

Scope of Work: Third Party Compliance Audit

1. Overview:

The selected agency shall be responsible for conducting an independent, physical compliance audit across various HZL operational units. The audit must cover:

- Assessment of compliance with all applicable statutory laws, regulatory requirements, and internal HZL policies.
- Evaluation of the effectiveness and deployment of the existing compliance tool/system used across locations.
- Identification of any compliance gaps and provision of actionable recommendations.
- Verification of records, physical infrastructure, and processes related to legal, environmental, health, and labor compliances etc.

2. Key Terms and Conditions:

- The engagement will be carried out by a team of 4–5 qualified domain experts, each having a minimum of 4 years of experience in conducting compliance audits for large-scale industrial organizations.
- The team must include specialists with experience in the following domains:
 - Mining Law
 - Factories Law
 - Environmental Law
 - Safety Regulations
 - Labour and Welfare Laws
- The agency shall follow a structured approach comprising three phases. Pre-Audit: Share a detailed checklist/info requirements at least 20 days in advance and coordinate with HZL site compliance officers. During Audit: Conduct opening and closing meetings, review documents, inspect facilities, assess the compliance tool, and classify findings by criticality (High/Medium/Low). Post-Audit: Submit site-wise reports and scorecards, a consolidated compliance report, and suggest CAPA with timelines.