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Construction Logistics and Community Safety – Australia

Audit and Accreditation Business Rules and Standards



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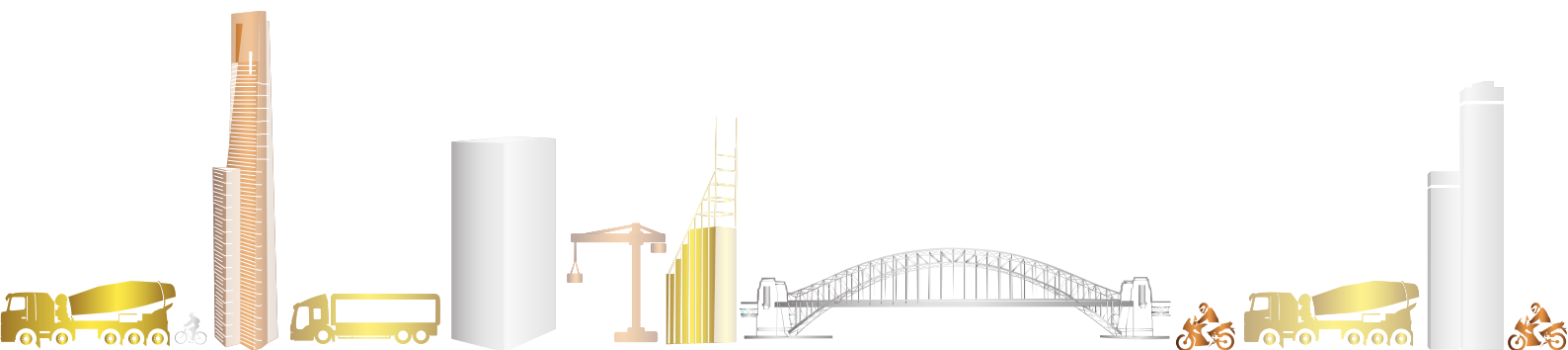
2 Introduction

Construction Logistics and Community Safety Australia (CLOCS-A) is a national standard developed to promote strategies and practices designed to better manage the risks and impacts associated with a construction project's transport and logistics activities to improve community road safety.

Founded in 2023, the CLOCS-A Standard is the result of the collaborative effort of industry, government, and community road user groups.

The CLOCS-A Standard sets out the minimum requirements and specifications for key stakeholders involved in a construction supply chain, ranging from Regulators/ Authorities, Clients/ Developers, Construction Principal Contractors, and Transport Companies to achieve the CLOCS-A Standard's Bronze, Silver or Gold accreditation.

Accreditation to the CLOCS-A Standard is only awarded once an organisation has passed an external verification audit. Organisations seeking to remain accredited to the CLOCS-A Standard need to demonstrate ongoing achievement of the Standard's elements by successfully passing the biennial self-assessment and audit process.



3 Purpose

The Purpose of the CLOCS-A Audit and Accreditation Business Rules and Standards is to set out the rules and requirements for:

- Organisations seeking to gain and maintain accreditation to the CLOCS-A Standard; and
- Professionals seeking to become certified to the CLOCS-A Auditor requirements.

4 Membership application

Any individual or organisation can apply to become a member of the CLOCS-A community as a “CLOCS-A Champion”.

Membership can be applied for by completing the [online membership application](#) form and submitting to: admin@clocs-a.org.au

Membership as a CLOCS-A Champion provides access to the CLOCS-A community network and resources, however, does not result in accreditation.

Organisations seeking to become accredited to the CLOCS-A Standard will need to apply for accreditation to the CLOCS-A Managing Body (see following sections).

Accreditation to the CLOCS-A Standard is gained following the passing of an Entry-audit to the scheme.

The following sections outline the process for gaining and maintaining accreditation to the CLOCS-A Standard.

5 Accreditation - Entry into the program

Organisations seeking to gain accreditation to the CLOCS-A Standard must successfully pass an entry audit and be approved by the CLOCS-A Managing Body as an “Accredited CLOCS-A organisation”.

The CLOCS-A entry audit must be completed within the first 3 months of applying for accreditation (see section 6).

Passing an entry audit means achieving either zero non-conformances (NCR) or having only opportunities for improvement (OFI) identified from the audit.

Organisations who do not pass the initial entry audit, will have an opportunity to complete a follow-up audit or review to demonstrate successful close-out of the initial entry-audit findings.

To apply for CLOCS-A Accreditation, organisations will need to complete the [online accreditation application](#) form and submit to: admin@clocs-a.org.au

6 Accreditation period

Accreditation to CLOCS-A is granted from the date listed on the CLOCS-A Accreditation certificate and remains valid for a period of 12 months at which time the accreditation must be renewed.

Accreditation to the CLOCS-A Standard is renewed through passing the biennial self-assessment or a CLOCS-A reaccreditation audit every other year.

Details of the self-assessment and reaccreditation audits are outlined in the following sections.

7 Fees and charges

7.1 Membership fees

Membership as a CLOCS-A Champion involves an annual membership fee to CLOCS-A.

Membership fees are calculated by the CLOCS-A Managing Body and based on the annual turnover and status of the organisation.

Membership fees are listed on the CLOCS-A website at: <https://clocs-a.org.au/>

Where membership fees are overdue, the CLOCS-A Managing Body will contact the overdue organisation notifying of the lapse in membership payment.

Where membership fees are not paid for by the overdue organisation within 21 days, the CLOCS-A Managing Body reserves the right to cancel the organisations membership including access to the membership portal, resources, and support services.

7.2 Audit Fees

CLOCS-A has developed a schedule of rates outlining the indicative cost of an accreditation audit. Audit fees shall be capped to this schedule and will be reviewed annually.

Indicative audit fees have been calculated based on current industry standards for audits taking into consideration the audit type, time involved in review of documentation, and conducting site verification activities.

Final audit fees are not set by the CLOCS-A Managing Body, these are set by the auditor engaged to perform the respective audit. The schedule of rates are for audit activities and may be subject to additional fees such as travel, accommodation and other incidentals, which will be in agreement between the applicant organisation and the engaged auditor.

7.2.1 Entry Audit

Entry audits should not exceed a value of \$1500 + GST excluding additional charges.

7.2.2 Self-assessment

For organisations seeking to maintain their accreditation a self-assessment must be completed and submitted every second year to the CLOCS-A Managing Body. Review of self-assessments will be undertaken by an

auditor appointed by the CLOCS-A Managing Body.

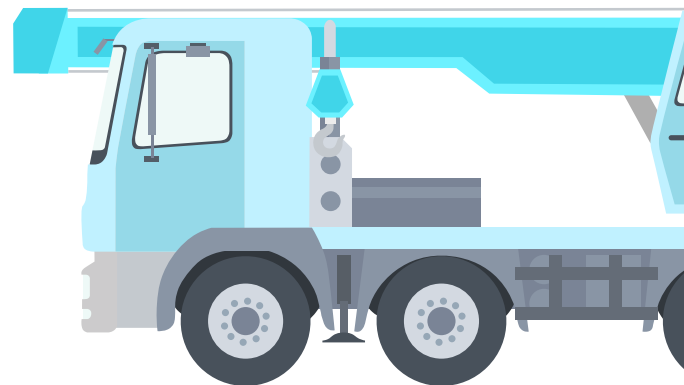
Site visits are not required as part of the self-assessment; however, sufficient information must be supplied to answer the self-assessment questionnaire and further evidence may be requested by CLOCS-A to verify compliance to the CLOCS-A standard and ensure reaccreditation of the organisation.

Fees for the Self-Assessment audit form processing are \$750 +GST.

7.2.3 Re-accreditation audit

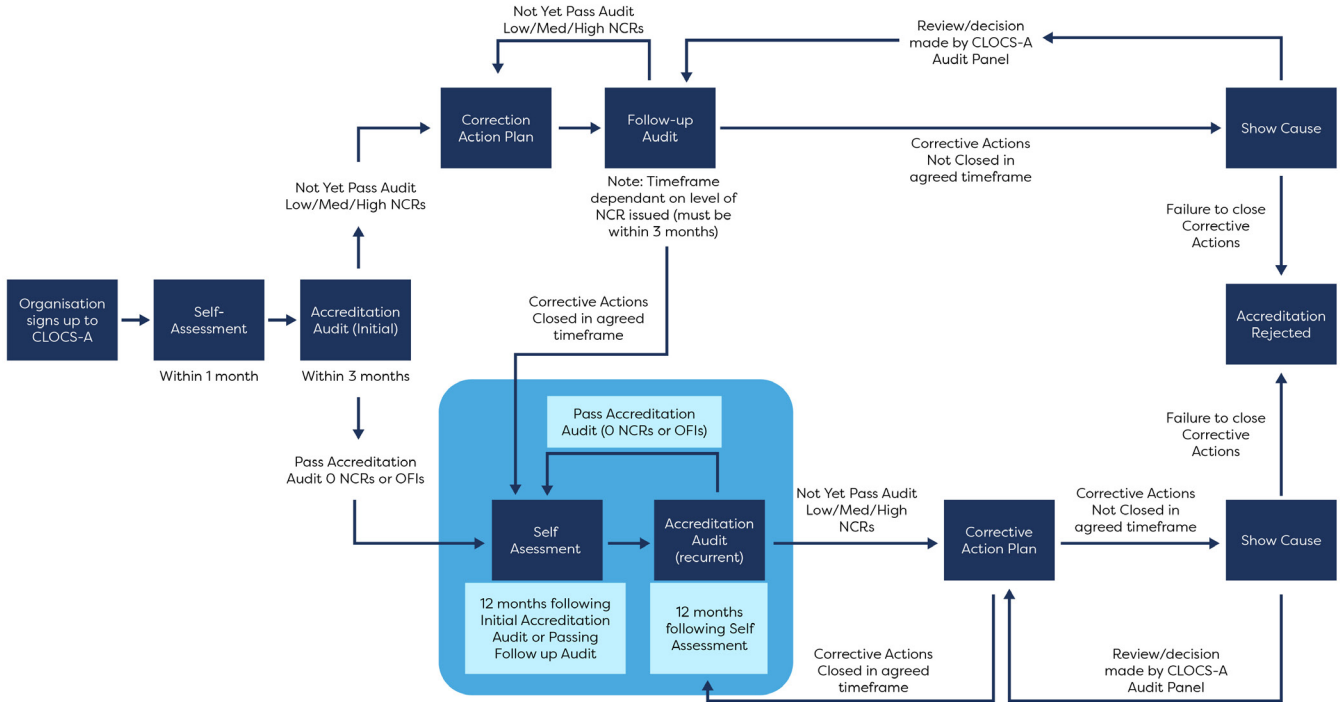
Re-accreditation audits are similar in nature to the entry audit, however, should not require as much time, such audits typically take 1 full day and fees are charged by the respective auditor.

CLOCS-A reaccreditation audits should not exceed \$1000 + GST excluding additional charges.



8 Audit

8.1 Overview of audit process



8.2 Types of audits and timing

The following self-assessments and audits are required alongside their timeframes for completion to maintain accreditation to the CLOCS-A Standard:

- **Initial Self-Assessment:** Completed within 1 month of applying for accreditation.
- **Entry Accreditation Audit:** Completed within first 3 months of applying for accreditation.
- **Biennial Self-Assessment:** Completed within 12 months of the Entry Accreditation Audit and every other year to the Reaccreditation audit.
- **Biennial Reaccreditation Audit:** Completed within 12 months of submission of Self-Assessment and every other year to the Self-Assessment.
- **Other audits:** Triggered and random audits may also be initiated at any time by CLOCS-A Managing Body. At least 2 weeks' notice will be given to the organisation prior to the audit.

8 Audit

8.3 Initial Self-assessment

An Initial Self-Assessment Questionnaire must be completed by the Organisation applying for accreditation to the CLOCS-A Standard.

The initial self-assessment must be completed and submitted alongside the required supporting evidence to the CLOCS-A Managing Body within 1 month of receiving the CLOCS-A Initial Self-Assessment Questionnaire.

Supporting evidence will need to be submitted by the organisation against applicable sections of CLOCS-A Standard.

The Self-Assessment will be reviewed by an approved auditor appointed by the CLOCS-A Managing Body and shall be used to identify key areas to focus on during the entry audit, this will lead to a more efficient audit process for both parties.

Once the initial self-assessment form is reviewed, the CLOCS-A auditor will liaise with the organisation to confirm the entry-audit scope and plan including confirming an appropriate date and time.

8.4 Entry audit

An entry-audit must be completed within 3 months of submitting the Initial Self-Assessment.

Audit Scope:

- Desktop review of management system, documents, and records against applicable sections of CLOCS-A Standard
- Physical site verification of implementation of CLOCS-A Standard
- **Transport Operators** – heavy vehicles nominated for CLOCS-A Accreditation will require provision of documentation evidencing compliance and a vehicle inspection.
- **Principal Contractors** – CLOCS-A nominated sites will be subject to a site visit to verify compliance to the Standard.

Accreditation will only be granted by the CLOCS-A Managing Body once the entry audit is “Passed” by organisation.

Passing the CLOCS-A entry-audit means achieving zero NCRs or only OFI’s.

Organisations who pass the CLOCS-A entry audit will be issued with the following:

- Letter confirming CLOCS-A entry and accreditation
- Certificate of CLOCS-A accreditation; and
- Identification labels for each CLOCS-A nominated vehicle.

The accreditation date will be issued on the Certificate of CLOCS-A accreditation and remain valid for 12 months from this date.

8.5 Follow-up audit

Where NCRs are raised from the entry-audit, a Corrective Action Plan (CAP) will be developed between the CLOCS-A auditor and auditee alongside agreed timeframes for close-out.

Follow-up audits may be required of the organisation where the nature of NCRs raised are assessed as medium risk or higher.

Timing for follow-up audits is subject to the risk and criticality of findings and will be agreed between the auditor and the auditee.

Successful close-out of audit findings (NCRs) from the follow-up audit will allow the organisation to proceed with gaining accreditation to the CLOCS-A Standard.

Organisations will only be granted accreditation to CLOCS-A once corrective actions are closed out.

Where an organisation fails to close out corrective actions in the agreed timeframe, they may be granted an extension subject to the discretion of the CLOCS-A Managing Body.

If an organisation fails to close out corrective actions by the extension date granted, organisations will be given the opportunity to show cause. The CLOCS-A Managing Body will then make a decision on whether to grant an extension to the organisation or reject the application for accreditation.

Where an organisation’s application for accreditation is rejected by the CLOCS-A Managing Body, the organisation will need to reapply for an Entry-audit to CLOCS-A.

8 Audit

8.6 Biennial self-assessment and re-accreditation audit

8.6.1 Self-assessment

Self-assessments must be completed every second year by organisations seeking to maintain their accreditation.

Biennial self-assessments are completed by submitting the Biennial self-assessment form through the online membership portal and must be submitted alongside any evidence requested by the eleventh month of the organisation's accreditation period.

A review of self-assessments is undertaken by an auditor appointed by the CLOCS-A Managing Body.

Site visits are not required as part of the self-assessment; however, sufficient information must be supplied to answer the self-assessment questionnaire. Further evidence may be requested by CLOCS-A in order to verify compliance to the CLOCS-A standard and to reaccredit the organisation.

Accreditation will only be granted by the CLOCS-A Managing Body once the self-assessment is "Passed" by organisation.

Passing the CLOCS-A self-assessment requires achieving zero NCRs or only OFI's.

The accreditation date will be issued on the new CLOCS-A Accreditation certificate and remain valid for 12 months from this date.

8.6.2 Reaccreditation audit

A biennial reaccreditation audit must be completed every other year to the Self-Assessment, by the eleventh month of the organisation's accreditation period.

The reaccreditation audit will involve a desktop review of the organisation's management system, documents, and records against applicable sections of CLOCS-A Standard. In addition, a sampling of the organisation's fleet and sites will be required as per the following:

Transport Operators – minimum of 20% of heavy vehicles nominated for CLOCS-A Accreditation will be subject to sampling compliance documentation; and subject a vehicle inspection.

Principal Contractors – a minimum of 20% of CLOCS-A nominated sites will be subject to a site visit verifying compliance to the CLOCS-A Standard. The Principal Contractor's largest operational sites will be prioritised for such audits.

Accreditation will only be granted by the CLOCS-A Managing Body once the reaccreditation audit is

"Passed" by organisation.

Passing the CLOCS-A reaccreditation audit requires achieving zero NCRs or only OFI's.

The accreditation date will be issued on the new CLOCS-A Accreditation certificate and remain valid for 12 months from this date.

8.7 Triggered audit

Following any substantiated complaint, serious incident, repeated non-compliances, failure to provide evidence as part of Biennial self-assessment, or other circumstances brought to the attention of the CLOCS-A Managing Body, triggered audits may be conducted of CLOCS-A accredited organisations.

Where an organisation fails to cooperate with any triggered audit, that organisation's CLOCS-A accreditation will be suspended.

Organisations must pass the triggered audit to regain accreditation to CLOCS-A.

Where triggered audits identify organisations not complying with the requirements of their accreditation, organisation will be required to "show cause".

Where an organisation fails to show cause, their accreditation may be suspended or terminated by the CLOCS-A Managing Body in consultation with the CLOCS-A Board.

8.8 Random audit

Random audits may be conducted at any time, for any reason after accreditation is granted to CLOCS-A Organisation.

Where an organisation fails to cooperate with any random audit, that organisation's CLOCS-A accreditation will be suspended.

Organisations must pass the random audit to regain accreditation to CLOCS-A.

Where random audits identify organisations are not complying with the requirements of their accreditation, organisation will be required to "show cause"

Where organisations fail to show cause, their accreditation may be suspended or terminated by the CLOCS-A Managing Body in consultation with the CLOCS-A Board.

8 Audit

8.9 Corrective action plan

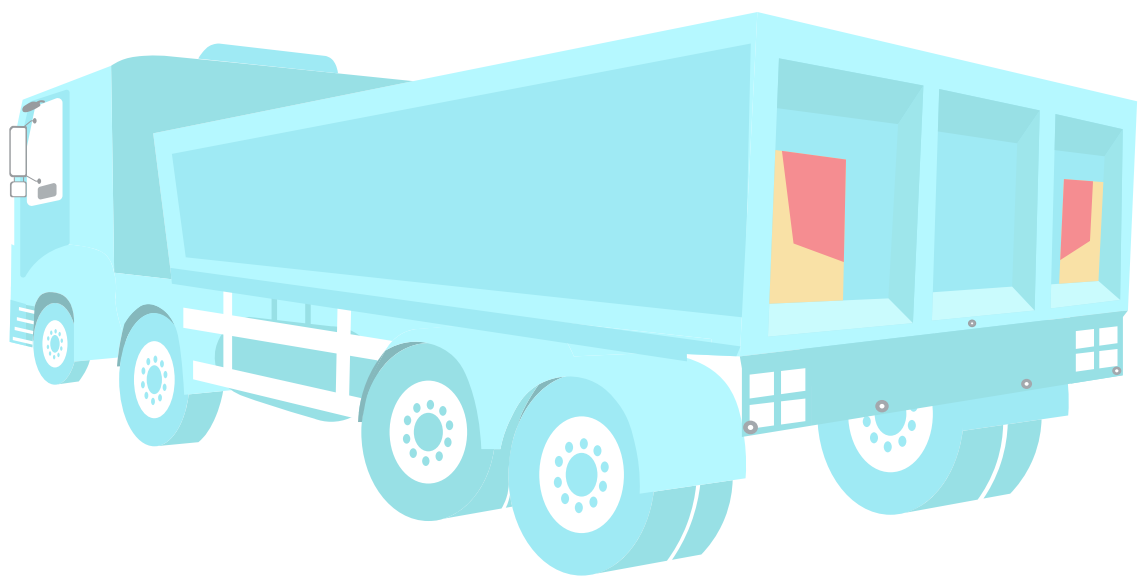
Any audit that identifies NCRs (findings) will require an agreed CAP.

Entry Audits with CAP's will need to be subsequently audited as part of a follow-up audit.

Reaccreditation Audits with CAP's will need demonstrate to the satisfaction of the CLOCS-A auditor, successful close-out of actions by the agreed timeframes.

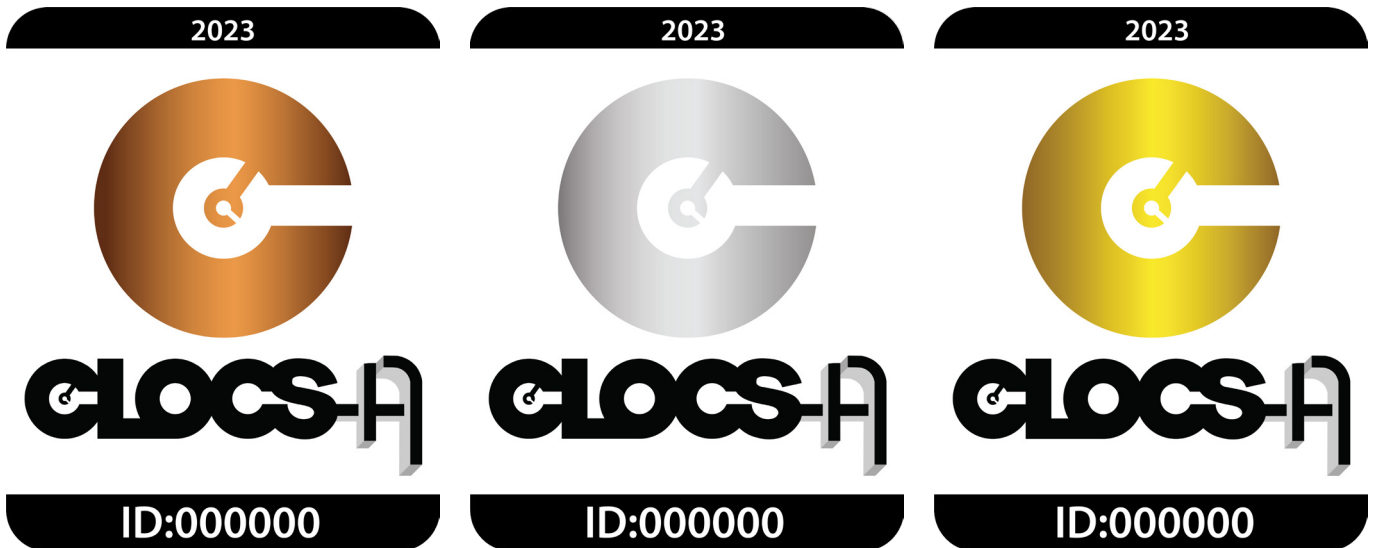
Where corrective actions have not been closed out, the auditee will be required to 'show cause' to the CLOCS-A Managing Body's Audit Panel.

A review will be undertaken by the CLOCS-A Managing Body's Audit Panel and decision made whether to accept (CAP) or reject organisations CLOCS-A Accreditation.



9 CLOCS-A identification and logo

9.1 Vehicles



Nominated vehicles that pass a CLOCS-A Audit will be provided a CLOCS-A Accreditation Label which must be fitted to the vehicle following receiving accreditation.

Note: Identification labels are only issued to nominated vehicles.

In the event a label is lost or destroyed, the organisation is responsible for notifying the CLOCS-A Managing Body to ensure replacements are issued.

In the event a nominated vehicle is no longer operating within or accredited to the CLOCS-A Standard, the organisation must remove and either return or destroy the label. The organisation must provide written advice to the CLOCS-A Managing Body of the action taken, within 14 days of the vehicle no longer being in the CLOCS-A Program.

9 CLOCS-A identification and logo

9.2 Sites

TG4 to develop a site CLOCS-A Logo

Nominated sites that pass a CLOCS-A Audit will be provided a CLOCS-A Accreditation Logo which must be displayed at the entry to the nominated site following receiving accreditation.

Identification logos are only issued to nominated sites and must not be displayed on sites that are not accredited.

In the event a CLOCS-A Logo is lost or destroyed, the organisation is responsible for notifying the CLOCS-A Managing Body to ensure replacements are issued.

In the event a nominated site is no longer operational or accredited to the CLOCS-A Standard, the organisation must remove and either return or destroy the logo. The organisation must provide written advice to the CLOCS-A Managing Body of the action taken, within 14 days of the site no longer being in the CLOCS-A Program.

10 Progression to Silver and Gold Accreditation

Accreditation to the CLOCS-A Standard is awarded based on the compliance achieved against bronze, silver, and gold set criteria requirements.

Entry-audits against the CLOCS-A Standard are conducted against Bronze criteria requirements, however organisations that are seeking to achieve Silver or Gold level accreditation must specify on their online accreditation application form which level they are wishing to gain accreditation to.

Progression to Silver and Gold Accreditation will only be achieved by the organisation providing the required minimum level of evidence to demonstrate they comply with the requirement.

As such, an organisation cannot achieve Silver- level accreditation, unless it can demonstrate that the Silver requirements in the CLOCS-A Standard have been met. Likewise, an organisation cannot achieve Gold-level accreditation, unless it can demonstrate that the Gold requirements in the CLOCS-A Standard have been met.

For Transport Operators, the organisation can have a mixed fleet of Bronze, Silver, Gold – level vehicles, but their organisation's overall accreditation will be granted based on the level of which the majority of vehicles comply with.

Similarly, a construction contractor can have projects / sites operating at bronze, silver and gold- level requirements, but the organisation will only be granted the level at which the majority of projects/ sites comply with.

If the mix of vehicles or projects / sites are even, the accreditation awarded to the organisation will be the lowest of the two.

11 Downgrading accreditation

Accreditation levels may be downgraded by the CLOCS-A Managing Body, if following an audit, it is identified that the organisation does not meet the required standards for the previously held accreditation level anymore.

12 Termination and suspension

An organisation's accreditation may be terminated or suspended by the CLOCS-A Managing Body in any of, but not limited to, the following circumstances:

- Failure to meet the CLOCS-A Standard following an audit with NCRs issued and failure to close out corrective actions
- Failure to meet any requirements of the CLOCS-A Standard upon which the organisation was granted accreditation against
- Contravention of road traffic legislation, investigation by regulatory authority

13 Show cause / appeals

13.1 Show cause

Organisations may be required to “Show cause” by the CLOCS-A Managing Body in any of the following situations:

- Where an organisation fails to address Corrective Actions within their agreed timeframe
- Any public, third-party, or regulatory complaints or investigation brought to the attention of the CLOCS-A Managing Body
- Why a triggered audit should not be conducted of the organisation
- Why the organisation’s accreditation should not be downgraded, suspended or terminated

13.2 Appeals

Organisations will have a right to appeal decisions made to downgrade, suspend, or terminate the organisation’s accreditation at any later date.

Appeals will be referred to the CLOCS-A Board for review.

14 Program Exit

An organisation may wish to exit the program and terminate their accreditation at any time voluntarily.

Voluntary exit must be notified to the CLOCS-A Managing Body in writing, and accreditation certificates, and any labels must be returned to CLOCS-A accompanied by written advice confirming that all accreditation ID’s, logos, and labels have been removed and destroyed within 14 days of the organisation no longer participating in the CLOCS-A Program.

15 Auditor requirements

Audits must be carried out by an approved CLOCS-A auditor who is registered with CLOCS-A and is independent of and external to the organisation audited.

An approved CLOCS-A auditor must carry out the entry and reaccreditation audits in person and not by telephone or other electronic means.

An auditor conducting a CLOCS-A audit must ensure that the findings of the audit of management systems documentation are verified by observation of processes, inquiries made with personnel and/or physical inspection of vehicle/s and facilities.

Every audit must be conducted to meet the requirements of and address the thresholds, tests, and criteria set by the CLOCS-A Standard.

An auditor of an organisation seeking accreditation to the CLOCS-A Standard is a person who is registered with CLOCS-A and is certified against the CLOCS-A Auditor Requirements.

15.1 Auditor code of conduct

Approved CLOCS-A Auditors must adhere to the CLOCS-A Auditor code of conduct, which outlines the principles and standards of behaviour expected of CLOCS-A approved auditors.

15.2 Certification for CLOCS-A Auditors

Auditors to the CLOCS-A Standard must be certified by CLOCS-A Managing Body. The requirements for becoming a certified CLOCS-A Auditor are outlined in the CLOCS-A Auditor Certification Procedure.

15.3 Auditor review/ feedback/ complaints management

CLOCS-A Auditors will need to be prequalified / approved by CLOCS-A Managing Body and registered as an approved CLOCS-A auditor.

15.4 Certification for CLOCS-A Auditors

The CLOCS-A Managing will review auditor performance periodically. Auditors may be removed from the approved panel if there is a breach of the code of conduct, or performance is deemed unsatisfactory, for example from repeated complaints, or serious/ repeated incidents or non-conformances by CLOCS-A accredited company.



16 Review of Business Rules and Standards

A review of Business Rules and Standards will be undertaken by the CLOCS-A Managing Body and the CLOCS-A audit working group at a defined period.

CLOCS-A Accredited organisations will be notified of any updates or changes to the Business Rules and Standards and will be granted a grace period for implementation of any changes affecting accreditation.

