

## Appendix G - Typical audit arrangements

### A contract requiring Inspection and Test Plans only

	Internal (1 <sup>st</sup> party) audit, organised and resourced by the service provider.	External (2 <sup>nd</sup> party) audit, organised and resourced by the customer.
Inspection and Test Plan	<p><b>Requirements</b></p> <p>1 Review of process                      Frequency: Ongoing daily inspection                      Scope: Ensure:                      (a) Inspection and tests are carried out;                      (b) attendance as noted in ITP;                      (c) records of inspections and tests are maintained; and                      (d) work is acceptable or corrective action taken.                      By: Service provider's authorised person or delegate, eg site foreman</p> <p>2 Compliance audit/review of implementation                      Frequency: As per contract needs and procedures (typically every month)                      Scope: As for 1                      By: Auditor or project manager/officer</p>	<p><b>Requirements</b></p> <p>1 Surveillance and monitoring at Hold and Witness Points.                      Frequency: At Hold and Witness Points                      Scope: Specified in contract documents                      By: Customer's authorised person or delegate</p> <p>2 Sighting initially and review with claims for payment                      Frequency: At provision and claims for payment (typically monthly)                      Scope: Satisfactory ITP provision/implementation                      By: As for 1</p> <p>3 Compliance audit/review of implementation                      Frequency: As necessary in accordance with the assessed risk of nonconformity                      Scope: ITP being applied in accordance with procedures and records maintained                      By: Customer audit/review personnel</p>

### A contract requiring Inspection and Test Plans and a Quality Management Plan

	Internal (1 <sup>st</sup> party) audit, organised and resourced by the service provider.	External (2 <sup>nd</sup> party) audit, organised and resourced by the customer.
Inspection and Test Plan	<p><b>Requirements</b></p> <p>1 Review of process                      Frequency: Ongoing daily inspection                      Scope: Ensure:                      (a) Inspection and tests are carried out;                      (b) attendance as noted in ITP;                      (c) records of inspections and tests are maintained; and                      (d) work is acceptable or corrective action taken.                      By: Service provider's authorised person or delegate, eg site foreman</p> <p>2 Compliance audit/review of implementation                      Frequency: As per contract needs and procedures (typically every month)                      Scope: As for 1                      By: Auditor or project manager/officer</p>	<p><b>Requirements</b></p> <p>1 Surveillance and monitoring at Hold and Witness Points.                      Frequency: At Hold and Witness Points                      Scope: Specified in contract documents                      By: Customer's authorised person or delegate</p> <p>2 Sighting initially and review with claims for payment                      Frequency: At provision and claims for payment (typically monthly)                      Scope: Satisfactory ITP provision/implementation                      By: As for 1</p> <p>3 Compliance audit/review of implementation                      Frequency: As necessary in accordance with the assessed risk of nonconformity                      Scope: ITP being applied in accordance with procedures and records maintained                      By: Customer audit/review personnel</p>
Quality Management Plan	<p><b>Requirements</b></p> <p>1 Review and update of Plan                      Frequency: As per contract and procedures (typically every 4 months)                      Scope: Ensure Plan is current and meets requirements of the contract                      By: Service provider's authorised person or delegate</p> <p>2 Compliance audit of implementation                      Frequency: As per contract and procedures (typically every 4 months)                      Scope: Ensure Plan is being implemented                      By: Auditor or audit/review personnel</p>	<p><b>Requirements</b></p> <p>1 Review of Plan                      Frequency: As per contract and customer requirements and procedures (typically at commencement of contract and as determined by the performance of the service provider)                      Scope: Verify service provider is maintaining and implementing the Plan                      By: Customer's authorised person or delegate</p> <p>2 Compliance audit of implementation                      Frequency: As necessary in accordance with the assessed risk of nonconformity (typically review for each phase of the contract)                      Scope: Examine processes in accordance with the assessed risk of nonconformity                      By: Auditor or audit/review personnel</p>

**A contract requiring an accredited Quality Management System**

	Internal (1 <sup>st</sup> party) audit, organised and resourced by the service provider.	External (2 <sup>nd</sup> party) audit, organised and resourced by the customer.	Certification (3 <sup>rd</sup> party) audit, requested by the service provider
Inspection and Test Plan	<p><b>Requirements</b></p> <p>1 Review of process                      Frequency: Ongoing daily inspection                      Scope: Ensure:                      (a) Inspection and tests are carried out;                      (b) attendance as noted in ITP;                      (c) records of inspections and tests are maintained; and                      (d) work is acceptable or corrective action taken.                      By: Service provider's authorised person or delegate, eg site foreman</p> <p>2 Compliance audit/review of implementation                      Frequency: As per contract needs and procedures (typically every month)                      Scope: As for 1                      By: Auditor or project manager/officer</p>	<p><b>Requirements</b></p> <p>1 Surveillance and monitoring at Hold and Witness points.                      Frequency: At Hold and Witness Points                      Scope: Specified in contract documents                      By: Customer's authorised person or delegate</p> <p>2 Sighting initially and review with claims for payment                      Frequency: At provision and claims for payment (typically monthly)                      Scope: Satisfactory ITP provision/ implementation                      By: As for 1</p> <p>3 Compliance audit/review of implementation                      Frequency: As necessary in accordance with the assessed risk of nonconformity                      Scope: ITP being applied in accordance with procedures and records maintained                      By: Customer audit/review personnel</p>	<p><b>Requirement</b></p> <p>1 Check compliance with System procedures                      Frequency: As part of certification audit for conformity/ nonconformity with System procedures                      Scope: To meet the requirement of the System procedures                      By: Organisation and auditor acceptable to the customer</p>
Quality Management Plan	<p><b>Requirements</b></p> <p>1 Review and update of Plan                      Frequency: As per contract and procedures (typically every 4 months)                      Scope: Ensure Plan is current and meets requirements of the contract                      By: Service provider's authorised person or delegate</p> <p>2 Compliance audit of implementation                      Frequency: As per contract needs and procedures (typically every 4 months)                      Scope: Ensure Plan is being implemented                      By: Auditor or audit/review personnel</p>	<p><b>Requirements</b></p> <p>1 Review of Plan                      Frequency: As per contract and customer requirements and procedures (typically at commencement of contract and as determined by the performance of the service provider)                      Scope: Verify service provider is maintaining and implementing the Plan                      By: Customer's authorised person or delegate</p> <p>2 Compliance audit of implementation                      Frequency: As necessary in accordance with the assessed risk of nonconformity (typically review for each phase of the contract)                      Scope: Examine processes in accordance with the assessed risk of nonconformity                      By: Auditor or audit/review personnel</p>	<p><b>Requirement</b></p> <p>1 Check compliance with System procedures                      Frequency: As part of certification audit for conformity/ nonconformity with System procedures                      Scope: To meet the requirement of the System procedures                      By: Organisation and auditor acceptable to the customer</p>
Quality Management System	<p><b>Requirements</b></p> <p>1 Review of System                      Frequency: As described in System procedures to meet the requirements of the standard (typically every 12 months)                      Scope: Ensure System suitability, adequacy and effectiveness.                      By: Top management.</p> <p>2 Compliance and system audit                      Frequency: As described in System procedures to meet the requirements of the standard (typically on a 12 monthly program)                      Scope: Ensure System (a) meets requirements of standard and of the agency and (b) is effectively implemented and maintained.                      By: Auditor or audit/review personnel</p>	<p><b>Requirement</b></p> <p>1 Compliance audit/review of System                      Frequency:                      (a) At pre-registration/pre-qualification;                      (b) At tender (for some contracts);                      (c) During contract (in accordance with the risk of nonconformity)                      Scope: Verify System meets requirements of the agency                      By: Auditor or audit/review personnel</p>	<p><b>Requirements</b></p> <p>1 System and compliance audit (re-certification/agency assessment)                      Frequency: Every three years                      Scope: Requirement specified by certification organisation accredited as meeting JAS-ANZ or other scheme requirements or alternative acceptable to the agency                      By: Accredited certifying organisation auditor or alternative acceptable to the agency</p> <p>2 System and compliance audit of critical aspects                      Frequency: Typically every 6 months                      Scope: Requirement of the System procedures and/or specified by the customer                      By: Organisation and auditor acceptable to the customer</p>