



TQCSI POLICY FOR AUDITING & CERTIFICATION TO ISO 45001

In addition to the General Policy which applies to all Standards, this policy describes interpretations of the requirements for auditing and certification of safety management systems to ISO 45001 made by TQCSI's Certification Approval Panel. It complements TQCSI Work Instruction 36B (ISO 45001) which should also be referred to by auditors when auditing clients' safety management systems.

A **minor nonconformance** is to be raised where:

- a discrepancy which has the potential to have a significant impact on the effectiveness of the safety management system has not been addressed since being raised at a previous audit
- a serious discrepancy or a number of like discrepancies indicate there is a breakdown in part of the safety management system or a safe and healthy working environment is jeopardised
- risk assessments have not been undertaken for sites, significant equipment or key work processes
- objectives of the safety management system are not established or monitored
- there is a significant breach of legislation or a regulatory requirement
- there is an OHS hazard that is not controlled and could cause serious injury.

A **major nonconformance** is to be raised where:

- the agreed action plan to address a minor nonconformance has not been implemented
- a serious discrepancy or a number of like discrepancies indicate there is a total breakdown in the safety management system or there is direct evidence of a high risk of serious injury or death
- there is a very significant breach of legislation or a regulatory requirement
- there is a very serious OHS hazard that is not controlled and could cause death or permanent disability.

Timeframe for major nonconformances

When a major nonconformance is raised, the respective Audit Team Leader or General Manager is to consider the risk when deciding on the time frame for the client to satisfactorily address the nonconformance. The time frame is not to be greater than three months (unless initial certification is being sought) but is to be much shorter if there is a risk to public safety. As a guide:

- major NCR related to document control, management review, training etc - 3 months
- major NCR related to meeting safety objectives - 2 months
- major NCR related to workplace safety - 1 month
- major NCR posing an immediate or serious threat to workplace safety – 1 week.

General:

- Risk assessments must be undertaken of:
 - sites (client's premises and all temporary sites)
 - equipment which could cause harm
 - work processes.
- Controls must be implemented for all hazards identified in risk assessments, based on the level of risk identified.
- All hazards, their controls and risk assessment should be summarised on a register (often referred to as a Hazards Register or Job Hazards Analysis (JHA) for site projects). The registers must be regularly reviewed.
- Safety related objectives must be identified, documented and reviewed in a plan.
- Safety Data Sheets (SDS, formerly known as MSDS) must be retained on file (hard copy or electronically) in reasonable proximity to where they are stored and used, including at temporary sites. Alternatively, a summary of the SDS or a procedure describing the controls required for the storage, use and disposal of the hazardous substance may be used in lieu, as long as the respective SDS is accessible by the client.
- Clients must demonstrate a robust system which ensures they have access to, and are aware of, any relevant changes made to legislation, regulations, codes of practice, standards and licences that may relate to their operations.

Approved: *original signed*

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