

**Notes:**

1. Unitywater, at its discretion, may audit more frequently any entity or Registered Certifier it considers to potentially be a conflict risk due to (amongst others) multiple roles within the accreditation scheme. (ref. Accreditation and Certification Manual, Business Models - page 14).
2. The extent of Unitywater audits are not limited to this checklist but cover all the requirements of the SEQ Code. Any additional recognised Non-Conformances will nominally be scored at a 2, though at Unitywater's discretion, may attract a higher score, based on risk.
3. Issue of a Unitywater decision does not imply an audit with a pass result has been achieved. Unitywater reserves the right to conduct audits at any time during the application process (design/construction phases).
4. \* - Means the applicable score will apply to each instance of the described non-conformance identified during the audit assessment.

Item No	Non-Conformance Items	Non-Conformance Type		Comments
		Minor NC	Major NC	
1	Failure to attend the pre-start meeting.		10	
2	Construction commenced prior to pre-start meeting and pre-start meeting progressed without alerting Unitywater for direction on dealing with commenced works.		10	
3	Incorrect fees paid.	1		
4	Failure to provide 7 days' notice for Pre-Start Meeting.		10	
5	Conducting a pre-start meeting without all Compulsory attendees not attending meeting.		10	
6	Missing or incorrect information (as defined in section in 4.3.2.1 (a-e) Prepare Pre-start Meeting Package of the A&C Manual) <b>a.</b> Missing or incorrect Pre-start meeting request form.	2		
7	Missing or incorrect information (as defined in section in 4.3.2.1 (a-e) <b>b.</b> Missing or incorrect Meeting Agenda.	2		
8	Missing or incorrect information (as defined in section in 4.3.2.1 (a-e) <b>c.</b> Missing or incorrect Asset Information Package to describe and identify assets that will be donated to Unitywater following acceptance on-maintenance of the constructed works.	2		
9	Missing or incorrect information (as defined in section in 4.3.2.1 (a-e) <b>d.</b> Missing or incorrect Connection Approval including certified design plans.		10	
10	Missing or incorrect information (as defined in section in 4.3.2.1 (a-e) <b>e.</b> Draft schedule for milestones and ad-hoc audits of the works by the Construction Certifier.	2		

## F10271 - A&C - Non-Conformance List - Pre-Start Notification and Record

Item No	Non-Conformance Items	Non-Conformance Type		Comments
		Minor NC	Major NC	
11	Not following up and recording identified defects/action on time/by due date.		10	
12	Failure to discuss Private Works quotation timeframes, payment requirements and connection construction protocols and timeframes.	3		
13	Pre-start agenda and meeting items did not include discussion of materials to use on site and specific requirements relating to materials.	2		
14	Action identified at connection approval or design audit are not addressed before prestart meeting.		10	
15	Pre-Start record not provided within 5 business days.	5		
16	Incorrect or missing item on the Pre-Start Meeting Record.	2		
17	Inspection schedule is less or inconsistent with the prescribed construction audit schedule in the A&C Manual.	5		
18	Construction commenced prior to pre-start meeting and pre-start meeting progressed without alerting Unitywater for direction on dealing with commenced works.		10	
19	Any other item that Unitywater deems reasonable and relevant to attract a non-conformance.	2*		