CONSTRUCTION & FIELD OPS CONTRACTOR AUDIT TEMPLATE

Contractor Compliance Audit Checklist

Audit contractor approvals, licenses, insurance, workforce competency, onboarding, risk controls, permits, supervision, equipment, subcontractors, reporting, and corrective actions.

PROJECT / LOCATION	AUDIT DATE	CONTRACTOR	AUDITOR / APPROVER

1. Audit setup, contractor scope, and governance

1 **Confirm the project, site, audit date, contractor legal name, contract or package, responsible manager, auditor, approver, and escalation contacts.**

METADATA + GOVERNANCE

NAME Enter | TIME __:__ | SIGNATURE Sign

■ **Execution tip:** Use the contract package and current site organization chart so accountability is unambiguous.

2 **Define the contractor work scope, active work zones, subcontractors, workforce size, plant, temporary facilities, permits, and interfaces included in the audit.**

METADATA + GOVERNANCE

Sample	Expected	Actual	Result	Evidence

■ **Execution tip:** Include every active subcontractor and work front, not only the main contractor compound.

3 **Review the contract safety requirements, client rules, approved contractor obligations, reporting expectations, and any project-specific compliance conditions.**

METADATA + GOVERNANCE

EXPECTED ____ | ACTUAL ____ | VARIANCE ____ | Investigate

■ **Execution tip:** Compare written obligations with the controls actually being applied in the field.

4 **Review previous contractor audit findings, incidents, near misses, stop-work events, complaints, penalties, and overdue corrective actions before field verification.**

METADATA + GOVERNANCE

Finding	Owner	Priority	Due	Evidence

■ **Execution tip:** Use recurring findings to select higher-risk crews, supervisors, and work packages for sampling.

5 **Confirm the contractor has a current safety and health program appropriate to the work and has assigned competent supervision for the activities in scope.**

METADATA + GOVERNANCE

Compliant | Partially compliant | Non-compliant | N/A

■ **Execution tip:** Check that the program is active and implemented, not only uploaded as a tender document.

6 **Capture the audit start time, geo-location, work phase, contractor representative, and an approved reference photo of the contractor work area.**

METADATA + GOVERNANCE

Strong | Needs attention | Critical gap | Create action

■ **Execution tip:** Confirm the exact contractor work area before collecting photos and audit evidence.

2. Prequalification, licenses, insurance, and mandatory documents

7 **Verify contractor prequalification or approved-vendor status is current for the service, trade, risk class, and project being performed.** DOCUMENT + APPROVAL CHECK

Sample	Expected	Actual	Result	Evidence

■ **Execution tip:** Match approval status to the exact trade, work type, project, and risk classification.

8 **Confirm required business licenses, trade licenses, registrations, permits, certifications, and statutory approvals are current and match the contracted scope.** CRITICAL DOCUMENT + APPROVAL CHECK

EXPECTED ____ ACTUAL ____ VARIANCE ____ Investigate

■ **Execution tip:** Check issuing authority, scope, validity, restrictions, and renewal status for each required approval.

9 **Verify insurance certificates, policy limits, validity dates, endorsements, and other contractual coverage evidence meet current project requirements.** CRITICAL DOCUMENT + APPROVAL CHECK

Finding	Owner	Priority	Due	Evidence

■ **Execution tip:** Confirm policy dates and coverage evidence are valid on the audit date and for the contracted activity.

10 **Confirm required bonds, warranties, guarantees, or financial compliance documents are valid where the contract requires them.** DOCUMENT + APPROVAL CHECK

Compliant · Partially compliant · Non-compliant · N/A

■ **Execution tip:** Review contractual requirements before treating a missing financial document as non-compliance.

11 **Review the contractor document register for expiry dates, missing approvals, superseded documents, exceptions, and responsible owners.** CRITICAL DOCUMENT + APPROVAL CHECK

Strong · Needs attention · Critical gap · Create action

■ **Execution tip:** Use a single expiry register with owners and reminder dates for time-sensitive contractor documents.

12 **Confirm expired, missing, suspended, or conditionally approved documents trigger restriction, escalation, or re-approval before affected work continues.** CRITICAL DOCUMENT + APPROVAL CHECK

Current · Incomplete · Missing / expired · Attach record

■ **Execution tip:** Prevent work from continuing on assumptions when a mandatory approval cannot be verified.

3. Worker onboarding, induction, competency, and authorization

13 Verify sampled contractor workers completed required site induction, contractor orientation, access registration, and emergency briefing before starting work.

WORKFORCE + COMPETENCY

EXPECTED ___ | ACTUAL ___ | VARIANCE ___ | Investigate

■ **Execution tip:** Sample new starters and recently mobilized crews because onboarding gaps often occur during rapid mobilization.

14 Confirm identity, employer, trade, role, work authorization, and site access status can be matched to the current contractor workforce list.

CRITICAL | WORKFORCE + COMPETENCY

Finding	Owner	Priority	Due	Evidence

■ **Execution tip:** Match physical workers on site with the current approved workforce and access records.

15 Verify licenses, certificates, training, competency assessments, and operator authorizations are current for sampled safety-critical roles and tasks.

CRITICAL | WORKFORCE + COMPETENCY

Compliant | Partially compliant | Non-compliant | N/A

■ **Execution tip:** Check competency against the exact task and equipment rather than a generic training title.

16 Confirm competent persons, supervisors, operators, riggers, signalers, electricians, permit receivers, first aiders, and other required roles are formally assigned.

WORKFORCE + COMPETENCY

Strong | Needs attention | Critical gap | Create action

■ **Execution tip:** Confirm appointed persons understand the limits and responsibilities of their assigned role.

17 Check workers understand the hazards, controls, stop-work expectations, incident reporting process, emergency arrangements, and site rules relevant to their work.

CRITICAL | WORKFORCE + COMPETENCY

Current | Incomplete | Missing / expired | Attach record

■ **Execution tip:** Ask workers to explain the controls in their own words rather than relying only on signed attendance.

18 Confirm onboarding gaps, expired competency, role changes, or unapproved workers result in access restriction or reassignment until compliance is restored.

CRITICAL | WORKFORCE + COMPETENCY

Sample	Expected	Actual	Result	Evidence

■ **Execution tip:** Use access control or supervisor authorization to prevent unapproved deployment.

4. Risk assessments, method statements, permits, and change control

19 Verify current risk assessments, JHAs or JSAs, method statements, and work plans cover the actual contractor tasks, locations, tools, materials, and interfaces observed.

CRITICAL | RISK + PERMIT CONTROL

Finding	Owner	Priority	Due	Evidence

■ **Execution tip:** Compare the approved method statement with what the crew is actually doing at the work front.

20 Confirm required permits to work are approved, valid, task-specific, time-bound, and available for hot work, electrical isolation, confined space, excavation, lifting, or other controlled work.

CRITICAL | RISK + PERMIT CONTROL

Compliant | Partially compliant | Non-compliant | N/A

■ **Execution tip:** Check permit scope, location, time, issuer, receiver, isolations, and handback requirements.

21 Check the contractor has communicated task hazards and controls to the affected crew through pre-task planning, toolbox talks, or equivalent briefings.

CRITICAL | RISK + PERMIT CONTROL

Strong | Needs attention | Critical gap | Create action

■ **Execution tip:** Confirm the briefing reflects today's conditions and not a generic topic repeated for every shift.

22 Verify simultaneous operations, adjacent contractors, deliveries, public interfaces, and shared work areas are coordinated before conflicting activities proceed.

CRITICAL | RISK + PERMIT CONTROL

Current | Incomplete | Missing / expired | Attach record

■ **Execution tip:** Review interfaces before the work starts, especially where several contractors share the same area.

23 Confirm changes in scope, sequence, equipment, personnel, weather, location, or site conditions trigger review and reauthorization of risk controls where required.

CRITICAL | RISK + PERMIT CONTROL

Sample	Expected	Actual	Result	Evidence

■ **Execution tip:** Reassess controls when there is a material change instead of relying on the original approval.

24 Verify work is stopped, isolated, or returned for approval when the actual field conditions do not match the approved method, permit, or risk assessment.

CRITICAL | RISK + PERMIT CONTROL

EXPECTED ___ | ACTUAL ___ | VARIANCE ___ | Investigate

■ **Execution tip:** Empower supervisors and workers to stop work when field conditions fall outside the approved controls.

5. PPE, worker conduct, supervision, and site-rule compliance

25 **Observe sampled contractor workers and verify task-appropriate PPE is selected, fits properly, is compatible, serviceable, and worn correctly.**

PPE + SUPERVISION

Compliant | Partially compliant | Non-compliant | N/A

■ **Execution tip:** Observe workers during normal production rather than only during a formal safety walk.

26 **Confirm contractor supervisors are present at the level required by the project and actively monitor high-risk work, access, behavior, and changing conditions.**

CRITICAL | PPE + SUPERVISION

Strong | Needs attention | Critical gap | Create action

■ **Execution tip:** Check supervision during the highest-risk period of the task, not only at shift start.

27 **Verify workers follow barricades, exclusion zones, traffic routes, access controls, housekeeping rules, smoking restrictions, and other project requirements.**

CRITICAL | PPE + SUPERVISION

Current | Incomplete | Missing / expired | Attach record

■ **Execution tip:** Walk the same access routes and boundaries used by contractor crews to verify actual compliance.

28 **Check unsafe shortcuts, bypassed guards, unauthorized modifications, poor housekeeping, impairment concerns, or repeated behavioral violations are addressed immediately.**

PPE + SUPERVISION

Sample	Expected	Actual	Result	Evidence

■ **Execution tip:** Record the unsafe behavior and the system condition that allowed or encouraged it.

29 **Confirm contractor PPE, tools, materials, waste, temporary storage, and welfare arrangements do not create additional risk to other workers or the public.**

CRITICAL | PPE + SUPERVISION

EXPECTED ____ | ACTUAL ____ | VARIANCE ____ | Investigate

■ **Execution tip:** Inspect storage, waste, welfare, and temporary arrangements at peak occupancy or activity.

30 **Verify safety observations, coaching, disciplinary actions, recognition, and supervisor follow-up are documented consistently when contractor behavior requires intervention.**

CRITICAL | PPE + SUPERVISION

Finding	Owner	Priority	Due	Evidence

■ **Execution tip:** Use repeated behavior trends to target coaching, supervision, or contractor management action.

6. Plant, tools, vehicles, lifting, and equipment compliance

31 Verify contractor-owned or hired plant, vehicles, tools, lifting equipment, and safety devices are approved for site use and uniquely identifiable where required.

PLANT + EQUIPMENT

Strong | Needs attention | Critical gap | Create action

- **Execution tip:** Match equipment identification to approval, inspection, maintenance, and certification records.

32 Confirm pre-use checks, inspections, maintenance records, statutory examinations, certificates, and defect history are current for sampled equipment.

CRITICAL | PLANT + EQUIPMENT

Current | Incomplete | Missing / expired | Attach record

- **Execution tip:** Sample both frequently used equipment and higher-risk items with recent repairs or defects.

33 Verify operators and users are authorized and competent for the exact plant, vehicle, lifting role, powered tool, or specialist equipment being used.

CRITICAL | PLANT + EQUIPMENT

Sample	Expected	Actual	Result	Evidence

- **Execution tip:** Verify competency is current and specific to the equipment or lifting role being performed.

34 Inspect guards, brakes, alarms, lights, seat belts, emergency stops, electrical leads, lifting accessories, and other critical safeguards for safe condition.

PLANT + EQUIPMENT

EXPECTED ____ | ACTUAL ____ | VARIANCE ____ | Investigate

- **Execution tip:** Inspect the equipment while configured for the task and, where safe, during operation.

35 Confirm defective, overdue, unapproved, or unsafe equipment is tagged, isolated, removed from service, and prevented from inadvertent use.

CRITICAL | PLANT + EQUIPMENT

Finding	Owner	Priority	Due	Evidence

- **Execution tip:** Physically prevent use of unsafe equipment until repair and release are verified.

36 Verify deliveries, reversing, lifting, loading, unloading, fueling, charging, and equipment movement are coordinated with exclusion zones and site traffic controls.

CRITICAL | PLANT + EQUIPMENT

Compliant | Partially compliant | Non-compliant | N/A

- **Execution tip:** Observe live traffic and lifting interfaces because parked equipment may hide operational risks.

7. High-risk work, isolations, access, and environmental controls

37 Verify contractor controls for work at height, scaffolds, ladders, excavations, electrical work, confined spaces, hot work, lifting, and other high-risk activities match the approved plan.

CRITICAL | HIGH-RISK WORK CONTROL

Current | Incomplete | Missing / expired | Attach record

■ **Execution tip:** Prioritize controls that can prevent fatal or serious injury during the actual high-risk work.

38 Confirm energy isolation, lockout or tagout, test-for-dead, stored-energy release, and handback controls are followed where contractor work could expose people to hazardous energy.

CRITICAL | HIGH-RISK WORK CONTROL

Sample	Expected	Actual	Result	Evidence

■ **Execution tip:** Trace one isolation from authorization through application, verification, work, and final handback.

39 Inspect access routes, temporary platforms, edge protection, barricades, floor openings, excavations, and work fronts used by the contractor for safe condition.

CRITICAL | HIGH-RISK WORK CONTROL

EXPECTED ___ | ACTUAL ___ | VARIANCE ___ | Investigate

■ **Execution tip:** Inspect changing access routes after material movement, excavation, or work-front changes.

40 Verify fire prevention, gas-cylinder control, hazardous-material storage, spill response, dust, noise, ventilation, lighting, heat, and waste controls are appropriate to the task.

CRITICAL | HIGH-RISK WORK CONTROL

Finding	Owner	Priority	Due	Evidence

■ **Execution tip:** Match environmental and fire controls to the materials, process, location, and duration of work.

41 Confirm contractor emergency arrangements include communication, rescue or recovery where needed, evacuation, first aid, fire response, and accountability for contractor workers.

CRITICAL | HIGH-RISK WORK CONTROL

Compliant | Partially compliant | Non-compliant | N/A

■ **Execution tip:** Include contractor headcount and specialist rescue needs in emergency readiness checks.

42 Verify critical safety controls are checked before work starts and rechecked after significant changes, interruptions, severe weather, or other conditions that could reduce effectiveness.

CRITICAL | HIGH-RISK WORK CONTROL

Strong | Needs attention | Critical gap | Create action

■ **Execution tip:** Recheck critical controls after interruptions or changes that could invalidate the earlier assessment.

8. Subcontractor control, workforce records, and site coordination

43 **Confirm subcontractors used by the primary contractor are disclosed, approved, and subject to the same applicable prequalification, onboarding, and site-control requirements.**

SUBCONTRACTOR COORDINATION

Sample	Expected	Actual	Result	Evidence

Execution tip: Do not allow an unapproved subcontractor to operate under another contractor's credentials.

44 **Verify the primary contractor maintains a current list of subcontractors, workers, supervisors, competencies, access status, and work scopes active on the project.**

CRITICAL | SUBCONTRACTOR COORDINATION

EXPECTED ____ | ACTUAL ____ | VARIANCE ____ | Investigate

Execution tip: Compare sign-in and access data with the contractor workforce register to find unrecorded workers.

45 **Confirm hazards and control measures created by contractor work are communicated to the client, general contractor, adjacent employers, and affected teams before work begins and when conditions change.**

CRITICAL | SUBCONTRACTOR COORDINATION

Finding	Owner	Priority	Due	Evidence

Execution tip: Share both site hazards and hazards introduced by contractor work before affected work begins.

46 **Check coordination meetings, look-ahead planning, handovers, permit interfaces, shutdowns, deliveries, and simultaneous operations identify and resolve contractor conflicts.**

SUBCONTRACTOR COORDINATION

Compliant | Partially compliant | Non-compliant | N/A

Execution tip: Use coordination meetings to resolve conflicts before crews arrive at the shared work area.

47 **Verify subcontractor non-compliance is assigned to a responsible contractor manager and is not treated as outside the primary contractor control process.**

CRITICAL | SUBCONTRACTOR COORDINATION

Strong | Needs attention | Critical gap | Create action

Execution tip: Assign subcontractor findings through the primary contractor management chain for accountable closure.

48 **Confirm temporary labor, agency workers, visitors, and specialist vendors are included in contractor controls when they perform or support work within the contracted scope.**

CRITICAL | SUBCONTRACTOR COORDINATION

Current | Incomplete | Missing / expired | Attach record

Execution tip: Include short-duration specialists and temporary labor in the same minimum control framework.

9. Performance monitoring, incidents, inspections, and reporting

49 **Review contractor inspection frequency, safety observations, leading indicators, corrective-action closure, training completion, permit performance, and other agreed compliance metrics.**

PERFORMANCE + INCIDENTS

EXPECTED ___ | ACTUAL ___ | VARIANCE ___ | Investigate

Execution tip: Use agreed leading and lagging measures so contractor performance can be compared consistently.

50 **Confirm incidents, injuries, near misses, property damage, environmental events, and high-potential exposures are reported within the required time and escalation route.**

CRITICAL | PERFORMANCE + INCIDENTS

Finding	Owner	Priority	Due	Evidence

Execution tip: Check reporting time, recipient, initial containment, and evidence for recent events.

51 **Verify contractor incident investigations identify immediate and underlying causes, involved personnel, failed controls, responsible owners, and prevention actions.**

CRITICAL | PERFORMANCE + INCIDENTS

Compliant | Partially compliant | Non-compliant | N/A

Execution tip: Trace one investigation through action completion to verify learning was implemented.

52 **Check required inspection reports, toolbox records, equipment defects, workforce changes, permit data, exposure records, and compliance submissions are complete and traceable.**

PERFORMANCE + INCIDENTS

Strong | Needs attention | Critical gap | Create action

Execution tip: Look for missing or suspicious records, not only whether a document folder exists.

53 **Compare repeated findings across crews, subcontractors, shifts, supervisors, work zones, and activity types to identify systemic contractor performance gaps.**

CRITICAL | PERFORMANCE + INCIDENTS

Current | Incomplete | Missing / expired | Attach record

Execution tip: Group repeated findings by contractor, supervisor, work type, and cause to expose systemic weakness.

54 **Confirm serious, repeated, overdue, or high-potential contractor failures trigger management review, increased oversight, work restriction, or requalification where required.**

CRITICAL | PERFORMANCE + INCIDENTS

Sample	Expected	Actual	Result	Evidence

Execution tip: Define clear thresholds for additional oversight, suspension, requalification, or management escalation.

10. Findings, corrective actions, escalation, and contractor sign-off

55 Calculate the contractor compliance result and summarize critical gaps, expired requirements, recurring failures, restricted work, and areas requiring management attention.

CRITICAL | ACTION + SIGN-OFF

Finding	Owner	Priority	Due	Evidence

■ **Execution tip:** Separate immediate work restrictions from longer-term contractor system improvements.

56 Create immediate containment for every critical document, competency, permit, supervision, equipment, safety-control, or unauthorized-work failure.

CRITICAL | ACTION + SIGN-OFF

Compliant | Partially compliant | Non-compliant | N/A

■ **Execution tip:** Document what was stopped, isolated, removed, or restricted before normal work resumed.

57 Assign each finding an owner, priority, due date, root-cause requirement, corrective action, interim control, and closure-evidence rule.

CRITICAL | ACTION + SIGN-OFF

Strong | Needs attention | Critical gap | Create action

■ **Execution tip:** Use short due dates for immediate risk and realistic dates for permanent preventive action.

58 Escalate overdue, repeated, high-risk, contractual, legal, or stop-work findings to the required contractor and project-management level.

CRITICAL | ACTION + SIGN-OFF

Current | Incomplete | Missing / expired | Attach record

■ **Execution tip:** Track acknowledgment, interim control, revised due date, and management approval for escalated findings.

59 Verify closure through approved documents, renewed certificates, retraining, corrected permits, equipment proof, field observation, worker interviews, or repeat audit.

CRITICAL | ACTION + SIGN-OFF

Sample	Expected	Actual	Result	Evidence

■ **Execution tip:** Do not close findings solely from emailed confirmation; verify objective evidence or field conditions.

60 Record the final contractor status, remaining restrictions, conditional approvals, next review date, contractor representative, auditor, approver, date, time, and signature.

CRITICAL | ACTION + SIGN-OFF

NAME Enter | TIME __:__ | SIGNATURE Sign

■ **Execution tip:** Keep conditional approval or work restrictions visible until every release requirement is satisfied.