

# CONTRACTOR AUDIT PROCESS



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**FACILITY**  
**SERVICES**  
**SOLUTIONS.**



## CONTRACTOR AUDIT PROCESS

<b>Date of Audit:</b>	<b>Audit Report No.:</b>
<b>Lead Auditor's Name:</b>	<b>Audit Team:</b>
<b>Contractor's Details:</b>	
<b>Scope of this Audit:</b>	

### SUMMARY:

The purpose of this audit is to bring our contractors in line with Ozland Group Solutions Management System and as a review of the details of relevant licenses and Insurances held by all Contractors used by Ozland Group Solutions. The Contractors are required to submit details of all required licenses and Insurances held by the Company on a regular basis to Ozland Group Solutions.

In the 'Audit Evidence' field, fill in the evidence that you saw and your thoughts about the implementation and documentation. If any of the requirements are not applicable, please type 'N/A' to denote that the particular requirement is not applicable to the organization.

*The following audit scoring criteria have been used to identify the level of compliance with each requirement that is set out in the standard.*

**Compliant:** Requirement fully documented and implemented. Adherence with the requirements of the standard or specification. No major or minor non-conformances found.

**Observation:** Minor gap, mostly documented and implemented the management system that may be weak, overly complex, or in some other manner, may, in the opinion of the auditor, offer an opportunity for an organization to improve its status.

**Minor Non-conformance:** Requirement partially implemented but no documentation or partially documented but not implemented. A non-conformity that, based on the judgment and experience of the auditor, is not likely to result in the failure of the management system or reduce its ability to assure controlled processes. It may be either a failure in some part of the supplier's management system relative to a specified requirement or a single observed lapse in following one item of a company's management system.



**Major Non-conformance:** No provision, requirement not documented or implemented. The absence of a system to meet a specified requirement. A number of minor non-conformities against one requirement can represent a total breakdown of the system and thus be considered a major non-conformity. A non-compliance that, in the judgment and experience of the auditor, is likely to either result in the failure of the management system or to reduce its ability to assure controlled processes.

## CONTRACTOR AUDIT QUESTIONS

### 1. Quality Management

Q. No	Audit Question	Finding (Tick)			Audit Evidence <i>Provide reference to documentation</i>	What to Look For
		Compliant	Minor NC	Major NC		
1	Is the quality system documented, controlled and maintained to clearly describe current practice?					Quality manual and all procedures show revision control (sign-offs & dates), history of changes
2	Are quality-performance targets clearly defined, included in the business plan and monitored for improvements?					Problems and corresponding improvement actions, status of preventive/corrective/audit results
3	Does executive management participate in periodic quality system reviews that address quality related feedback from customers?					Internal audit results, corrective action status, etc.



## 2. Continuous Improvement

Q. No	Audit Question	Finding (Tick)			Audit Evidence <i>Provide reference to documentation or records that justify the finding</i>	What to Look For
		Compliant	Minor NC	Major NC		
1	Is a corrective action system in place that provides root cause analysis and takes timely and effective action to prevent recurrence?					Corrective actions register & meeting minutes.
2	Does the corrective action system cover customer, internal and supplier issues?					Management review meetings and corrective actions
3	Are preventive actions taken based on the analysis of significant customer satisfaction surveys or other meaningful inputs?					Management review meetings, goal setting, performance measurement, internal audits, action plans, customer survey

## 3. Training Competency

Q. No	Audit Question	Finding (Tick)			Audit Evidence <i>Provide reference to documentation or records that justify the finding</i>	What to Look For
		Compliant	Minor NC	Major NC		
1	Is the skill and education level required for each job documented and appropriate training provided?					Corrective actions register & meeting minutes.
2	Are employee qualifications/certification maintained?					Qualification records & Certification



3	Are suitable methods used to verify training effectiveness?					Audit records, interview workers to validate training records, Job descriptions, job skills assessment, Photo ID's, training
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#### 4. Pays, License & Insurance

Q. No	Audit Question	Finding (Tick)			Audit Evidence <i>Provide reference to documentation or records that justify the finding</i>	What to Look For
		Compliant	Minor NC	Major NC		
1	Is there Security Master License?					Verify license issue and expiry date.
2	Is there Public Liability & Workers Compensation Insurance?					Verify insurance issue and expiry date.
3	Is Certificate of Association with Industry Association available?					
4	Is Certificate of Business Registration available?					
5	Does the contractor have all valid working rights documentation for all required employee?					Verify working rights - visa details if international students
6	Does the contractor pay the wages to all employees according to the regulatory/collective agreement requirement?					Verify pay slips for random employees



### 5. Workplace Health & Safety

Q. No	Audit Question	Finding (Tick)	Audit Evidence	What to Look For	Provide reference to documentation
		Compliant	Minor NC	Major NC	
1	Does the health and safety management system address the safety of personnel without comprising the achievement of product quality requirements?				Procedure for training and communication and participation
2	Does the health and safety management system address the requirement for emergency planning?				Emergency preparedness and response plan, monitoring and performance measurements
3	Does the health and safety policy state the organization's health and safety objectives and management's commitment to continual improvement?				Policies and procedures, health and safety statistic report, accident rate improvement history



**6. Environment**

Q. No	Audit Question	Finding (Tick)			Audit Evidence <i>Provide reference to documentation</i>	What to Look For
		Compliant	Minor NC	Major NC		
1	Does a documented environmental policy exist that includes a commitment to comply with relevant environmental legislation and regulations and to continual improvement?					Environmental policy statement document, procedures for measuring and monitoring environmentally sensitive activities.
2	Is there a system to monitor energy consumption?					

**FINDING SUMMARY**

Observations, Best Practice & Notes




### 1. Observation

S.NO	SUMMARY	AUDITOR COMMENTS	PROPOSED CLOSE DATE

### 2. Minor Non-Conformance

S.NO	SUMMARY	AUDITOR COMMENTS	PROPOSED CLOSE DATE

### 3. Major Non-Conformance

S.NO	SUMMARY	AUDITOR COMMENTS	PROPOSED CLOSE DATE

Auditor Name: \_\_\_\_\_ Sign: \_\_\_\_\_ Date: \_\_\_\_\_