and to confirm whether the contractor is following their QMS. Conducted mostly in the field but may also have an office component.

Root Cause

Underlying reason why something occurs.

Salt Handling (SH) Audit

Field Audit to assess the contractor's salt handling practices.

Short Response Time (SRT) Audit

Field Audit conducted on a 20km segment of highway or a 10 km segment of freeway to determine if the contractor is meeting the response times on deficiencies with a response time of 7 days or less.

Snow &/or Ice (S&I) Audit

Audit to assess the contractor's handling of a snow and/or ice event and to confirm whether the contractor is following their QMS. Conducted mostly in the field but always has an office component.

Stakeholder Assessment

One of 3 components of the CAP; the Stakeholder Assessment provides the public input into the assessment of the contractor's performance and is based on discussions, led by the District Lead Auditor, around observations and dealings with the contractor over the assessment period.

Task Office Audit

Short audit conducted in the office; usually focuses on QC/QA, material certification, response times or Bonus criteria. A task audit typically takes ½ hour to an hour and comprises 1-3 questions.

Trend

Tendency noted through routine Monitoring and Field Auditing of consistently meeting or not meeting Basic Contract Requirements.

Executive Summary

Under the 2003-2004 Highway Maintenance Agreement, contractors have the primary responsibility for ensuring quality. They are required to manage the work in accordance with a Quality Management System (QMS) based on the principles of the ISO 9000:2000 standard and to maintain records to demonstrate compliance with the maintenance agreement. They are also required to have a quality control (QC) and a quality assurance (QA) program, and to maintain records to demonstrate compliance with their QC/QA. They must continually review the effectiveness of their QMS and the level of satisfaction of the Ministry of Transportation & Infrastructure (“the Ministry” or “MoT”) and stakeholders, and the adjustments made as a result of these revisions must also be documented.

The Ministry is responsible for Monitoring the work and Auditing the contractor. The level of Monitoring and Auditing is influenced by the contractor’s recent performance, increasing when there are emerging areas of concern and decreasing for better performing contractors.

Communication between MoT and contractors is key to the success of the Highway Maintenance Agreement and its supporting systems and programs.

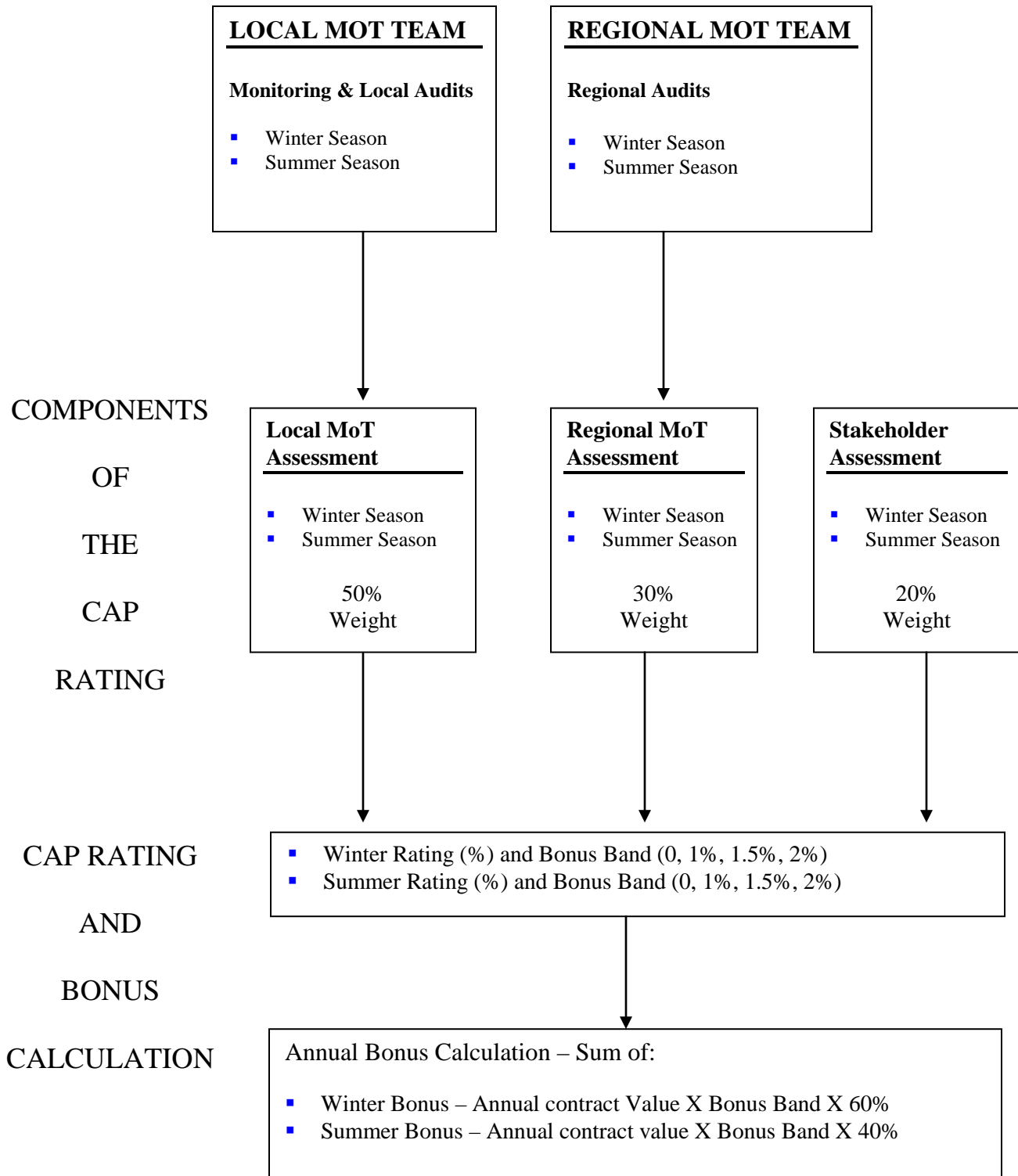
I. Quality Plan Activities

An overview of the Ministry’s Quality Plan (QP) activities and the resulting Contractor Assessment Program (CAP) is illustrated in Exhibit 1. Activities include frequent Monitoring, as well as Field and Office Audits by the local MoT office responsible for the contract area; and independent contractor assessments through Field and Office Audits by MoT Regional Audit teams.

Monitoring is the ongoing visual observation by MoT staff of the condition of the highway and its associated inventory. Monitoring is done primarily by Area Managers as they drive through the service area in the course of performing their normal duties. Monitoring activities are documented. If a deficiency that has an immediate response time is detected through Monitoring, (e.g., slippery roads or a missing stop sign), the district notifies the contractor immediately. Otherwise, Monitoring Records are filed and reviewed periodically for the emergence of problems or Trends, and are used as input into the audit process.

The purpose of Auditing is to determine whether the contractor is meeting the contract requirements, whether the contractor is implementing the QMS as described, and whether the QMS is effective. Audits involve a review of the contractor’s documentation and/or interviews with the contractor’s staff to verify compliance with the contract requirements, as well as a physical inspection of the work on the road. Ministry auditors conduct two types of audits:

**Exhibit 1
Overview of Quality Plan / CAP**



- Local Audits are a combination of:

1. Field Audits; and
2. Office Audits.

The purpose of Local Audits is to verify compliance with Basic Contract Requirements and to determine whether the contractor's performance warrants a Bonus. The District Operations Manager (DOM) is the District Lead Auditor and is responsible for scheduling the audits and ensuring compliance with this QP.

- Regional Audits are also conducted to verify compliance with Basic Contract Requirements and to determine if the contractor's performance warrants a Bonus. The Regional Audit provides an independent second opinion on the contractor's performance. The Regional Audit Steering Committee is responsible for scheduling Regional Audits and assigning Regional Lead Auditors (normally DOMs from outside the service area being audited); the Lead Auditor is accompanied by at least 1 other auditor (also from outside the service area being audited).

The contractor is informed of the results of all audits.

II. Components of the CAP Rating

The contractor's performance is assessed through the CAP. There are three components to CAP:

- The Local Assessment is based mostly on the results of the Monitoring and Auditing done by the districts, but the district also considers the day-to-day dealings with the contractor. Assessment is based on the set criteria outlined in section 2.A.1 – “Local Assessment” of this manual.
- The Regional Assessment is based on the results of audits performed by the Regional Audit team. 50% of the assessment is based on whether the contractor is being proactive and living the spirit of ISO (for example, meeting the 8 management principles, maintaining documents and records); and 50% is based on whether the contractor is complying with Basic Contract Requirements.
- The Stakeholder Assessment is based on the results of interviews with 5-6 key stakeholders in each service area, assessing how well their needs are being addressed by the contractor. Examples of key stakeholders include the RCMP, emergency response providers, major trucking firms, major bus lines, school districts, local industry representatives, and local politicians.

Rating scales for each component are more fully described in the main text and appendices. In general, ratings in each category are:

- 95% or greater for “excellent” performance (the 2% “Bonus band”).
- 90% or more, but less than 95% for “good” performance (the 1.5% “Bonus band”).
- 85% or more, but less than 90% for “satisfactory” performance (the 1% “Bonus band”).
- Less than 85% for “fair” performance (the 0% “Bonus band”).

III. Rating and Bonus Calculation

I. CAP Rating for each season (winter, summer)

Twice annually, the contractor’s overall CAP rating is determined by the weighted average of its CAP rating on the three components:

- Local Assessment (50% weighting)
- Regional Assessment (30% weighting)
- Stakeholder Assessment (20% weighting)

II. Separate calculation of winter/summer CAP ratings and Bonus amounts

CAP ratings and Bonus payments are calculated separately for the winter and summer seasons. In calculating Bonus payments, winter season performance is weighted more heavily (60%) than summer season performance (40%). The rating in one season is determined completely independently of the other season.

In effect, the Bonus bands payment in each season, as a percentage of the annual contract value, is as follows:

Bonus Band	Winter Season (60% Weighting)	Summer Season (40% Weighting)
	— as a percentage of annual contract value —	
2% (CAP Rating ≥ 95%)	1.2%	0.8%
1.5% (CAP Rating ≥ 90%, < 95%)	0.9%	0.6%
1.0% (CAP Rating ≥ 85%, < 90%)	0.6%	0.4%
0% (CAP Rating < 85%)	—	—

The annual payment is made on or about November 30th of each year, and normally covers the **sum** of the “Bonus band” payments for the summer and winter seasons, for the annual period having ended on September 30th of that year. Where the time period covered is less or more than one year, (i.e. at the beginning or end of a contract), Bonus payments for the winter/summer seasons is prorated accordingly.

III. Impact of default on Bonus

If, during the rating period, a Notice to Comply is issued or a holdback or retention is assessed, the contractor is not entitled to a Bonus for that period, regardless of the CAP rating.

IV. Documentation

The importance of accurate and complete documentation cannot be overstated. The Ministry must be able to show due diligence in the administration of the highway maintenance contracts; and be able to demonstrate, not only that the Bonuses are justified, but that the terms of the contract are being met.

Introduction

Under the 2003-2004 Highway Maintenance Agreement, contractors have the main responsibility for ensuring quality. They are required to manage the work in accordance with a Quality Management System (QMS) based on the principles of the ISO 9000:2000 standard. Contractors are required to maintain records to demonstrate compliance with the maintenance agreement; they are also required to have a quality control (QC) and a quality assurance (QA) program, and to maintain records to demonstrate compliance with their QC/QA. They must continually review the effectiveness of their system and the level of satisfaction of the Ministry of Transportation and Infrastructure (“the Ministry” or “MoT”) and stakeholders, and the adjustments made as a result of these revisions must also be documented.

The Ministry is responsible for Monitoring the work and Auditing the contractor. Section I of this manual describes in more detail the types and frequencies of Monitoring and Auditing by the Ministry.

The contractor’s performance is assessed through the Contractor Assessment Program (CAP). Section 2 of this manual provides more detailed information on that program.

The Ministry has also implemented some measures to ensure consistency in the level of Monitoring and Auditing, and in the results of the CAP assessments. Section 2 C outlines those measures.

The CAP rating system is used to determine the contractor’s Bonus. Details of that program can be found in Section III of this manual.

Section 3 outlines the Ministry’s documentation requirements with respect to the Quality Plan (QP) and the CAP.

Ongoing and open communication between Contractor and MoT staff is key to developing and maintaining positive working relationships and ensuring the success of the CAP.

1. Quality Plan

The main objective of the MoT Quality Plan (QP) is to confirm, through Monitoring, quality Auditing and communicating, that the contractor is meeting the contract requirements and that the contractor's QMS is effective. It is through the QP that the Ministry satisfies its requirement for due diligence; the highway maintenance contracts are valued at well over \$350 million/year. We have a responsibility to provide evidence that the public is getting value for money. The findings from Monitoring and Auditing are used to assess contractor performance. It is the District Operations Manager's (DOM) responsibility to ensure the delivery of the MoT QP.

A. Monitoring

Monitoring is the ongoing daily visual observation by MoT staff of the condition of the highway and its associated inventory. Monitoring is useful to confirm audit findings and to draw attention to potential contractor performance issues.

Monitoring is done primarily by Area Managers as they drive through the service area in the course of performing their normal duties. However, all district staff should be encouraged to report any observations to the DOM or to an Area Manager for follow up.

The level of Monitoring (i.e. hours, scrutiny, frequency, or subjects) is at the discretion of the District Lead Auditor, but will necessarily be influenced by the contractor's performance, with efforts increasing at times when Trends of Non-conformance are evident, and decreasing when the contractor is performing well. Other factors that will impact the level of Monitoring include: time of year, state of contractor's activities, and any special or emerging areas of concern about quality. However, at a minimum, the District Lead Auditor will ensure there is a minimum of one Monitoring Record every time an area manager goes out.

The focus of the Monitoring is determined by the road network, the priorities in the service area as well as the contractor's work schedule. All Monitoring activities must be documented; both positive and negative observations are recorded. Area Managers may find it more practical to carry a voice recorder and record their observations while they are on the road (but not while driving) and transfer those recordings onto the Monitoring Record at the end of the day. Cameras are also a useful tool in Monitoring; pictures should be attached to the Monitoring Record, whenever possible. Bridge Area Managers already document many observations through annual structure inspections; that information does not need to be duplicated in the Monitoring Records, but does need to be incorporated into the district's analysis of Trends.

All Monitoring Records must be filed electronically and be accessible by all users. A simple excel spreadsheet is an effective tool to record routine Monitoring observations. (see *Appendix A* for sample.) It is recommended that everyone in

the service area involved in Monitoring access the same spreadsheet. It is recommended that the District Lead Auditor meet on a regular basis with staff involved in Monitoring to review the records for any evidence of Trends (both positive and negative).

If a deficiency that has a response time of 24 hours or less (e.g., downed stop sign, extremely slippery conditions) is detected through Monitoring, the district notifies the contractor immediately. All Trends, both positive and negative, must be discussed with the contractor in a timely manner (i.e., at least on a monthly basis). This sharing of information assists the contractor with their continual improvement process.

B. Auditing

Quality Auditing is the systematic examination by MoT of the contractor's records and of the work on the road, (1) to determine whether the end product meets the contractual requirements, and (2) to confirm whether the QMS is effective and accurately describes the process to achieve the end product. Audits are performed by district and regional staff.

When performing audits, the focus should be on whether the contractor's system is delivering a quality service on the road. The objective is not only to determine whether the QMS is being implemented as designed, but, more importantly, to determine whether the system is adequate; i.e., it is achieving the desired result. If the QMS isn't being implemented as designed or it is not adequate, then it must be adjusted accordingly. The In-Process Field Audit lends itself particularly well to determining whether the QMS is effective.

1. Local Audits

a) Types of Local Audits

The Ministry conducts two types of Local Audits:

- i. Field Audits
- ii. Office Audits

Audit seasons are defined as 'summer' and 'winter'.

Audits are performed by the District Lead Auditor or his/her designate; the Lead Auditor may be accompanied by a team of 1-2 auditors.

i. Field Audits

Summer:

There are 3 types of Field Audits: Short Response Time (SRT) Field Audits, In-Process (IP) Field Audits, and End Product (EP) Field Audits.

The topics and location of summer Field Audits are at the district's discretion.

Before conducting a Field Audit, the auditor should refer to the Audit Plan and consult with the District Lead Auditor to clearly identify whether the Field Audit will be focused on short response times, in-process or end product. The auditor should also discuss with the Lead Auditor the selection of the site to be audited.

When selecting the topic and location of Field Audits, the District Lead Auditor must consider: the time of year and the activities being performed or planned by the contractor, service area priorities and emerging Trends identified through Monitoring. A balance must be struck between positive and negative Trends. The Lead Auditor must also ensure that a representative cross-section of the roads/structures and a representative cross-section of activities are audited over the course of the season and over the course of the contract term.

The district should always notify the contractor that a Field Audit is being conducted. The exact location of the audit is not always revealed when notice is given. However, when conducting an In-Process Field Audit, the auditor must provide notice to the contractor that staff may be questioned; care must be taken when subcontractors or new employees are performing the work; the contractor may wish to have the quality manager or other representative attend these audits.

It is strongly recommended that at least one each of the IP and EP Field Audits be completed jointly with the contractor each summer season or when there has been staff turnover at the area manager/foreman level. This will assist both parties in understanding the process. See note under the SRT Field Audit regarding audits with contractors.

The auditor always provides a copy of the findings to the contractor within 3 working days of completing the audit. This allows the contractor to have an opportunity to discuss the findings in a timely manner.

Short Response Time Field Audits (SRT)

- The purpose of the SRT Field Audit is to confirm whether the contractor is meeting the response times on deficiencies with a response time of 7 days or less;
- These audits are conducted in two phases, using the form (as shown in *Appendix B.1*) and the checklist (as shown in *Appendix B.2*);
- The auditor selects a 20km segment of highway, or a 10 km segment of freeway; the auditor travels the segment in one direction only; however, may pick up deficiencies on the entire road;
- A segment may be a contiguous stretch of highway of the same class, a contiguous stretch of highway with different classes; a non-contiguous stretch of highway of the same class or a non-contiguous segment of highway with different classes; it is not recommended that classes of highway with vastly different patrol frequencies be combined in one segment;
- Phase 1 comprises of driving slowly along the segment, sometimes getting out of the vehicle to measure or get a closer visual confirmation (e.g., stopping at a rest area or pedestrian underpass, measuring a pothole), and recording only deficiencies that have a response time of 7 days or less that the contractor needs to address; essentially, this is a windshield survey of road conditions; it is not intended that all inventory items along the segment will be examined in detail;
- The deficiencies identified in Phase 1 are limited to those listed on the checklist, i.e., the auditor does not record deficiencies that carry a response time of greater than 7 days as part of this audit; however, the auditor may create a Monitoring Record;
- The auditor verifies the response time for each deficiency on the checklist (that were taken directly from the maintenance specifications), taking into consideration the contractor's last schedule patrol on the given segment. The auditor advises the contractor immediately of all deficiencies that carry a response time of 24 hours or less (e.g., a downed regulatory sign); however, the contractor is not advised of the other deficiencies (after Phase 1);
- During Phase 2 of the audit, the auditor follows up on all (100%) of the deficiencies identified in Phase 1;

- During Phase 2, the auditor (or another auditor) confirms if the deficiencies have been addressed; the timing of Phase 2 must take into consideration the patrol frequencies for the Class of road where the deficiencies were identified; e.g., Phase 1 (on a Class 2 highway) identifies one deficiency with a 3 day response time; and 2 with a 24 hr response time; the patrol frequency on Class 2 is 24 hrs. Therefore it is reasonable to allow 24 hours + 3 days to respond to all the deficiencies; Phase 2 should be scheduled 5-6 days after Phase 1.
- It may not always be necessary for the same auditor to physically drive the segment to complete Phase 2; the auditor may rely on another auditor to drive the segment, rely on Monitoring Records and/or other information sources to determine whether the deficiencies were addressed by the contractor;
- If Phase 2 reveals some deficiencies that are unrepaired, the auditor goes into the contractor's office and verifies whether the work has been identified and scheduled by the contractor; there should be a discussion/understanding of how the work is being prioritized and a comment on whether the contractor's plan is reasonable and acceptable; and this is recorded on the Audit Report;
- Once Phase 2 is completed, the auditor summarizes the findings on the Audit Report and copies the contractor; all findings are discussed with the contractor.

Note: The contractor should attend one of these audits only. This will allow the contractor to understand the process, but by limiting it to one audit, it will also ensure that contractors are not informed of deficiencies greater than 24 hours before Phase 2 is complete.

End Product (EP) Field Audits

- The purpose of this audit is to confirm whether the contractor's work meets the end product specifications; the main focus is quantified work but may also apply to routine work; e.g., sign installations, grading, vegetation control, rest area maintenance, bridge cleaning, rail painting, etc.
- Before conducting an End Product Field Audit, the auditor should carefully review the specific contract requirement that is the focus of the audit to have a clear understanding of the end product requirements;
- The auditor selects a sample of the work/activity being audited; e.g., signs installed or shoulder swath km mowed; a typical sample size is 5-10% of the annual planned quantities; the sample size may increase if required to confirm a finding;

- The auditor(s) physically inspects the work and assesses whether it meets the end product specification; one audit may occur over the course of several days/weeks, at several locations, and may be scheduled in concert with other duties that the area manager(s) is performing; however, it is recommended that the timeframe not exceed 1 month in order to allow for timely feedback to the contractor;
- The auditor(s) collects the findings and summarizes those in an EP Field Audit Report (as shown in *Appendix C*).

In-Process (IP) Field Audits

- The purpose of this audit is to confirm whether the end product is being met and to confirm whether the contractor is following their QMS to meet that end product; the main focus of these audits is quantified work but may also apply to routine work; e.g., pavement patching, bridge deck maintenance, culvert installations, sweeping, etc.
- Before conducting an In-Process Field Audit, the auditor should carefully review the specific contract requirement that is the focus of the audit to have a clear understanding of the end product requirements; the auditor must also have a copy of the process being audited (from the contractor's QMS) and have reviewed it, in order to verify if it is being followed;
- The auditor selects a sample of the work/activity being audited; e.g., culvert being installed, road being gravelled; a typical sample size is 5-10% of the annual planned quantities; an audit may include several sites over a period of a few weeks; the sample size may increase if required to confirm a finding;
- The auditor observes the contractor performing the work, being careful not to direct the work;
- The auditor assesses whether:
 - the work meets the end product specification, i.e., the 'assessment of compliance' part of the audit;
 - the contractor is following the QMS, i.e., the 'assessment of Bonus eligibility' part of the audit;
- The auditor summarizes their findings in the IP Field Audit Report (shown in *Appendix D*) and comments on both the 'assessment of compliance' and 'assessment of Bonus' parts of the audit.

The IP Field Audit lends itself particularly well to assessing whether the QMS is effective. The auditor must observe the process as well as assess the outcome. Four findings are possible:

- The contractor followed the process described in their QMS; and the end product meets specifications; in this case, the contractor follows the process and the process is effective (because it meets spec); no further action is required;
- The contractor did not follow the process but the end product meets specifications; in this case, the contractor should amend the QMS to reflect actual practice;
- The contractor followed the process described in their QMS; but the end product does not meet specifications; in this case, the contractor must address the Non-conformance, and amend their QMS once they have identified which part of the QMS led to the Non-conformance;
- The contractor did not follow the process described in their QMS; and the end product does not meet specifications; in this case, the contract must address the Non-conformance, and review whether the Non-conformance would have been avoided if they had followed their QMS; a change to the QMS may be required if it is determined that the process as described also fails to meet the end product.

Winter:

In winter, the type of Field Audits will be mostly dependant on the type of winter being experienced. Some SRT, EP and IP audits may be performed. And, in addition, there are Snow and/or Ice (S&I) Field Audits and Roadside Snow and/or Ice (RS&I) Field Audits. In areas or winters where there are many storm events, the district will perform more S&I Field Audits and RS&I Field Audits. In areas or winters where there are long periods without events and/or during the shoulder seasons, the district will perform more Short Response Time Field Audits, End Product and/or In-Process Field Audits. Districts may also perform EP audits on an event (not snow and ice related), for example a high tide/heavy rain event, or a wind storm event.

And, each winter, regardless of the type of winter, the district will perform 3 Salt Handling Field Audits (SH).

Before conducting a Field Audit, the auditor should refer to the Audit Plan and consult with the District Lead Auditor to clearly identify the type of audit to be conducted. The auditor should also discuss with the Lead Auditor the selection of the site to be audited.

The district should always notify the contractor that a Field Audit is being conducted. The exact location of the audit is not always revealed when notice is given.

It is strongly recommended that at least one each of the S&I, RS&I, SH, SRT, IP and EP Field Audits be completed jointly with the contractor each winter season or when there has been staff turnover at the area manager/foreman level. This will assist both parties in understanding the process. See note under the SRT Field Audit regarding audits with contractors.

The auditor always provides a copy of the findings to the contractor within 3 working days of completing the audit. This allows the contractor to have an opportunity to discuss the findings in a timely manner.

Snow and/or Ice Field Audits (S&I)

- The purpose of this audit is to assess the contractor's handling of a snow and/or ice event and to confirm whether the contractor is following their QMS;
- Before conducting an S&I Field Audit, the auditor should carefully review the winter maintenance specifications to have a clear understanding of the requirements; the auditor must also have a copy of the winter processes from the contractor's QMS and have reviewed them, in order to verify if they are being followed;
- If the event is forecast, the auditor calls or visits the contractor to confirm the contractor's plan for handling the event;
- The auditor then goes out and drives a cross section of roads to observe first-hand how the contractor is handling the event; typically, the auditor drives for approximately 2-4 hours;
- Once the worst of the event has subsided, the auditor goes into the contractor's office to follow up on the field observations and/or to collect additional information;
- The auditor assesses whether:
 - the work meets the requirements of maintenance specifications 3-300, 3-310 and 3-340, i.e., the 'assessment of compliance' part of the audit;
 - the contractor is deserving of a bonus, – information on most of the local assessment criteria for bonus may be gathered during a S&I Field Audit (and follow-up), e.g., id own NCRs, proactive with stakeholders, proactive with work, collecting and analyzing data, following the QMS;
- The auditor summarizes the findings on the S&I Field Audit Report as shown in *Appendix E* and copies the contractor; all findings are discussed with the contractor.
- All components, pre-event, field findings and office follow-up, of an S&I audit will count as 2 audits.

Roadside Snow and/or Ice Field Audits (RS&I)

- The purpose of this audit is to assess the contractor's compliance with maintenance specifications 3-300, 3-310 and 3-320 and to confirm whether the contractor is following their QMS;
- Before conducting an S&I Field Audit, the auditor should carefully review the maintenance specification (3-300, 3-310, & 3-320) to have a clear understanding of the requirements; the auditor must also have a copy of the relevant portion from the contractor's QMS and have reviewed it, in order to verify if it is being followed;
- The auditor goes out and drives a cross section of roads to observe first-hand how the contractor is performing; typically, the auditor drives for approximately 2 hours;
- The auditor may go into the contractor's office to follow up on the field observations and/or to collect additional information; this may not be required if the auditor is satisfied with the contractor's performance;
- The auditor assesses whether:
 - the work meets the requirements of the maintenance specifications; i.e., the 'assessment of compliance' part of the audit;
 - the contractor is deserving of a bonus, – information on most of the local assessment criteria for bonus may be gathered during a RS&I Field Audit, e.g., id own NCRs, proactive with stakeholders, proactive with work, collecting and analyzing data, following the QMS;
- The auditor summarizes the findings on the RS&I Audit Report as shown in *Appendix F* and copies the contractor; all findings are discussed with the contractor.
- Regardless of whether there is an office follow-up, the RS&I audit will count as 1 audit.

Salt Handling Field Audits (SH)

- The main purpose of the SH audits is to assess the contractor's Bonus eligibility and will count towards the winter season assessment regardless of when the audit is conducted, e.g. an audit observing the contractor mixing salt and sand may be conducted in August but will count towards the winter season assessment;

- If possible, 1 of the 3 audits should include observing the contractor handling salt (work in-process); the other audits may focus only on observations of the facilities and general surroundings;
- When selecting sites, the auditor should focus primarily on sites where the contractor stores salt on ministry/government property; each ministry/government-owned site where salt is handled by the contractor must be audited over the term of the contract;
- The auditor uses the SH Field Audit form, answers each question and summarizes his/her findings (see *Appendix G*);
- The auditor provides a copy of the report to the contractor and discusses the findings of the report with the contractor.

Short Response Time Field Audits (SRT)

- The purpose of the winter SRT Field Audit is the same as in summer: to confirm whether the contractor is meeting the response times on deficiencies with a response time of 7 days or less;
- They are conducted the same way as in summer: in two phases, same segment length, assessment and reporting, etc.;
- Refer to *Appendices B.1* and *B.2* for SRT audit form and checklist.

Note 1: The contractor should attend one of these audits only. This will allow the contractor to understand the process and the auditors' focus in winter, but by limiting it to one audit, it will also ensure that contractors are not informed of deficiencies greater than 24 hours before Phase 2 is complete.

Note 2: The SRT will not be done during a snow and/or ice event, or before the contractor has completed the cleanup immediately after a snow and/or ice event.

End Product (EP) Field Audits

- The purpose of this audit is the same as in summer: to confirm whether the contractor's work meets the end product specifications; the main focus is quantified work but may also apply to routine work; e.g., sign installations, grading, vegetation control, rest area maintenance, etc.
- They are conducted the same way as in summer in terms of sample size, assessment and reporting, etc.;
- Refer to *Appendix C* for EP audit form.

In-Process (IP) Field Audits

- The purpose of this audit is the same as in summer: to confirm whether the end product is being met and to confirm whether the contractor is following their QMS to meet that end product;
- They are conducted the same way as in summer in terms of sample size, assessment and reporting, etc.;
- Refer to *Appendix D* for IP audit form.

ii. Office Audits

Office Audits consist primarily of a review of the contractor's documentation.

Office Audits may focus on determining the contractor is meeting the Basic Contract Requirements or whether the contractor is deserving of a Bonus. Both types of questions (Compliance and Bonus) may be combined in one audit.

The topics of summer and winter Office Audits are at the District's discretion. Most Office Audits will be relatively short Task Audits that typically focus on quality control, quality assurance, material certification, response times or Bonus criteria. (Refer to *Appendix H* for a sample Task Office Audit Report.) Some Office Audits will be longer, more comprehensive audits that typically focus on all aspects of a given activity and/or process; these are called Detailed Process Office Audits. (Refer to *Appendix I.1* for a sample Detailed Process Office Audit Report.) There will be at least one Detailed Process Audit per season, as follows:

- 1 Detailed Process Office Audit on a summer activity (e.g., patching , sweeping, or bridge deck maintenance): this audit should focus on all aspects of the selected activity including work identification, procedures, quality control, quality assurance; and should include a couple of Bonus questions. The summer Detailed Process Office Audit must be completed by September 30th;
- 1 Detailed Winter Preparedness Office Audit for each service area: this audit must focus on all aspects of winter preparedness including equipment, materials, training, route prioritization, etc. The Detailed Winter Preparedness Audit must be performed by November 1st in all areas except SA01, 02, 03, 04, 05, 06 and 27; the audit in those areas must be performed by November 15th. It is expected that subsequent follow-up will occur to ensure that the contractor is in fact well prepared to provide winter maintenance services. (See *Appendix I.2*)

Before conducting an Office Audit, the auditor should refer to the Audit Plan and consult with the District Lead Auditor to clearly identify the purpose of the audit. The auditor then develops clear questions aimed at determining compliance and/or bonus. If, for example, the intent of a question is to determine compliance, the auditor should carefully review the specific contract requirement that is the focus of the question as well as the information available from previous audits on the topic and/or the Monitoring Records. If the intent of a question is to determine Bonus eligibility, the auditor should review the assessment criterion in question. One audit can include both Compliance and Bonus Questions.

When selecting the topic of Office Audits, the Lead Auditor must consider: the time of year and the activities being performed or planned by the contractor, service area priorities and emerging Trends identified through Monitoring and Field Audits. A balance must be struck between positive and negative Trends. The Lead Auditor must also ensure that a representative cross-section of the contract requirements is audited over the course of the season and over the course of the contract term.

For the first few years of the contract, questions may be provided to the contractor in advance of the audit. Eventually, only the topic of the audit is shared with the contractor in advance of the audit. If the auditor anticipates needing access to certain facilities and/or staff, or, if records need to be brought in from another location, prior notice is always provided to the contractor.

At the start of the audit, the auditor(s) discuss the purpose of the audit and the estimated time of the audit.

The auditor relies on the contractor's documentation and/or interviews with staff to determine whether the contractor is in compliance and/or whether the contractor provides evidence of deserving a Bonus.

In Year 1, it is acceptable for the contractor to pull the records for the auditors ahead of time. In subsequent years, however, the auditors select the records they want to review at the time of the audit.

Before leaving the audit, the Lead Auditor verbally informs the contractor of all of the significant audit findings. The Lead Auditor follows up within 3 working days with a written report to the contractor describing all the findings.

b) Frequency of Local Audits

The following tables summarize the minimum summer and winter audit requirements:

Summer

	0%	1%	1.5%	2%	
Field Audits					
SRT* Field Audits – on 20 km highway segment, 10 km freeway segment;	5	5	5	5	*2 phase audits; i.e., the segment are visited twice although counts as 1 audit
IP/EP Field Audits	15	15	15	15	Number of structure audits (out of 15) based on value of structure work in the Quantified Plan (Schedule 5)
Total Field Audits	20	20	20	20	
Office Audits					
Detailed Process Office Audit of summer activity/process	1	1	1	1	Focus on 1 activity/process (e.g. patching from work ID, planning, execution, QC/QA, incl. comparison to QMS)
Task Office Audits based on compliance to Basic Contract Requirements, and Bonus	16	14	12	10	Focus on QC/QA or materials or response times; includes comparison to contractor's QMS
Total Office Audits	17	15	13	11	
Total Local Summer Audits	37	35	33	31	

The district may perform up to 25% more audits if the contractor's performance cannot be assessed with the minimum # of audits.

Winter

	0%	1%	1.5%	2%	
Field Audits					
S&I*, RS&I, SRT**, EP, IP Field Audits	25	24	23	22	*a S&I audit counts as 2 audits **the SRT counts as 1 audit although the segments are driven twice
Salt handling	3	3	3	3	At least 1 audit will be IP
Total Field Audits	28	27	26	25	
Office Audits					
Detailed Winter Preparedness Audit Office Audit	1	1	1	1	Focus on all aspects including equipment, materials, training, route prioritization
Task Office Audits based on compliance to Basic Contract Requirements, and Bonus	8	7	6	5	Focus on QC/QA or materials or response times; include comparison to contractor's QMS
Total Office Audits	9	8	7	6	
Total Local Winter Audits	37	35	33	31	

The district may perform up to 25% more audits if the contractor's performance cannot be assessed with the minimum # of audits.

At the district's discretion, additional audits may be performed to follow-up on any emerging Trends noted during routine Monitoring and/or audits.

During the first year of the contract, the number of audits will follow the 0% rating criteria to establish a baseline. In subsequent years, the number of audits is based on the contractor's rating in the previous same season. For example, if a contractor achieved a 1% rating for the winter season and 1.5% for the summer season, the next winter season the contractor would be audited using the 1% criteria (35 audits) and using the 1.5% criteria for the following summer (33 audits).

Up to 3 Office Audits may be combined to limit the number of visits to the contractor's office.

Local Audits should never be performed the week that the Regional Audit is being performed, or the following week. The Lead Auditor and the Regional Lead Auditor must coordinate their audit schedules.

It is recommended that the district and the contractor agree on a set day for Office Audits, e.g., Wednesday morning is set aside for Office Audits. This makes it easier for everyone involved to plan around the audits, but does not prevent a district from performing occasional audits at other times.

c) Audit Plan

At the beginning of each season, the district prepares an Audit Plan. The Audit Plan is not shared with the contractor.

When developing an Audit Plan, the district must include a good cross-section of activities and take into consideration the priorities in the service area and the contractor's work plan. Ultimately, the district needs to ensure that the Audit Plan for the season allows for an overall assessment of the contractor's performance.

Some items may appear more than once on the plan. In fact, this is recommended for the 'top priority' activities in a service area. For example, grading may be a high priority in a rural service area if it represents a large portion of the quantified work plan each summer. In the Lower Mainland, the priority may be traffic control/patrol.

An Audit Plan:

- reflects service area priorities;
- ensures that a good cross-section of the contract will be audited over the term of the contract;
- facilitates the assessment of the contractor;
- includes a combination of Field Audits and Office Audits;
- is representative of the local inventory (roads and structures); and
- meets the requirements of the QP and number and type of audits (incl. mandatory audits) set out in this manual.

2. Regional Audits

The Regional Audit serves as the basis for the Regional Assessment portion of the CAP rating; it also provides consistency and serves as a second, independent opinion of the contractor's performance. The Regional Audit can alert the district to any emerging issues with the contractor.

Also, because the Regional Audit team includes area managers and/or staff from outside the service area being audited, it provides an opportunity for staff to observe other Auditing styles and techniques and how other contractors are performing.

The Regional Manager of Operations is responsible to ensure all Regional Audits and assessments are performed within their region. However, the role of Regional Lead Auditor may be delegated to qualified persons.

a) Type of Regional Audits

Regional Audits include a field portion and an office portion. Auditors look for evidence that the contractor's QMS is effective; and look for evidence that the contractor is meeting the Basic Contract Requirements.

Each Regional Audit typically takes approximately 3 days; usually 1 – 1 1/2 days for the field portion of the audit; 1 day in the contractor's office; and 1/2 day for debriefing. (This does not include preparation and travel time.)

Regional Lead Auditors are accompanied by at least one other auditor. All auditors performing Regional Audits must be from outside the service area being audited.

The Regional Lead Auditor must be a qualified Lead Auditor.

b) Frequency of Regional Audits

Two Regional Audits are performed in each service area - one winter audit and one summer audit. The level of audits may be adjusted based on contractor performance.

No Local Audits should be performed the week of the Regional Audit, or the week immediately following the Regional Audit; the Regional and District Lead Auditors need to coordinate their schedules.

Sufficient notice is given to the contractor of all Regional Audits. Because these audits are more extensive than the Local Audits, 3-5 days notice is normally given to the contractor. Occasionally, however, a Regional Audit may be performed without prior notice.

c) Regional Audit Process

As with the Local Audits, Regional Audits include a review of the contractor's documentation and/or interviews with the contractor's staff to verify compliance with the Basic Contract Requirements and/or to verify the effectiveness of the contractor's QMS. Regional Audits also include a field portion where the auditors drive selected roads in the service area and rate the contractor, in part, based on their findings.

Every audit includes an 'opening' and a 'close-out' meeting. At a minimum, the Regional Lead Auditor and one contractor representative should be present at both meetings.

Upon arriving at the contractor's office, the Regional Lead Auditor holds an opening meeting. The auditor(s) meets with the contractor to discuss the purpose of the audit and the estimated time of the audit. This meeting is also an appropriate time to let the contractor know if the auditors anticipate needing access to certain facilities and/or staff.

The topics covered in the Regional Audits are provided to the contractors ahead of time.

At the close-out meeting, the Regional Lead Auditor verbally informs the contractor of all of the significant audit findings, including any Non-conformances to be issued. It is the Regional Lead Auditor's responsibility to issue Non-Conformance Reports (NCRs) when required; however, follow-up with the contractor is the responsibility of the district.

The Regional Lead Auditor follows up within 1 week with a written preliminary report to the contractor, but does not provide the contractor with the Regional Assessment rating. The report must clearly indicate the audit findings as well as any areas where the contractor earned points and where the contractor lost (or did not earn) points. The Regional Lead Auditor provides the final written report to the contractor after the consistency meeting.

The Regional Lead Auditor provides a copy of the report and the rating to the district, and to Regional Operations.

C. Non Conformances and Opportunities for Improvement

1. Non-Conformances

The Maintenance Agreement describes a Non-conformance Report (NCR) as: ‘reports issued in writing by either the minister or the contractor which document the contractor’s failure to comply with the contractor’s covenants in this agreement.’

A distinction must be made between a Non-conformance and a ‘defective’ condition. In the case of response-time driven activities, the contractor must be aware of the defective condition (through notification or required patrols), and the applicable response time must have elapsed before the condition is contractually a Non-conformance, regardless of its severity. In the case of frequency driven activities, the specified interval must have elapsed, and in the case of condition-driven activities, the condition limits must have been exceeded.

Non-conformances should be identified mostly by the contractor. Contractor-identified Non-conformances are to be managed by the contractor and reported to MoT on a monthly basis in accordance with Article 14 of the Agreement, i.e., the contractor must submit a ‘Summary of contractor’s Non-conformance Reports’ on the 10th day of each month.

However, MoT must also issue NCRs if, through their Monitoring and/or Auditing processes, the ministry determines that the contractor is failing to meet Basic Contract Requirements and the contractor is not identifying these Non-conformances and/or dealing with them effectively. MoT-issued Non-conformances are tracked using the Non-conformance Log. (Refer to *Appendix K* for a sample.)

2. Issuing and Tracking of Non-conformances

MoT may issue an NCR as part of their Monitoring activities, or as a result of audits (local and regional). Refer to *Appendix J* for sample. The process is as follows:

- The MoT representative completes Sections 1 (NCR Tracking) and 2 (Description of the Non-conformance) of the NCR form clearly describing the NCR and referencing the relevant contractual requirement or maintenance specification; and the relevant section of the contractor’s QMS (if applicable).
- The MoT representative completes the first part of Section 3 (Required Correction) and indicates whether a Correction is required, i.e., whether the work needs to be re-done. In some cases, a Correction may not be possible, e.g., the snow has melted so it can’t be removed. The dates for action by the contractor, i.e., a date for the Correction and a date for the Corrective Action, are agreed to between the two parties. If they cannot agree on a date, the MoT

representative determines a reasonable time. The deadline for Corrective Action must allow enough time for the contractor to gather enough data to make an informed determination of the cause of the Non-conformance and to determine the appropriate Corrective Action. The deadline for Correction will likely be much shorter.

- The MoT representative records the NCR on the Non-conformance Log.
- The contractor completes Section 4 (Root Cause analysis and Corrective Action plan). If the contractor makes any changes to the QMS as a result of the NCR, a copy of the revision is provided to MoT.
- The MoT representative follows up with the contractor on the designated dates (deadline for the Correction and deadline for the Corrective Action plan).
- Both parties sign in Section 3 once the Correction is completed.
- Both parties sign in Section 6 (the contractor commits to implementing the Corrective Action plan and the MoT representative accepts the plan). MoT may agree to the proposed Corrective Action, or accept the contractor's assessment that the situation was an exception and no changes are required to their QMS (e.g. missing some response times during an extreme storm may be acceptable).
- The MoT representative updates the Non-conformance Log.

3. Opportunities for Improvement

Opportunities for Improvement (OFIs) arise where MoT identifies an imminent risk of failure to a process. It is something that could potentially result in a Non-conformance, but has not yet reached that point.

MoT may issue OFIs as part of their Monitoring activities or as a result of audits (Local or Regional). The OFI process is as follows:

- MoT representative completes Sections 1 and 2 of the OFI form clearly describing the OFI. (Refer to *Appendix L* for a sample OFI form).
- If the contractor makes changes to the QMS as a result of the OFI, a copy of the revision is to be provided to MoT.
- MoT considers the contractors handling of OFIs as part of the Local Assessment

2. Contractor Assessment Program (CAP)

The CAP is a program to assess the contractors' performance, the results of which determine the level of Bonus that a contractor may be entitled to.

In order to earn a Bonus, a contractor must demonstrate evidence of being proactive, of being committed to maintaining their QMS, of effectively dealing with stakeholders and of continually reviewing the effectiveness of their system. A contractor that is only meeting the Basic Contract Requirements of the contract is not entitled to a Bonus. 'Basic' contract requirements are defined as those clear, measurable requirements; for example, response times, material requirements, etc; and exclude those requirements that are less tangible, e.g., providing proactive winter maintenance, being proactive with customers/stakeholders, partnering, etc.

A. Components of the CAP Rating System

There are three components to CAP:

- The Local Assessment is based mostly on the results of the Auditing and Monitoring but the district also considers the day-to-day dealings with the contractor.
- The Regional Assessment is based on the results of audits performed by the Regional Audit team. Fifty percent of the assessment is based on whether the contractor is being proactive and living the spirit of ISO (for example, meeting the 8 management principles, maintaining documents and records); and 50% is based on whether the contractor is meeting Basic Contract Requirements.
- The Stakeholder Assessment is an interview program of 5-6 key stakeholders in each service area, assessing how well their needs are being addressed by the contractor. Key interviewees may be drawn from the RCMP, emergency response providers, major trucking firms, major bus lines, school districts, local industry representatives, and local politicians.

Rating scales for each component are described in the following pages. In general, ratings in each category are:

- 95% or greater for "excellent" performance (the 2% "Bonus band").
- 90% or more, but less than 95% for "good" performance (the 1.5% "Bonus band").
- 85% or more, but less than 90% for "satisfactory" performance (the 1% "Bonus band").
- Less than 85% for "fair" performance or less (the 0% "Bonus band").

1. Local Assessment

The DOM is responsible for the Local Assessment. The assessments must be supported by documented evidence, i.e., the DOM must document the reasons for the chosen starting point as well as the reasons why Bonus points were assigned, or not assigned against each criteria using the Contractor Assessment Report (*Appendix M*).

The Local Assessment must be completed by March 31 (winter season) and by September 30 (summer season) of each year.

The first step in the process is to establish a starting point. The district needs to determine whether the contractor generally met the Basic Contract Requirements during the assessment period.

The criteria for establishing a starting point are as follows:

CONTRACTOR PERFORMANCE	STARTING POINT	COMMENTS
Generally met the Basic Contract Requirements	84	May be Non-conformances*, but minor in nature; the contractor identifies and deals effectively with Non-conformances
Failed to meet Basic Contract Requirements	82, 80, 78 or 76 (depending on severity and how long Non-conformances remain outstanding, e.g., to start at 82, the issues of Non-conformance are most likely limited to last season; to start at 80, the issues of Non-conformance likely span over more than 1 season; to start at 78 or 76, the issues are long-standing and/or of a severe nature, etc.)	Non-conformances* are not dealt with effectively; there are likely several Non-conformance issues; the district is receiving numerous complaints from the public about the contractor's performance; the district has likely entered into or considering intervention measures; the more severe/extensive, the lower the starting point;

* Non-conformance means a failure to comply with one of the contractual obligations, i.e., the Basic Contract Requirements

The criteria for the assessment of Bonus points are as follows:

CRITERIA	MAXIMUM BONUS POINTS	RATING SCALE
<p>1. Does the contractor identify failures to meet the Basic Contract Requirements and deal with them in an effective manner (id Root Causes and Corrective Actions)?</p> <p>Note: A contractor starting at less than 84 cannot get 2 points here.</p> <p><i>MoT will rely on: Monitoring Records, Audit Reports, PCRs, NCRs, minutes of meetings, etc.</i></p> <p><i>Documented evidence by the Contractor may include: NCRs (NCPs, SIRs, CARs, etc), internal Audit Reports, meeting minutes, QC/QA records, PCRs, diary notes, etc.</i></p>	2	<p>2 Bonus points if the contractor identifies failures to meet the Basic Contract Requirements and deals with them in an effective manner on a regular basis</p> <p>1 Bonus point if the contractor sometimes identifies failures to meet the Basic Contract Requirements and deals with them in an effective manner</p> <p>0 Bonus points if the contractor seldom or never identifies failures to meet the Basic Contract Requirements or fails to deal with them in an effective manner</p>
<p>2. Does the contractor perform the work in a proactive manner?</p> <p>Winter - Proactive winter maintenance is mostly demonstrated through proactive storm and post storm management, e.g., Monitoring and forecasting weather, calling resources out in advance, having equipment and materials ready and available, using anti-icing and pre-wetting, following good salt handling practices. It is also demonstrated through being prepared for the first event of the season.</p> <p><i>MoT will rely on: Monitoring Records, Audit Reports, etc.</i></p> <p><i>Documented evidence by the Contractor may include: timecards, diary notes, pre/post storm meeting minutes, weather reports, POs/work orders (equipment), etc.</i></p> <p>Summer – Does the contractor proactively plan mowing, spring sweeping, grading, dust control, base stabilization activities?</p> <p><i>MoT will rely on: Monitoring Records, Audit Reports, etc.</i></p> <p><i>Documented evidence by the Contractor may include: timecards, diary notes, work plans, etc.</i></p>	2	<p>2 Bonus points if the contractor performs the work in a proactive manner on a regular basis.</p> <p>1 Bonus point if the contractor sometimes performs the work in a proactive manner.</p> <p>0 Bonus points if the contractor seldom or never performs the work in a proactive manner.</p>

CRITERIA	MAXIMUM BONUS POINTS	RATING SCALE
<p>3. Does the contractor deal proactively with the public and key stakeholders? Evidence may include: holding effective stakeholder meetings (i.e., two-way communication), regular updates to Drive BC (over and above contract requirements) and changeable message signs, stakeholder updates.</p> <p>Note: responding to public complaints is a compliance issue and therefore is not considered as part of this criterion</p> <p><i>MoT will rely on: Audit Reports, first-hand knowledge of effectiveness of stakeholder meetings (i.e., by attending some meetings or talking to stakeholders), etc.</i></p> <p><i>Documented evidence by the Contractor may include: detailed minutes of meetings with stakeholders, documented analysis of factors considered when deciding to act/not to act on a stakeholder request (meeting minutes, notes to file, PCR's), etc.</i></p>	3	<p>3 Bonus points if the contractor deals with stakeholders in a proactive manner on a regular basis.</p> <p>1.5 Bonus point if the contractor deals with stakeholders in a proactive manner.</p> <p>0 Bonus points if the contractor seldom or never deals with stakeholders in a proactive manner.</p>
<p>4. Does the contractor's staff maintain a relationship with the ministry that fosters mutual understanding and respect?</p> <p><i>MoT will rely on: first-hand knowledge, etc.; ultimately this will be a subjective assessment</i></p> <p><i>Documented evidence by the Contractor is not required for this item.</i></p>	3	<p>3 Bonus points if staff at all levels deal with the ministry in an appropriate and respectful and honest manner, on a regular basis</p> <p>1.5 Bonus points if some of the staff deal with the ministry in an appropriate and respectful and honest manner (or all of the staff, some of the time)</p> <p>0 Bonus points if few of the staff deal with the ministry in an appropriate and respectful and honest manner (or some of the staff but only seldom)</p>

CRITERIA	MAXIMUM BONUS POINTS	RATING SCALE
<p>5. a) Does the contractor track whether they are in compliance with the Basic Contract Requirements? This includes tracking/monitoring response times, being able to provide material certifications, etc.</p> <p>Note: this question is about documentation, not compliance</p> <p><i>MoT will rely on: Audit Reports, etc.; ultimately this will be somewhat of a subjective assessment based on the findings of audits</i></p> <p><i>Documented evidence by the Contractor may include: QC/QA records, minutes of meetings (post-storm, management review), etc.</i></p>	1	<p>1 Bonus point if the contractor collects enough information to demonstrate compliance with all or most of the Basic Contract Requirements</p> <p>.5 Bonus points if the contractor collects some information to demonstrate compliance with some of the Basic Contract Requirements</p> <p>0 Bonus points if the contractor collects little or no information to demonstrate compliance with the Basic Contract Requirements</p>
<p>5. b) Does the contractor perform quality analysis of the information gathered from the following sources: ministry feedback, stakeholder feedback, internal audits, quality control, quality assurance?</p> <p>'quality' analysis is analysis that can contribute to continual improvement or can demonstrate compliance</p> <p><i>MoT will rely on: Audit Reports, etc.</i></p> <p><i>Documented evidence by the Contractor may include: minutes of meetings (post-storm, management review), notes to file, etc.</i></p>	1	<p>1 Bonus point if the contractor performs quality analysis of information from all sources</p> <p>.5 Bonus point if the contractor performs quality analysis of information from some sources</p> <p>0 Bonus points if the contractor performs little or no quality analysis</p> <p><i>IF CONTRACTOR GETS 0, GO TO QUESTION 6</i></p>

CRITERIA	MAXIMUM BONUS POINTS	RATING SCALE
<p>5 c) Does the contractor use the information generated from the above noted sources to make decisions around continual improvement?; and does the contractor document those decisions?</p> <p><i>MoT will rely on: Audit Reports, etc.; ultimately this will be somewhat of a subjective assessment based on the findings of audits</i></p> <p><i>Documented evidence by the Contractor may include: minutes of meetings (post-storm, management review), notes to file, etc.</i></p>	1	<p>1 Bonus point if the contractor uses the information and documents the decisions (and reasons) on a regular basis</p> <p>.5 Bonus point if the contractor uses the information sometimes; and documents some decisions and some reasons sometimes</p> <p>0 Bonus points if the contractor seldom or never uses the information</p>
<p>6. Does the contractor’s QMS accurately reflect how the contractor does business? (are the operations and the QMS aligned?)</p> <p><i>MoT will rely on: Audit Reports, etc.</i></p> <p><i>Documented evidence by the Contractor may include: mostly the results of IP Field Audits</i></p>	3	<p>3 Bonus points if the QMS almost always reflects the way the contractor does business</p> <p>1.5 Bonus point if the QMS sometimes reflects the way the contractor does business</p> <p>0 Bonus points if the QMS never or seldom reflects the way the contractor does business</p>
Total maximum Bonus points available:	16	

2. Regional Assessment

This component of CAP is based on the results of the Regional Audits performed by the Regional Lead Auditor(s).

The Regional Assessment must be completed by March 31 (winter) and by September 30 (summer) of each year.

The Regional Lead Auditor performs the Regional Audits and debriefs the contractor and the district. The results of the Regional Assessment are shared with the district at the time of the audit. The contractor does not get the result of the assessment until all the consistency reviews are completed.

Fifty percent of the assessment is based on whether the contractor is being proactive and living the spirit of ISO (for example, meeting the 8 management principles, maintaining documents and records); and 50% is based on whether the contractor is complying with the Basic Contract Requirements.

There are two types of questions: Bonus Questions and Compliance Questions. Bonus Questions are scored between 75 –100. The scores for each question are multiplied by their relative assigned weights and the totals are then summed.

Compliance Questions may be scored between 84-86 (compliant or exceeding requirements) or 75-83 (not compliant). The score for each question is multiplied by the weight of the question and the totals are summed. This method allows for a slight penalty for a non-compliant contractor, and a slight 'bonus' for a contractor that is exceeding the requirements.

Finally the "compliance" score is added to the "bonus" score to achieve the final rating.

3. Stakeholder Assessment

The DOM is responsible for the Stakeholder Assessment. The DOM must select a group of 5-6 key stakeholders in each service area. Typical members might include: the RCMP, emergency response providers, major trucking firms, major bus lines, school districts, local industry representatives, local politicians, etc. In the selection process, care must be taken to ensure a representative cross-section of stakeholders as well as a broad geographic representation.

At the beginning of the contract term, and as new members join the group, the DOM meets with the stakeholders to provide an overview of the purpose and use of the Stakeholder Assessments: explain that the purpose of the exercise is to assess the contractor's performance (as measured against the Basic Contract Requirements and Bonus criteria.), and not other Ministry and/or government-related issues; and, explain the points rating system and the Bonus ranges. At this meeting, the DOM should review the contractor's obligations and responsibilities under the contract; ensure that the stakeholders understand the difference between Ministry v. contractor responsibilities; what roads are being maintained by the contractor; the road classification system, etc.

It is recommended that, over the term of the contract, there be some rotation of stakeholders to give more people an opportunity to participate in the process. This also provides an opportunity to reflect changing priorities/conditions in a service area.

By March 31 and September 30 of each year, the DOM arranges individual interviews with each stakeholder. The first year, it is recommended that there be a face-to-face meeting with each of the stakeholders. In subsequent years, a telephone interview is acceptable.

Some of the questions used are mandatory for each area; this is to ensure some consistency across the province. However, it is recognized that stakeholder priorities are different across the province and need to be recognized. While it makes sense to include questions on snow removal in the north and in the interior, snow removal may not be a priority issue with stakeholders in the lower mainland.

The DOM asks each question and invites each individual to provide general comments. At the end of the interview, the DOM asks each stakeholder to provide an overall point rating between 75 and 100. The result of the interviews are documented on the “Stakeholder Assessment Questions & Summary” (refer to *Appendix N*).

B. Overall Rating

Before finalizing the CAP results, all DOMs across the province convene (either in person or by conference call) to discuss the proposed assessments (local and regional) and ensure consistency in the application of the assessment criteria.

The District Manager, Transportation (DMT) is ultimately responsible to defend the contractor rating and must be comfortable with the overall rating. The DMT and DOM review the ratings for the 3 components of CAP and address any concerns before finalizing the results. Should there be some concern with respect to the ratings; the district may choose to ask the Maintenance Branch for another audit and/or assessment of the contractor.

Once the DMT is comfortable with the rating, the results are shared with Regional Operations and HQ Maintenance Programs. The 3 components are combined to generate one rating for each season. The overall CAP rating for each season is determined as follows:

- Local Assessment (50% weighting)
- Regional Assessment (30% weighting)
- Stakeholder Assessment (20% weighting)

Finally, the contractor is given the results of the 3 components. It is imperative that the district communicate clearly to the contractor, the rationale for the assessment. This includes feedback on each of the Local Assessment criterion and a recap of the Regional Audit assessment. The contractor is also provided with some general feedback from the stakeholders, taking care not to release any personal information. Refer to *Appendix M* for a sample Contractor Assessment Report. The ratings should be released by May 30 and November 30 of each year.

If, during the rating period, a Notice to Comply is issued or a holdback or retention is assessed, the contractor is not entitled to a Bonus for that period, regardless of the CAP rating.

The methodology presented is for a standard year of operation. Adjustments to the methodology may be appropriate to reflect a non-365-day CAP Rating period (during the first and last years of the contract). Where appropriate, adjustments to weightings may be made by HQ Maintenance Programs, in consultation with the DMT.

C. Consistency

The MoT attempts to achieve consistency in the application of the QP and the CAP is a number of ways. Specifically:

- HQ Maintenance Programs develops and maintains the QP and CAP Manual (the Manual) for all districts to follow; the Manual is reviewed annually, and it is anticipated that it will be revised over the 10-year term;
- Regional Operations personnel perform Ministry Internal Audits on the districts within their region to verify compliance with the Manual; they review the type and frequency of Monitoring and Auditing activities as well as the documentation (Monitoring Records, Audit Reports, NCRs). In addition to the Regional Audits, other regional or HQ staff may randomly participate in audits conducted by district staff and meetings with stakeholders.

D. CAP ratings and Bonus amounts

1. Separate calculation for winter/summer

CAP ratings and Bonus payments are calculated separately for the winter and summer seasons. In calculating Bonus payments, winter season performance is weighted more heavily (60%) than summer season performance (40%). The rating in one season is determined completely independently of the other season.

In effect, the Bonus bands payment in each season, as a percentage of the annual contract value, is as follows:

Bonus Band	Winter Season	Summer Season
	(60% Weighting)	(40% Weighting)
— as a percentage of annual contract value —		
2% (CAP Rating \geq 95%)	1.2%	0.8%
1.5% (CAP Rating \geq 90%, < 95%)	0.9%	0.6%
1.0% (CAP Rating \geq 85%, < 90%)	0.6%	0.4%
0% (CAP Rating < 85%)	—	—

The annual payments are made on or about November 30th of each year, and normally cover the **sum** of the “Bonus band” payments for the summer and winter seasons, for the annual period having ended on September 30th of that year. Where the time-period covered is less or more than one year, (i.e. at the beginning or end of a contract), Bonus payments for the winter/summer seasons pro-rated accordingly.

Where there is insufficient time to assess a contractor's performance, i.e., less than 100 days in a season, the Bonus for that period is based on the rating obtained the following year for that season. For example, a contract starts on September 20th, 2004; there is no assessment for summer in 2004 (for the 10 days); if, for example, the contractor gets a 96% rating for the summer in 2005; the Bonus payment is pro-rated to cover the summer of 2005 plus the 10 days in 2004.

Exhibit 2a- provides sample calculations for a range of contractors performing at different levels.

Exhibit 2a -- Sample Calculations

	Service Area A	Service Area B	Service Area C	Service Area D
A. Contract Value	\$10,000,000	\$10,000,000	\$10,000,000	\$10,000,000
B. Winter CAP Assessment				
Component 1 - Local Assessment				
CAP Points Rating on Component 1	97.0	92.0	85.0	82.0
(weighting of Component 1 results)	50%	50%	50%	50%
Component 2 - Regional Assessment				
CAP Points Rating on Component 2	95.0	91.0	88.0	82.0
(weighting of Component 2 results)	30%	30%	30%	30%
Component 3 - Stakeholder Assessment				
CAP points Rating on Component 3 (simple average)	95.0	90.0	85.0	80.0
(weighting of Component 3 results)	20%	20%	20%	20%
Winter CAP Assessment	96.000	91.300	85.900	81.600
Bonus Band	2.0%	1.5%	1.0%	0.0%
Amount of Bonus - Winter Season (60%)	\$120,000	\$90,000	\$60,000	\$0
C. Summer CAP Assessment				
Component 1 - Local Assessment				
CAP Points Rating on Component 1	95.0	93.0	91.0	83.0
(weighting of Component 1 results)	50%	50%	50%	50%
Component 2 - Regional Assessment				
CAP Points Rating on Component 2	97.0	93.0	90.0	82.0
(weighting of Component 2 results)	30%	30%	30%	30%
Component 3 - Stakeholder Assessment				
CAP points Rating on Component 3	93.0	90.0	89.0	80.0
(weighting of Component 3 results)	20%	20%	20%	20%
Summer CAP Assessment	95.200	92.400	90.300	82.1
Summer Bonus Band	2.0%	1.5%	1.5%	0.0%
Amount of Bonus - Summer Season (40%)	\$80,000	\$60,000	\$60,000	\$0
D. Total Amount of Bonus Payout for year	\$200,000	\$150,000	\$120,000	\$0

Exhibit 2b provides sample calculations to illustrate where there is insufficient time to assess a contractor’s performance. It also illustrates how the Bonus is affected by a change in annual price during an assessment period.

Assumptions:

- Contract start date: Sept 3/05
- Annual price \$10,000,000
- Annual Adjustment price \$10,500,000
- Summer CAP Rating 1.5%
- Winter CAP Rating 2%

Because there are only 28 days in the assessment period (in this case, summer), those days are carried over to the following summer assessment period. Also note the change in annual price from Sept.3 to Sept. 30.

Sept. 3/05 to Sept. 30/05 (Summer)

$(\$10,000,000 \times 1.5\% \times 40\% / 183 \text{ Days}) \times 28 \text{ Days}$ \$ 9,180.33

Oct. 1/05 to Mar. 31/06 (Winter)

$(\$10,000,000 \times 2\% \times 60\% / 182 \text{ Days}) \times 182 \text{ Days}$ \$120,000.00

Apr. 1/06 to Sept. 2/06 (Summer)

$(\$10,000,000 \times 1.5\% \times 40\% / 183 \text{ Days}) \times 155 \text{ Days}$ \$ 50, 819.67

Sept. 3/06 to Sept. 30/06 (Summer)

$(\$10,500,000 \times 1.5\% \times 40\% / 183 \text{ Days}) \times 28 \text{ Days}$ \$ 9,639.34

Bonus Paid (Nov. /06) \$189,639.34

3. Documentation

The importance of accurate and complete documentation cannot be overstated. The Ministry must be able to show due diligence in the administration of the highway maintenance contracts; and be able to demonstrate, not only that the Bonuses are justified, but that the terms of the contract are being met.

Records must be filed electronically and available to all users.

A. District Responsibilities

The district needs to document:

- Monitoring Records and related/supporting photographs
- Audit Reports / supporting Field Audit photographs
- minutes of meetings with the contractor
- NCRs and related/supporting photographs
- NCR logs
- all records submitted by the contractor in accordance with the requirements of the contract, e.g., Annual Plan, monthly reports on quantified accomplishments, NCR status reports, etc.
- details of the Local Assessment for each season, i.e., the Contractor Assessment Report for each season;
- details of the Stakeholder Assessments for each season
- result of the Regional Assessment for each season
- overall CAP rating for each season

It is recommended that these documents be stored on a drive accessible by Regional Operations to facilitate Internal Audits. However, processes need to be in place in each office to ensure access is provided on an as required basis only to protect the confidentiality/sensitivity of the information.

B. Regional Responsibilities

The region needs to document:

- Regional Audit Reports for each service area within the region
- Assessments (ratings) for each season for each service area within the region
- Internal Audit Reports

C. Maintenance Branch Responsibilities

The Maintenance Branch needs to document:

- CAP ratings for each season for each service area
- annual Bonus calculations for each service area

D. Confidentiality of Documents

The contractor's QMS (electronic and/or hard copies) is a proprietary document; as are all records related to the QMS. They must be kept confidential; they are not to be used or disclosed for any purpose other than to administer the contract and perform audits; nor are they to be copied or reproduced in whole or in part. Copies of the QMS or of the contractor's records are not to be attached to Audit Reports.

The only time we would release the QMS (in whole or in part) is when there is litigation. We have an obligation to release to the Ministry lawyers documents in our possession or under our control that are deemed relevant in the litigation.

If the QMS or any part of it is the subject of a Freedom of Information request, the district must forward the request to Maintenance Branch for response.

APPENDIX A

Monitoring Record

APPENDIX B.1

Short Response Time (SRT) Field Audit

AUDIT REPORT – FIELD COMPLIANCE

SHORT RESPONSE TIME



Ministry of Transportation and Infrastructure

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: Click to choose SA

Name of Contractor: Click to choose MC

Audit Date Phase 1: Click here to enter a date.

Audit Date Phase 2: Click here to enter a date.

Date Discussed with MC: Click here to enter a date.

Auditor: _____

Auditor Signature

Office Attendee Register: *(NOTE: office audit is not always required, but if/when it is, list attendees)*

Name	Position

Location:

10 KM (freeway) 20 KM (Highway) Highway name, number, & class:

Segment ID:

Overall Summary of Findings:

Attachments (e.g. monitoring records, public complaints, etc.):

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

SECTION 2A: FINDINGS

Maintenance Spec # and Name	Location within Segment	Phase 1 Observations	Photo	Response time	Comments and Phase 2 Observations	Photo
Please Select from List				Click here to enter Response time		
Please Select from List				Click here to enter Response time		
Please Select from List				Click here to enter Response time		
Please Select from List				Click here to enter Response time		
Please Select from List				Click here to enter Response time		
Please Select from List				Click here to enter Response time		
Please Select from List				Click here to enter Response time		
Please Select from List				Click here to enter Response time		

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

**AUDIT REPORT – FIELD
COMPLIANCE**

**SHORT
RESPONSE
TIME**



Ministry of
Transportation
and Infrastructure

SECTION 2B: QUESTIONS/ EVIDENCE – RECORDS REVIEWED

For all deficiencies that were not addressed within the Response Times (based on Phase 2 findings), discuss with contractor and enter the contractor’s response along with any records reviewed.

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor.

Date accepted by MOT: [Click here to enter a date.](#)

Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX B.2

SRT Field Audit Checklist

Short Response Time Checklist

100 – Highway Pavement Patching & Crack Sealing

Pavement Deficiency	Severity	1 & 2	3	4	5
Pot-hole on Travelled Lane or inner Shoulder of curved Hwy. section	High	24h	2d	3d	7d
Pot-hole on outside Shoulder of curved Hwy sections & tangents	High	3d	7d		
Pot-hole on right edge of divided Hwy in the direction of travel	High	24h	2d	3d	7d
Pot-hole on left edge of divided Hwy in the direction of travel	High	3d	7d		
Bleeding on Travelled Lane or inside Shoulder of curved Hwy sections	High	24h	2d	3d	7d
Distortions presenting a safety hazard	High	24h	2d	3d	7d

130 – Gravel Surface Grading & Re-Shaping

Gravel Surface Deficiencies	3 & 4	5	6
Pot-hole (average more than 1 per 25 metres of road), Rutting, Ponding & Wash-boarding (exceeding 30mm depth)	2d	3d	6d
loss of aggregates (need reclaimed material)	4d	5d	
lack of uniform Shoulder edge			
loose material (exceeding 50mm depth)	5d		

140 – Dust Control & Base Stabilization:

- The Contractor must re-apply a dust palliative product within a maximum of **2 days** from the time the dust problem was detected by or reported to the Contractor.
- Start dust control applications within **5 days** from the time the dust problem was detected by or reported to the Contractor.

150 – Highway Surface & Shoulder Graveling:

Gravel Surface Deficiency	3	4	5	6
Pot-Holes	2d	2d	3d	6d
surface soft and/or muddy	24h	2d	3d	6d
loss of traction	24h	2d	3d	6d

160 – Highway Shoulder Maintenance

Shoulder Surface Deficiency	1 & 2	3	4	5
pavement edge drop off 5cm or more in depth on the inside edge of curving Hwys.	24h	24h	3d	7d
pavement edge drop-off 5cm or more in depth other than above	3d	3d	6d	
settled & eroded sections more than 5cm in depth presenting a safety hazard	3d	3d	6d	
loose or soft Shoulders presenting a safety hazard	3d	3d	6d	
loss of line, grade & crossfall presenting a safety hazard	3d	3d	6d	
removal of vegetation presenting a safety hazard	3d	3d	6d	

180 – Pavement Surface Cleaning:

Within **7 Days** from the time the accumulation was detected by or reported to the Contractor, clean Hard Surfaced Hwy where dirt, Debris, sand and/or gravel have accumulated and:

- obscures line visibility, or;
- creates a visibility problem for Hwy Users, or;
- creates an air quality problem that conflicts with local bylaws.

190 – Debris Removal:

Obstruction	1&2	3	4	5	6&7
Debris or spilled material over 1000cc on the Travelled Lanes and sidewalks	60 min	60 min	3h	5h	24h
Debris or spilled material =/< than 1000cc on the Travelled Lanes and sidewalks	60 min	3 h	5h	24h	2d
dead animals on the Shoulders and sidewalks	60 min	3h	5h	24h	2d
dead animals on the R/W, excluding Travelled Lanes, Shoulders & sidewalks	3h	5h	24h	2d	3d
Debris or spilled material more than 1000 cc on the Shoulders	5h	24h	2d	3d	7d
Debris or spilled material =/< than 1000cc on the Shoulders	24h	2d	3d	7d	

200 – Highway Structures Maintenance:

Maintenance Requirement	1&2	3	4	5	6&7
Debris on sidewalks, stairways & Underpass floors	24h	24h	2d	2d	2d
any malfunction to arrester beds	24h	24h	2d	2d	2d
damaged, destroyed or missing components of Dragnet Vehicle Arresting Barriers	3d	3d	3d	3d	3d
broken, bent or damaged cattleguards	24h	2d	3d	5d	
mismatched grades on cattleguard crossings	24h	2d	3d	5d	7d
lights out in pedestrian Underpasses	2d	4d	6d		

220 – Curb, Island & Barrier Maintenance:

- Start repair of concrete barriers with damage of less than 900 sq. cm within **3 days**.
- Blockage causing ponding in the Travelled Lanes, clean affected drainage holes of Debris within **12 hours**.
- Blockage causing a situation that is unsafe or has the potential to become unsafe, clean affected drainage holes **immediately**.
- Complete the realignment of rails, curbs & concrete barriers within **3 days**.
- Replace damaged, destroyed & missing impact attenuators, supports or fasteners within **3 days**.
- Replace damaged, destroyed & missing anti-glare screen components within **7 days**.

Short Response Time Checklist

230 – Railway Crossing Maintenance:

Maintenance Requirement	1&2	3	4	5	6&7
repair of broken, loose or damaged Railway Crossings	24h	2d	3d	5d	
repair of mismatched grades on Railway Crossings	24h	2d	3d	5d	
removal of water accumulation	24h	2d	3d	5d	

250 – Ditch & Watercourse Maintenance:

Complete & Repair	1&2	3	4	5	6&7
during high water flow	60 min	90min	2h	3h	4h

260 – Drainage Appliance Maintenance:

Obstructions & Repair to Drainage Appliances	1&2	3	4	5	6&7
during high water flow	2h	4h	8h	16h	32h
Replace Drainage Appliance	1&2	3	4	5	6&7
during high water flow	2h	4h	8h	16h	32h

270 – Shore, Bank & Watercourse Maintenance:

- Contractor must **immediately**, upon detection by or notification to the Contractor that a shore or bank is being eroded, a watercourse is not contained or there is a likelihood it will not be contained, initiate traffic control necessary to protect Highway Users and initiate Highway closure procedures, if necessary, in accordance with the Maintenance Specifications for Highway Traffic Control
- Place Rip-rap within **2 hours** if it is determined that it is safe to proceed with the work or, if not safe, notify the Province.
- Complete maintenance repairs to shores, banks and watercourses within **5 days** of the elimination of the obstruction.

350 – Roadside Vegetation Control:

Remove Danger Trees within 7 days.

370 – Litter Collection & Graffiti Removal:

Debris & Litter Collection	Min. Freq. Of Debris & Litter Collection	
Hwys. with traffic volumes over 50,000 vehicles/day	Every 7 d	
Graffiti Removal/Cover	1&2	3
remove or cover graffiti on natural features & Hwy. inventory	3d	6d

380 – Rest Area & Roadside Facility Maintenance

Facilities Maintenance	Oct. 15- Mar. 31 (Inclusive)	Apr. 1 – Oct. 14 (inclusive)
clean plumbing fixtures including exterior surfaces of structures	A =Daily B&C=2x/wk	A=Daily B&C=3x/wk
check or inspect structures for damaged, missing or faulty components and complete repairs or replacement	A,B&C =Daily	A,B&C = Daily
ensure that all heating apparatuses are in working order and that thermostats are set properly	A=Daily B&C=2x/wk	A=Daily or more often if req'd B&C=3x/wk
clean & restock toiletry receptacles	A=As req.d B&C=2x/wk	A=As req.d B&C=3x/wk
clean & disinfect floors including wall bases, drains & traps	A,B&C =3x/week	A,B&C =Daily or more often if req'd
clean interior surfaces of partitions, seats, walls including the enamel surfaces, piping and toilet seat hinges	A,B&C =3x/week	A,B&C =3x/week
clear all cobwebs from inside & outside of buildings	A,B&C =Daily	A,B&C =Daily or more often if req'd
remove marks & graffiti from walls	A,B&C =Daily	A,B&C =Daily or more often if req'd
remove litter in the area surrounding the building & sweep walkways & remove weeds	A,B&C =Daily	A,B&C =Daily or more often if req'd
empty & recharge, chemical toilets, pump out pit toilets, and maintain a clean, sanitary & odour-free facility	A,B&C =Daily	A,B&C =Daily or more often if req'd
clean and/or wash interior walls, ceilings & light fixtures to maintain sanitary conditions	A,B&C =Weekly	A,B&C =Weekly or more often if req'd.

400 – Roadside Fence Maintenance:

- Start temporary repairs within **1 hour** to fences along Schedule 1 & 2 Highways where livestock is or can get loose, when the damage is the result of one of
 - motor vehicle accidents,
 - acts of vandalism, or
 - fallen trees from the right-of-way
- Commence temporary repairs to Specialty Fences when the repair is of a safety-related nature within **1 hour**.

440 – Sign System Maintenance:

Type of Sign Marking	1 & 2	3&4	5,6 & 7
regulatory & warning	24h	24h	24h
school and pedestrian	24h	2d	3d
delineators and Pickets	24h	2d	3d
parking and stopping	24h	2d	3d
direction (guide)	2d	3d	7d
information	2d	3d	7d
service and attraction	2d	3d	7d
all other Signs	7d	7d	7d

450 – Temporary Line Marking & Eradication:

The Contractor must:

- Place temporary line markings and eradicate temporary and permanent line markings within **3 hours** of completing maintenance services; and
- Gather and remove from the work site on a daily basis all refuse resulting from activities provided within this Maintenance Specification.

Short Response Time Checklist

500 – Bridge Deck Maintenance:

Deck Deficiency	1 & 2	3 & 4	5, 6 & 7
Pot-holes in concrete & asphalt Decks - Travelled Lane - Remainder of Deck	4 h 2d	6h 3d	24h 5d
loose, broken or rotted timber Deck planks - Travelled Lane - remainder of Deck	4h 2d	6h 3d	24h 5d
loose sections, broken welds on steel Decks Travelled Lane remainder of Deck	4h 2d	6h 3d	24h 5d

520 – Bridge Drain & Flume Maintenance:

The Contractor must complete cleaning & unplugging of any clogged steel grill or Drain pipe that causes ponding on Bridge Decks within a maximum response time of **one hour** from the time the deficiency was detected or reported to the Contractor.

530 – Bridge Joint Maintenance:

The Contractor must commence maintenance and repairs to Bridge Joints, Bridge Joint Armours and joint Anchor Bolts that are unsafe or have the potential to become unsafe **immediately**, from the time the deficiency was detected by or reported to the Contractor.

660 – Retaining Structure Maintenance:

The Contractor must:

- a) Initiate traffic control in accordance with the Maintenance Specification for Highway Traffic Control, **immediately** from the time a deficiency is detected by or reported to the Contractor;

690 - Bridge Railing Maintenance:

The Contractor must:

Immediately notify the Province of any deficiency of any Bridge railing which is unsafe or has the potential to become unsafe for Highway Users; **Immediately** provide traffic control under situations described above; Complete installation of temporary railing, as required, within **24 hours**, from the time the deficiency was detected by or reported to the Contractor.

760 - Flood Control & Washout Response:

Washout Category	1&2	3	4	5	6&7
washouts completely cutting a Highway & isolating a community	45 min.	1h	90 min.	150 min.	4h
washouts completely cutting a numbered route or main Hwy. other than those covered by (i) above	90 min.	2h	3h	n/a	n/a
washouts cutting one or more lanes of a Hwy.	4h	6h	9h	15h	24h

770 – Mud, Earth & Rock Slide Response:

	1&2	3	4	5	6&7
slides completely blocking a Hwy. & isolating a community	45 min.	1h	90 min.	150 min.	4h
slides completely blocking a numbered route or main Hwy. other than those covered by (i) above	90 min.	2h	3h	n/a	n/a
slides blocking only one or more lanes of a Hwy.	4h	6h	9h	15h	24h

780 – Highway Incident & Vandalism Response:

The Contractor must:

- a) **Immediately**, from the time the incident was detected by or reported to the Contractor, implement traffic control;

Short Response Time Checklist

300 – Highway Snow Removal

The Contractor must complete:

Maintenance Requirement	A	B	C	D
Pushing back snow & ice beyond Shoulder edge on Superelevated curves	2 d	2 d		
Pushing back snow & ice beyond Shoulder edge – from last measurable snowfall	4 d	6 d		

310 – Winter Abrasive & Chemical Snow and Ice Control

The Contractor must restore traction within the response times as indicated:

Condition	Location	A	B	C	D
Freezing rain	All locations	2 h	3 h	5 h	6 h
Black Ice	All Locations	2 h	3 h	5 h	6 h
After snowfall	All hills (all lanes)	5 h	8 h	24 h	48 h
	All curves	5 h	8 h	24 h	48 h
	All other locations	24 h	36 h	3 d	As required
When slippery surfaces are encountered during patrol	All locations	Immed. Application	Immediate Application	Immed. Application	Immediate Application
Remove compact snow or ice remaining on paved Highway surfaces after snowfalls have ended		2 d	3 d	7 d	

320 – Roadside Snow and Ice Control

The Contractor must complete the clearing of snow and ice on Highways, and restore traction on pedestrian facilities, commencing from the time snow removal on adjacent Highways is completed, within the times shown on the table below:

Location	A	B	C	D	E
Bridge Sidewalks	24 h	24 h	24 h	3 d	n/a
Pedestrian Overpasses or Underpasses	24 h	24 h	24 h	n/a	n/a
Sidewalks, Walkways & sidewalk approaches to structures, information kiosks & other tourist information facilities	36 h	36 h	36 h	3 d	n/a
Intersections, medians, Railway X'ings & Railway X'ing Approaches	2 d	3 d			
Roadside & Median Barriers	2 d	3 d			
Sight Distance Obstructions	3 d	5 d			
Restore vertical clearances to overhead utilities reduced by snow plowing operators	All Classes – 3 d				

The Contractor must complete the following activities in the timeframe indicated from the time the deficiency was detected or reported

Action	A	B	C	D	E
Start removing snow from ditches and/or restoring flow in drainage structures	4 h	4 h	12 h	24 h	3 d
Remove all snow and ice accumulating on rock faces, tunnel walls, Bridges and all other overhead features	All Classes – 8 h				
Remove snow and ice from cattleguards	All Classes – 8 h				

APPENDIX C

End Product (EP) Field Audit

**AUDIT REPORT – FIELD
COMPLIANCE / BONUS**

**END
PRODUCT**



**Ministry of
Transportation
and Infrastructure**

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: Click to choose SA

Name of Contractor: Click to choose MC

Audit Date: Click here to enter a date.

Date Discussed with MC: Click here to enter a date.

Auditor: _____

Auditor Signature

Field Attendee Register: *(NOTE: field audit does not require MC presence, but if present list attendees)*

Office Attendee Register:

Name | **Position**

Name | **Position**

Topic of Audit:

Location(s):

Overall Summary of Findings:

Attachments (e.g. photos, monitoring records, public complaints, etc.):

SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE – RECORDS REVIEWED

Question 1:

What is being assessed:

Findings:

Evidence-Records Reviewed:

**AUDIT REPORT – FIELD
COMPLIANCE / BONUS**

**END
PRODUCT**



Ministry of
Transportation
and Infrastructure

Question 2:

What is being assessed:

Findings:

Evidence-Records Reviewed:

Question 3:

What is being assessed:

Findings:

Evidence-Records Reviewed:

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed/re-done by the contractor

Date accepted by MOT: [Click here to enter a date.](#)

Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX D

In-Process (IP) Field Audit

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: [Click to choose SA](#)

Name of Contractor: [Click to choose MC](#)

Audit Date: [Click here to enter a date.](#)

Date Discussed with MC: [Click here to enter a date.](#)

Auditor: _____

Auditor Signature

Field Attendee Register: *(NOTE: field audit does not require MC presence, but if present list attendees)*

Office Attendee Register:

Name	Position
------	----------

Name	Position
------	----------

Topic of Audit:

Location(s):

Overall Summary of Findings:

Attachments (e.g. photos, monitoring records, public complaints, etc.):

SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE – RECORDS REVIEWED

Question 1:

What is being assessed:

Findings:

Evidence-Records Reviewed:

Question 2:

What is being assessed:

Findings:

Evidence-Records Reviewed:

Question 3:

What is being assessed:

Findings:

Evidence-Records Reviewed:

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor

Date accepted by MOT: [Click here to enter a date.](#)

Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX E

Snow and/or Ice (S&I) Field Audit

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: Click to choose SA

Name of Contractor: Click here to choose MC

Audit Date: Click here to enter a date.

Date Discussed with MC: Click here to enter a date.

Auditor: _____

Auditor Signature

Field Attendee Register: *(NOTE: field audit does not require MC presence, but if present list attendees)*

Office Attendee Register:

Name

Position

Name

Position

Description of Storm Event (including times, locations, severity, was it forecasted, etc.):

Overall Summary of Findings:

Compliance: Was the contractor effective at handling the event?

Bonus: What evidence has been gathered against the Local Assessment Criteria?

Attachments (indicate applicable items): Pre-event Field Observations & Office Follow-up (required)

Other (specify, e.g. monitoring records, public complaints, etc.):

SECTION 2: QUESTIONS/ FINDINGS /EVIDENCE – RECORDS REVIEWED – PRE-EVENT

(FORECASTED EVENT ONLY)

1. **Is the contractor monitoring the weather in anticipation of the event?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

2. **What equipment does the contractor have available for deployment?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

3. **Does the contractor have equipment out of service? Or not winter-ready?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

4. **What steps is the contractor taking to minimize equipment downtime?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

5. **Will equipment be re-deployed from other areas less impacted by the storm?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

6. **Are efforts being made to call in additional resources (hired equipment, overtime, auxiliaries) if required?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

7. **Are there adequate supplies of sand/salt to deal with the event?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

8. **Are efforts being made to advise stakeholders of pending event?** (Assessing: Bonus – Criterion #3 – Does the contractor deal proactively with the public and key stakeholders?)

Findings:

9. **(optional additional question)** (Assessing ??)

Findings:

EVIDENCE / RECORDS REVIEWED:

SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE-RECORDS REVIEWED – OFFICE:

(IF INDICATED BY FIELD FINDINGS)

MONITORING WEATHER/STATUS OF EVENT:

1. **Did the contractor effectively track the weather and adjust their response accordingly?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

Evidence/records reviewed:

RESOURCES

Equipment: (Assessing: Compliance – Article 11.1(l) & Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

2. **Did the contractor have all available equipment out to deal with the event? Was some equipment out of service or not winter-ready?**
3. **What steps did the contractor take to minimize equipment downtime?**
4. **Was equipment re-deployed from other areas less impacted by the storm?**
5. **Were hired equipment/subs called in early enough?**

Findings:

Evidence/records reviewed:

Human Resources:

6. **Were additional resources (overtime, auxiliaries) called in early enough to ensure an adequate response to the event?** (Assessing: Compliance – Article 11.1(l) & Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

Evidence/records reviewed:

Materials:

7. **Did the contractor have adequate supplies of sand/salt to deal with the event?** (Assessing: Compliance – Article 11.1 (l) & Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

Evidence/records reviewed:

RESULTS ON THE ROAD:

- 8. Did the contractor stay within maximum allowable snow accumulations?** (Assessing: Compliance – Maintenance Specification 3-300)

Findings:

Evidence/records reviewed:

- 9. Did the contractor attempt to restore traction? Was it effective?**(Assessing: Compliance – Maintenance Specification 3-310)

Findings:

Evidence/records reviewed:

- 10. Did the contractor target key locations first?** (Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Findings:

Evidence/records reviewed:

COMMUNICATIONS:

- 11. Was Drive BC updated? Did the updates adequately describe road conditions throughout the event?** (Assessing: Compliance – Maintenance Specification 3-340)

Findings:

Evidence/records reviewed:

- 12. Were efforts made, other than updating Drive BC, to advise stakeholders of road conditions?** (Assessing: Bonus – Criterion #3 – Does the contractor deal proactively with the public and key stakeholders?)

Findings:

Evidence/records reviewed:

DATA COLLECTION; ANALYSIS; CONTINUAL IMPROVEMENT:

- 13. Did the contractor identify their own non-conformances?** (Assessing: Bonus – Criterion #1 – does the contractor identify failures to meet the Basic Contract Requirements?)

Findings:

Evidence/records reviewed:

**AUDIT REPORT – FIELD
COMPLIANCE / BONUS**

**SNOW
AND/OR ICE**



**Ministry of
Transportation
and Infrastructure**

14. Did the contractor perform QC/QA? Did their results match Ministry findings?

(Assessing: Criterion #5a – Does the contractor track whether they are in compliance with the Basic Contract Requirements?)

Findings:

Evidence/records reviewed:

15. Did the contractor follow their QMS with respect to weather monitoring, deployment strategy, key locations, stakeholder communications, QC/QA, etc.? (Assessing: Bonus – Criterion #6 – Does the contractor’s QMS accurately reflect how the contractor does business?)

Findings:

Evidence/records reviewed:

16. Did the contractor perform a post-storm review of the event to identify what happened and how to prevent this from re-occurring? (Assessing Criterion #5b)

Findings:

Evidence/records reviewed:

17. (optional additional question) (Assessing: ??)

Findings:

Evidence/records reviewed:

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor.

Date accepted by MOT: [Click here to enter a date.](#)

Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX F

Roadside Snow and/or Ice (RS&I) Audit

AUDIT REPORT – ROADSIDE SNOW AND/OR ICE



Ministry of
Transportation
and Infrastructure

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: [Click to choose SA](#)

Name of Contractor: [Click here to choose MC](#)

Audit Date: [Click here to enter a date.](#)

Date Discussed with MC: [Click here to enter a date.](#)

Auditor: _____

Auditor Signature

Field Attendee Register: *(NOTE: field audit does not require MC presence, but if present list attendees)*

Office Attendee Register:

Name

Position

Name

Position

Description of Storm Event (including times, locations, severity, was it forecasted, etc.):

Overall Summary of Findings:

Compliance: Was the contractor effective at handling the event?

Bonus: What evidence has been gathered against the Local Assessment Criteria?

Attachments (indicate applicable items):

Field Observations (required)

Office Follow-up

Other (specify, e.g. monitoring records, public complaints, etc.):

SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE-RECORDS REVIEWED – OFFICE:

(IF INDICATED BY FIELD FINDINGS)

RESOURCES

(Assessing: Compliance – Article 11.1(l) & Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?)

Equipment:

- 10. Did the contractor have all available equipment out to deal with the clean-up?
- 11. Was some equipment out of service?
- 12. What steps did the contractor take to minimize equipment breakdowns?
- 13. Was equipment re-deployed from other areas less impacted by the storm?

Findings:

Evidence – records reviewed:

Materials:

- 14. Did the contractor have adequate supplies of sand/salt to deal with the event?

Findings:

Evidence – records reviewed:

RESULTS ON THE ROAD:

(Assessing: Compliance – Maintenance Specification 3-320)

- 15. Did the contractor meet the response times for post-storm activities?
- 16. Did the contractor target key locations first?

Findings:

Evidence – records reviewed:

COMMUNICATIONS:

(Assessing: Bonus – Criterion #3 – Does the contractor deal proactively with the public and key stakeholders?)

- 17. Were efforts made to advise stakeholders if clean-up activities were delayed?

Findings:

Evidence – records reviewed:

**AUDIT REPORT – FIELD
COMPLIANCE / BONUS**

**ROADSIDE
SNOW AND/OR
ICE**



Ministry of
Transportation
and Infrastructure

DATA COLLECTION; ANALYSIS; CONTINUAL IMPROVEMENT:

18. Did the contractor identify their own non-conformances? (Assessing: Bonus – Criterion #1 – does the contractor identify failures to meet the Basic Contract Requirements?)

Findings:

Evidence – records reviewed:

19. Did the contractor perform QC/QA? Did their results match Ministry findings?
(Assessing: Criterion #5a – Does the contractor track whether they are in compliance with the Basic Contract Requirements?)

Findings:

Evidence – records reviewed:

20. Did the contractor follow their QMS with respect to deployment strategy, key locations, stakeholder communications, QC/QA, etc.? (Assessing: Bonus – Criterion #6 – Does the contractor's QMS accurately reflect how the contractor does business?)

Findings:

Evidence – records reviewed:

21. (optional additional question) (Assessing: ?)

Findings:

Evidence – records reviewed:

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor.

Date accepted by MOT: [Click here to enter a date.](#) Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX G

Salt Handling (SH) Audit

AUDIT REPORT – FIELD BONUS

SALT HANDLING



Ministry of Transportation and Infrastructure

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: [Click to choose SA](#)

Name of Contractor: [Click to choose MC](#)

Audit Date: [Click here to enter a date.](#)

Date Discussed with MC: [Click here to enter a date.](#)

Auditor: _____

Auditor Signature

Field Attendee Register: *(NOTE: field audit does not require MC presence, but if present list attendees)*

Office Attendee Register:

Name	Position

Name	Position

Location:

Overall Summary of Findings:

Attachments (e.g. monitoring records, public complaints, etc. See last page for additional notes, sketch, photos, location of shed/winter abrasive stockpile areas, salt stains or halos, etc):

SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE – RECORDS REVIEWED

Assessing: Bonus – Criterion # 2 – Does the contractor perform the work in a proactive manner?

SALT

Are all salt stockpiles covered?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
Is the salt contained within the capacity of the shed	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
If there is an evapotranspiration liner or paved area in front of the facility, does the loading occur on it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>
Is water able to permeate through to the evapotranspiration liner (i.e., is it impermeable)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>

**AUDIT REPORT – FIELD
BONUS**

**SALT
HANDLING**



Ministry of
Transportation
and Infrastructure

If water is not able to permeate through:

Has the contractor reported it to the district? **YES** **NO** **N/A**

Has the contractor taken steps to improve permeability? **YES** **NO** **N/A**

In-process handling

During the loading of spreaders, is spillage of salt minimized? **YES** **NO** **N/A**

Are spreaders loaded appropriately (as to avoid spillage)? **YES** **NO** **N/A**

WINTER ABRASIVES:

In-process handling

Does the contractor clean up salt left on the pit floor after mixing sand and salt? **YES** **NO** **N/A**

SALT BRINE:

Are the above ground chemical storage tanks leak free? **YES** **NO** **N/A**

In-process handling

Does the contractor clean up salt spilled during brine-making operations? **YES** **NO** **N/A**

Does the contractor avoid spilling brine during loading of truck-mounted tanks? **YES** **NO** **N/A**

GENERAL

If there is evidence of the structure of the shed being compromised, e.g., excessive snow on the roof, bent/broken braces, signs of corrosion of the structural components, tears in the fabric:

Has the contractor reported it to the Ministry? **YES** **NO** **N/A**

Has the contractor taken steps to minimize the damage? **YES** **NO** **N/A**

**AUDIT REPORT – FIELD
BONUS**

**SALT
HANDLING**



Ministry of
Transportation
and Infrastructure

EVIDENCE – RECORDS REVIEWED:

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor.

Date accepted by MOT: [Click here to enter a date.](#)

Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

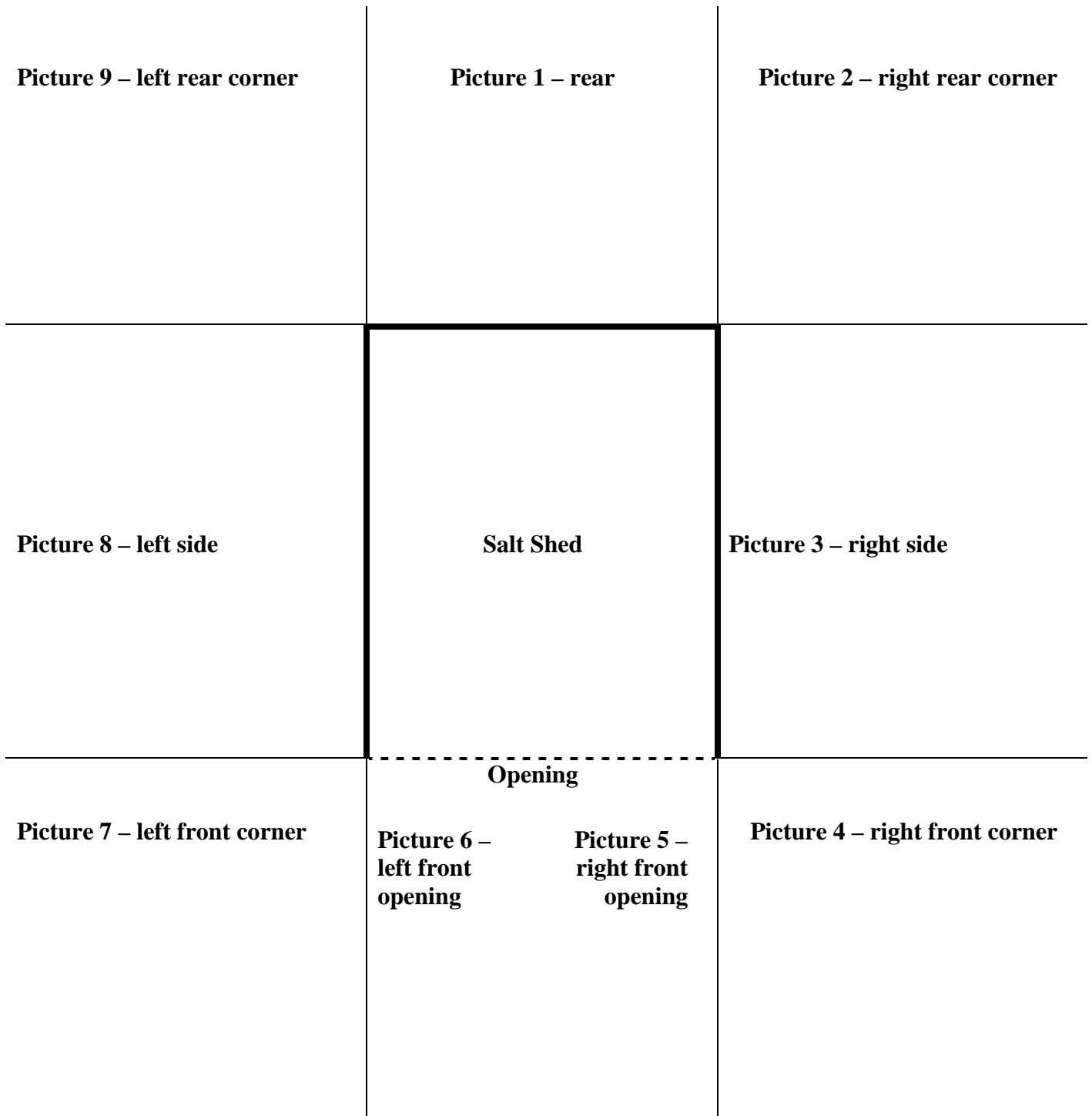
Distribution: Original to District; Copy to Contractor

**AUDIT REPORT – FIELD
BONUS**

**SALT
HANDLING**



Ministry of
Transportation
and Infrastructure



Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX H

Task Office Audit

**AUDIT REPORT – OFFICE
COMPLIANCE / BONUS**

TASK



Ministry of
Transportation
and Infrastructure

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: Click to choose SA

Name of Contractor: Click to choose MC

Audit Date: Click here to enter a date.

Date Discussed with MC: Click here to enter a date.

Auditor: _____

Auditor Signature

Attendee Register:

Name

Position

Topic of Audit:

Overall Summary of Findings:

Attachments (e.g. photos, monitoring records, public complaints, etc.):

SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE – RECORDS REVIEWED

Question 1:

What is being assessed:

Findings:

Evidence-Records Reviewed:

Question 2:

What is being assessed:

Findings:

Evidence-Records Reviewed:

Question 3:

What is being assessed:

Findings:

Evidence-Records Reviewed:

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor

Date accepted by MOT: [Click here to enter a date.](#) Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX I.1

Detailed Process Office Audit

**AUDIT REPORT – OFFICE
COMPLIANCE / BONUS**

**DETAILED
PROCESS**



Ministry of
Transportation
and Infrastructure

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: Click to choose SA

Name of Contractor: Click to choose MC

Audit Date: Click here to enter a date.

Date Discussed with MC: Click here to enter a date.

Auditor: _____

Auditor Signature

Attendee Register:

Name

Position

Topic of Audit:

Overall Summary of Findings:

Attachments (e.g. photos, monitoring records, public complaints, etc.):

SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE – RECORDS REVIEWED

Question 1:

What is being assessed:

Findings:

Evidence – Records Reviewed:

Question 2:

What is being assessed:

Findings:

Evidence – Records Reviewed:

****NOTE: THE ACTUAL TEMPLATE CONTAINS FORMATTING FOR UP TO 9 QUESTIONS, THIS IS ONLY AN EXAMPLE FOR ILLUSTRATIVE PURPOSES****

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor.

Date accepted by MOT: [Click here to enter a date.](#)

Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX I.2

Detailed Winter Preparedness Office Audit

**AUDIT REPORT – OFFICE
COMPLIANCE / BONUS**

**WINTER
PREPAREDNESS**



Ministry of
Transportation
and Infrastructure

SECTION 1: AUDIT DETAILS

Audit Report #: _____

Service Area: [Click to choose SA](#)

Name of Contractor: [Click to choose MC](#)

Audit Date: [Click here to enter a date.](#)

Date Discussed with MC: [Click here to enter a date.](#)

Auditor: _____

Auditor Signature

Attendee Register:

Name

Position

Topic of Audit:

Winter Preparedness

Overall Summary of Findings:

Attachments (e.g. photos, monitoring records, public complaints, etc.):

SECTION 2: QUESTIONS/ FINDINGS/ EVIDENCE – RECORDS REVIEWED

Assessing: Compliance – Maintenance Agreement Article 11.1 (k) & (l) and Bonus – Criterion #2 – Does the contractor perform the work in a proactive manner?

RESOURCES

Equipment:

1. What percent of the contractor's equipment is ready for the winter season? When will it be 100%?
2. What process was followed to ensure equipment readiness?
3. Has the calibration of salt/sand spreaders, thermometers and temperature guns been completed?

4. Does the contractor have a back-up strategy in the event of equipment breakdown during a winter storm?

Findings:

Evidence – Records reviewed:

Materials:

5. Are adequate supplies of de-icing and anti-icing chemicals on hand at various locations?
6. How will the contractor ensure a continual supply of salt this winter?
7. Are the chemicals being used by the contractor on the recognized products list (or approved by the province)?
8. Are adequate supplies of sand on hand at various locations?
9. How has the contractor determined the locations and quantities of salt stockpiles in each foreman area?
10. Has winter sand been sampled and tested to ensure maximum particle sizes are not exceeded? Provide evidence.

Findings:

Evidence – Records reviewed:

HUMAN RESOURCES:

11. How will the contractor ensure sufficient human resources are available for all shifts in all foreman areas?
12. Have all employees, including new hires, received winter orientation training
13. What does the training cover? Is the training comprehensive?

Findings:

Evidence – Records reviewed:

COMMUNICATIONS:

External:

14. Have pre-winter stakeholder meetings been held?
15. Were any winter operational changes considered as a result of stakeholder concerns/complaints?
16. Has the contractor consulted with the school districts to get an updated list of school bus routes?

Findings:

**AUDIT REPORT – OFFICE
COMPLIANCE / BONUS**

**WINTER
PREPAREDNESS**



Ministry of
Transportation
and Infrastructure

Evidence – Records reviewed:

Internal:

- 17. Have winter operational or school bus route changes been communicated to the operators?**
- 18. If Article 6 changes have been issued since last winter, have those changes been communicated to the operators?**

Findings:

Evidence – Records reviewed:

WHERE APPLICABLE:

- 19. Has avalanche training been delivered?**
- 20. Have avalanche signs been erected?**
- 21. Have avalanche gates been checked to ensure they are functional?**

Findings:

Evidence – Records reviewed:

- 22. (optional additional question) (Assessing: *if different from other questions*)**

Findings:

Evidence – Records reviewed:

SECTION 3: ACTIONS TO BE COMPLETED / RE-DONE

Describe all actions to be completed and/or re-done by the contractor.

Date accepted by MOT: [Click here to enter a date.](#) Initials: _____

SECTION 4: NCR/OFI ISSUED

Note: The audit is based on a limited sampling of the operations. Although conformance with the relevant contractual requirement has been examined, other observations or non-conformances may exist.

Distribution: Original to District; Copy to Contractor

APPENDIX J

Non-conformance Report

NON-CONFORMANCE REPORT



Ministry of
Transportation
and Infrastructure

SECTION 1: NCR TRACKING

DATE: _____ PREPARED BY: _____

SERVICE AREA # / NAME: _____

CONTRACTOR NAME: _____

NCR #: _____

SECTION 2: DESCRIPTION OF NON-CONFORMANCE

(Quote the contractual requirement which is not being met and/or the relevant section of the QMS. Also quote location of non-conformance, e.g., highway number, foreman area, when applicable.)

SECTION 3: REQUIRED CORRECTION

(Does Contractor have to re-do/do the work? Select N/A if non-conformance is not curable or opportunity to rectify has passed)

YES _____ DEADLINE FOR CORRECTION: _____

NO _____ MOT ACCEPTS THE NON-CONFORMING PRODUCT/SERVICE

REASON: _____

N/A _____ REASON: _____

SIGNATURES (UPON COMPLETION OF REQUIRED CORRECTION):

CONTRACTOR REPRESENTATIVE CONFIRMS THAT THE CORRECTION HAS BEEN COMPLETED

NAME _____ SIGNATURE _____ DATE _____

MOT REPRESENTATIVE ACCEPTS THE CORRECTION

NAME _____ SIGNATURE _____ DATE _____

Original = District; Copy = Contractor

SECTION 4: ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN:

SECTION 4A: DEADLINE FOR SUBMISSION OF PLAN TO MOT:

Date: _____

SECTION 4B: ROOT CAUSE ANALYSIS:

(Why did the non-conformance occur?)

SECTION 4C: CORRECTIVE ACTION PLAN:

(What is the contractor's plan to prevent re-occurrence of the non-conformance?)

SIGNATURES:

CONTRACTOR REPRESENTATIVE COMMITS TO IMPLEMENTING THE CORRECTIVE ACTION PLAN AND CONFIRMS THAT THE PLAN IS INTENDED TO PREVENT THE RE-OCCURRENCE OF THE NON-CONFORMANCE IDENTIFIED IN SECTION 2 OF THIS REPORT.

NAME _____ SIGNATURE _____ DATE _____

MOT REPRESENTATIVE ACCEPTS THE CORRECTIVE ACTION PLAN. ACCEPTANCE DOES NOT NEGATE THE CONTRACTOR'S RESPONSIBILITY TO PERFORM THE SERVICES IN ACCORDANCE WITH THE CONTRACT REQUIREMENTS.

NAME _____ SIGNATURE _____ DATE _____

INSTRUCTIONS:
SECTION 1, 2 AND 3 TO BE COMPLETED BY MOT;
SECTION 4 TO BE COMPLETED BY THE CONTRACTOR

APPENDIX K

Non-conformance Log

APPENDIX L

Opportunity for Improvement Report

OPPORTUNITY FOR IMPROVEMENT REPORT



SECTION 1: OFI TRACKING

DATE: _____ PREPARED BY: _____

SERVICE AREA NAME: _____

CONTRACTOR NAME: _____

OFI #: _____ SA # _____ DATE _____

SECTION 2: DESCRIPTION OF OPPORTUNITY FOR IMPROVEMENT

SECTION 3: SIGNATURE

CONTRACTOR REPRESENTATIVE

NAME _____ SIGNATURE _____ DATE _____

APPENDIX M

Contractor Assessment Report

CONTRACTOR ASSESSMENT REPORT



Ministry of
Transportation
and Infrastructure

Service Area: Click to choose SA

Name of Contractor: Click to choose MC

Season/Yr:

OVERALL RATING: %

LOCAL ASSESSMENT: %

The contractor was assigned a starting point of 84. Based on the monitoring and audit records for the past season, the contractor was generally found to be in compliance with the Basic Contract Requirements.

OR

The contractor was assigned a starting point of (76, 78, 80 or 82). The major issues identified through the district monitoring and auditing are: [provide details]. This is supported by: [list monitoring records/audit reports/other communication provided to contractor].

The contractor received **XX/16** bonus points as follows:

(Provide details as to how well or not well the contractor met each criterion; provide examples where possible.)

Criterion 1: identifying failures to meet contract requirements and dealing with them in an effective manner

Criterion 2: doing work in a proactive manner

Criterion 3: dealing proactively with the public and stakeholders

Criterion 4: maintaining a relationship that fosters mutual understanding, respect and honesty

Criterion 5a: having documentation to track compliance

Criterion 5b: performing quality analysis on information such as ministry/stakeholder feedback, QC/QA, internal audits, internal reviews

Criterion 5c: using the information (listed above)

Criterion 6: having a QMS that is effective and accurately reflects the way the contractor does business

CONTRACTOR ASSESSMENT REPORT



Ministry of
Transportation
and Infrastructure

REGIONAL ASSESSMENT: %

The contractor should refer to the regional audit report provided by the Regional Lead Auditor.

STAKEHOLDER ASSESSMENT: %

Discussions with the stakeholders revolved around the following topics:

[list]

Some specific areas for improvement raised by the stakeholders were:

[list]

Some specific areas where the stakeholders felt the contractor did well:

[list]

SUMMARY:

Generally, the contractor could work on the following areas:

The contractor does good/excellent work in the following areas:

APPENDIX N

Stakeholder Assessment Questions & Summary

STAKEHOLDER ASSESSMENT QUESTIONS & SUMMARY



Summer

Name of individual: _____

Representative: _____

Date: _____ Interviewer: _____

In your opinion:

Does the contractor maintain paved surfaces effectively and in a timely manner? (e.g., are potholes filled?) Sample question

Does the contractor maintain gravel surfaces effectively (e.g., are roads graded frequently enough?, in a timely manner?) Sample question

Is roadside maintenance adequate? (e.g., are signs clean, visible?, is mowing adequate?) Sample question

Is the contractor responsive to requests/complaints (i.e., professional, courteous, timely, follow-up)? Mandatory question

How would you rate summer maintenance overall? Mandatory question

Excellent, Good, Satisfactory, Fair? _____%

Note 1: These questions should not be sent out for people to fill out; they are intended to guide discussions.

Note 2: It is also intended that the discussions would be preceded by an overview of the contractor's responsibilities, i.e., roads under our jurisdiction, response times, specifications, etc.

STAKEHOLDER ASSESSMENT QUESTIONS & SUMMARY



Winter Name of individual: _____
 Representative: _____
 Date: _____ Interviewer: _____

In your opinion:

Does the contractor plow

a) the main roads (numbered routes) in a timely manner? Sample question

b) the side roads in a timely manner? Sample question

Does the contractor make a sufficient effort to improve traction on:

a) the main roads in a timely manner?

b) the side roads in a timely manner? Sample question

If you use the contractor's road condition reporting information or Drive BC, have you found the information to be accurate? Mandatory question

Is the contractor responsive to requests/complaints (i.e., professional, courteous, timely, follow-up)? Mandatory question

How would you rate winter maintenance overall?

Excellent, Good, Satisfactory, Fair? _____%

Note 1: These questions should not be sent out for people to fill out; they are intended to guide discussions.

Note 2: It is also intended that the discussions would be preceded by an overview of the contractor's responsibilities, i.e., roads under our jurisdiction, response times, specifications, etc.

STAKEHOLDER ASSESSMENT QUESTIONS & SUMMARY



Ministry of
Transportation
and Infrastructure

Service Area: Click to choose SA

Name of Contractor: Click to choose MC

Date (YYYY/MM/DD): _____

Name of DOM or designate:

Summer _____ or Winter _____ (mark "X" as applicable)

Name of individual, position and name of company/agency

	Name	Position	Company/Agency	Score
1				
2				
3				
4				
5				
6				
AVERAGE:				