



## Fact Sheet

# Corrective actions and the auditing process

As part of the Australian Government Building and Construction OHS Accreditation Scheme (the Scheme), companies are required to undergo onsite audits to both become accredited and maintain accreditation. At any onsite audit, a corrective action (CAR) can be raised. This fact sheet outlines what constitutes a CAR, how companies should address them, and how they are reviewed by the OFSC.

### What is a corrective action?

A CAR is a formal finding made by Federal Safety Officers (FSOs) during the auditing process to identify where companies need to take further action. An FSO raises a CAR when they determine that a certain aspect of the system being audited does not conform to the OFSC audit criteria. This assessment is based on their review of documentary evidence and observation of onsite activities.

### What types of corrective actions are there?

There are two levels of CARs that can be raised as a result of OFSC audits. These are major and minor non-conformances.

A major non-conformance is where there is an absence of a documented system, or the failure to implement and maintain an established documented system, in relation to a specific criterion.

A minor non-conformance is where there is a partially documented system, or the partial implementation and maintenance of an established documented system, in relation to a specific criterion.

### How should corrective actions be addressed?

Companies are required to address all CARs by providing an initial action plan of proposed actions, accompanied by documentary evidence of completed actions (for example, amended procedures, forms or meeting minutes).

This information is generally required within 30 days of a company receiving their audit report and is requested in the letter accompanying the audit report.

The audit report should provide sufficient detail to allow the company to understand the issue and the action required.

If you are unclear on any aspect of your report you should contact the OFSC Audit Team as soon as possible to clarify.

This fact sheet is correct as of 7 May 2009. Produced by the Office of the Federal Safety Commissioner.

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### What happens after I have addressed a corrective action?

Once the OFSC receives evidence from a company, it is reviewed to make sure that sufficient information has been provided, and that sufficient actions have been taken to warrant onsite verification. The OFSC will write to you once your evidence has been assessed to let you know the next steps—generally a follow up audit.

These audits can be scheduled immediately or some months later depending on the number, level and severity of the CARs, and the availability of suitable sites for audit.

### How are they closed out?

CARs can not be closed based on paperwork alone, they are always reviewed onsite, regardless of the level of action needed to be taken. This is so that the FSO can verify implementation on site.

Following an onsite review, the FSO will make an assessment of whether the CAR can be closed out. In some cases, the level of the CAR may be upgraded or downgraded. The FSO will follow the same process as in the initial audit to make this determination.

Regardless of the outcome of a follow up audit, companies are always provided with a copy of the audit report and advised in writing of any next steps.

Other fact sheets in this series can be found at **fsc.gov.au**:

- Auditing and the OHS Accreditation Scheme
- Federal Safety Officers
- Powers of Federal Safety Officers
- Federal Safety Officer Code of Conduct

Also available:

- OFSC Audit Criteria

### For further information you can:

- visit the FSC website at **fsc.gov.au**
- contact the FSC Assist Line on **1800 652 500**
- contact the OFSC via email at **ofsc@deewr.gov.au**

