

What's the difference between authorisation and audit processes?

ASPECT	AUTHORISATION OF COMPLIANCE CERTIFIERS (INITIAL/RENEWAL/VARIATION)	AUDIT OF COMPLIANCE CERTIFIERS
Purpose	<ul style="list-style-type: none"> – The process assesses whether an individual or body corporate is qualified to become a compliance certifier for the compliance categories they have applied for, is fit and proper, and is likely to perform in an objective manner that promotes safety. 	<ul style="list-style-type: none"> – The process assesses whether a compliance certifier has performed their role in accordance with the Hazardous Substances Regulations and any relevant safe work instruments, and performance standards for the compliance certificates they are authorised to issue, and continues to perform in an objective manner that promotes safety.
When They Happen	<ul style="list-style-type: none"> – Before WorkSafe authorises an individual or body corporate to issue compliance certificates, and again when they apply to renew or vary their authorisation. 	<ul style="list-style-type: none"> – After a compliance certifier becomes authorised and during the period of their authorisation. Audits are required to be conducted at least once every four years, or sooner if risks or concerns are identified.
What They Focus On	<ul style="list-style-type: none"> – The process focuses on an applicant's (individual or body corporate) practical experience and knowledge of the compliance categories applied for, their fit and proper status, and their ability to ensure that the functions of a compliance certifier are performed in an objective manner that promotes safety. – For existing compliance certifiers, the process focuses on the certifiers application of the regulations to deliver certification for the compliance categories they are authorised for and have applied to renew. – For a body corporate, the process also includes the assessment results provided by IANZ on behalf of the Accreditation Council. 	<ul style="list-style-type: none"> – The process focuses on a compliance certifier's ability to deliver certification for the compliance categories they are authorised for, by demonstrating effective systems and processes are applied during the term of their authorisation, including decision making and record keeping.
How They Are Assessed	<ul style="list-style-type: none"> – WorkSafe reviews the applicant's evidence of knowledge and practical experience, credentials, declarations, and systems and procedures against the compliance categories sought and the certification requirements of the Hazardous Substances Regulations, relevant performance standards and safe work instruments. 	<ul style="list-style-type: none"> – WorkSafe (or external auditors) reviews the work delivered by compliance certifiers, including selected certificates issued and the systems and processes used to meet the requirements of the Hazardous Substances Regulations, relevant safe work instruments, performance standards, and their authorised compliance categories.
Possible Outcomes	<ul style="list-style-type: none"> – WorkSafe may grant or decline an application for authorisation either partially or in full for the compliance category/categories applied for. – Conditions may also be applied to an authorisation if deemed necessary. 	<ul style="list-style-type: none"> – WorkSafe issues an audit report, which may require corrective actions, follow-up audits, or, where risk is significant, an investigation, and may inform decisions on renewal, variation, or further regulatory action.