



Australian Government

Comcare

NATIONAL SELF INSURER WHS AUDIT TOOL (NAT CTH)

User Workbook

DOCUMENT TRACKING

Version	3
Release Date	September 2014
Release Status	Endorsed for use
Prepared by	Comcare
Confidentiality Category	Unrestricted

INTRODUCTION

Auditors using this workbook should also familiarise themselves with the *National Self Insurer WHS Audit Tool (version 3) User Guide* and the *NAT Audit Report Template (version 3)*.

AUDITORS

Audits should be conducted by appropriately qualified and experienced personnel. Various audit training and certification programs are available to ensure that auditors have the required competency and experience for this work.

AS/NZS ISO 19011: *Guidelines for quality and/or environmental management systems auditing* provides a comprehensive auditing methodology and is consistent with the quality approach underpinning the NAT.

RESULTS OF AUDIT

Auditors will make judgements that a licensee has achieved one of the following ratings against the criteria:

- > Conformance
- > Observation
- > Non-conformance (NCR)
- > Not applicable
- > Not able to be verified.

DETERMINING CONFORMANCE

Determination of conformance against the audit criteria may be done by examining documents and records that outline the relevant systems. Discussions with personnel and observations by the auditor can indicate that systems have been implemented and are being followed.

RECORDING

When recording documentation in the workbook, each item should be described in a way that includes the:

- > name or title of the document
- > revision or edition number (if any)
- > date of issue
- > source or location where it can be found.

A written description of the system or an explanation of how it operates should be included in the space provided. This may help clarify the way in which the procedure satisfies the criterion.

AUDIT REPORT

Auditors should use the *NAT Audit Report Template (version 3)* when writing the audit report.

1.1.1

Senior management, in consultation with all workers and their representatives, shall define and document its policy for, and commitment to, WHS. The policy shall be endorsed and supported by the most senior person within the PCBU, for example, the Chief Executive Officer or Managing Director. The health and safety policy shall be developed consistent with relevant legislative requirements and include a commitment to:

- a) the risk management process and ensure consistency with the nature of workplace activities and scale of health and safety risks
- b) comply with relevant health and safety legislation and other requirements placed upon the PCBU or to which the PCBU subscribes
- c) establish measurable objectives and targets for health and safety to ensure continuous improvement aimed at elimination of work-related illness and injury
- d) provision of appropriate health and safety training to all workers
- e) the consultation process to ensure all workers are included in decision-making where there is an impact on workplace health and safety
- f) the dissemination of health and safety information to all workers and visitors to the workplace
- g) effective implementation of the health and safety policy.

RATING

- Conformance
- Observation
- Non-conformance
- Not able to be verified
- Not Applicable

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
- 2.
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- 6.
- 7.

COMMENTS

1.1.2

The health and safety policy is available to other interested parties, including regulatory authorities, suppliers, external contractors, and those visiting the workplace.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

1.1.3

The health and safety policy is maintained and reviewed periodically to ensure it remains relevant and appropriate to the PCBU's health and safety risks.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.1.1

The PCBU identifies and monitors the content of all health and safety legislation, standards, codes of practice, agreements and guidelines relevant to its operation.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.1.2

The PCBU's procedures, work instructions and work practices reflect the requirements of current health and safety legislation, standards, codes of practice, agreements and guidelines.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.1.3

Relevant workers in the PCBU are advised of, and have ready access to, current relevant health and safety legislation, standards, codes of practice, agreements and guidelines.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.1.4

The PCBU and/or individual satisfy legal requirements to undertake specific activities, perform work or operate equipment, for example:

- a) licence
- b) certificate of competency
- c) notification
- d) registration
- e) approval or exemption
- f) other relevant requirements.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.1.5

Changes to health and safety legislation, standards, codes of practice, agreements and guidelines generate a review of existing procedures.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.2.1

Health and safety objectives and targets consistent with the PCBU's health and safety policy are documented, are appropriate to the PCBU's activities, and consider:

- a) legal requirements
- b) standards, codes and guidelines
- c) health and safety hazards and risks
- d) past health and safety performance (as defined by the PCBU's system requirements)
- e) technological developments
- f) leadership and worker participation.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.2.2

Specific health and safety objectives and measurable targets have been assigned to all relevant functions and levels within the PCBU.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.2.3

The PCBU sets health and safety performance indicators that are consistent with its objectives and targets.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.3.1

In addition to defining the means by which the PCBU will achieve its objectives and targets, the health and safety management plan(s):

- a) responds to legal requirements
- b) is based on an analysis of information relevant to the nature of the PCBU's activities, processes, products or services
- c) takes account of identified hazards and health and safety management systems failures
- d) aims to eliminate or reduce workplace illness and injury
- e) defines the PCBU's priorities
- f) sets timeframes
- g) allocates responsibility for achieving objectives and targets to relevant functional levels
- h) states how the plan will be monitored.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.3.2

The PCBU monitors their progress towards meeting the objectives and targets set in the health and safety management plan and takes corrective actions to ensure progress is maintained.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

2.3.3

Health and safety management plans are reviewed on a regular basis, to ensure they are kept up to date, and when there are changes to the PCBU's activities, processes, products or services.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.1.1

Financial and physical resources have been identified, allocated and are periodically reviewed, to enable the effective implementation of the PCBU's health and safety management system.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.1.2

There are sufficient qualified and competent workers to implement the PCBU's health and safety management system as identified through documented review.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.2.1

Senior management understands the PCBU's legal obligations for health and safety and can demonstrate how they fulfil them.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.2.2

A member of senior management or the board of directors has been allocated overall responsibility for the health and safety management system and reports to that group on its performance.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.2.3

The specific health and safety responsibilities (including legislative obligations), authority to act and reporting relationships in the PCBU have been defined, documented and communicated.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.2.4

Where contractors (workers) are utilised in the PCBU, the health and safety responsibilities and accountabilities of the PCBU and the contractor(s) have been clearly defined, allocated and communicated within the PCBU and to the contractor(s) and their workers.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.2.5

Workers are held accountable for health and safety performance in accordance with their defined responsibilities.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.1

The PCBU has a procedure for identifying and defining the health and safety training needs of workers.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.2

The PCBU consults with workers to identify their training needs in relation to performing their work activities safely.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.3

A documented training plan(s) based on training needs shall be developed and implemented.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.4

The PCBU trains workers (as appropriate) to perform their work safely, and verifies their understanding of that training.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.5

The PCBU has an induction program for all workers including management which is based on their likely risk exposure and provides relevant instruction in the PCBU's health and safety policy and health and safety procedures.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.6

Training and assessment is delivered by competent persons with appropriate knowledge, skills and experience.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.7

The specific requirements of tasks are identified and applied to the recruitment and placement of workers, and tasks are allocated according to the capability and level of training.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.8

Management has received training in health and safety management principles and practices appropriate to their role and responsibilities, and the relevant health and safety legislation.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.9

Those representing the PCBU and the worker(s) on health and safety matters, including representatives on consultative committee(s), receive appropriate training to enable them to undertake their duties effectively.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.10

Refresher training (as identified by the training needs) is provided to all workers to enable them to perform their tasks safely.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.3.11

The training program is reviewed on a regular basis and when there are changes in the workplace that impact on the health and safety of workers, to ensure that the skills and competencies of workers remain relevant.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.4.1

There are procedures agreed to by workers outlining worker involvement and consultation in:

- a) health and safety matters
- b) health and safety issues
- c) any proposed changes to the work environment, processes, practices or purchasing decisions that impact on their health and safety.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.4.2

The PCBU has:

- a) in consultation with workers, determined the number of work groups and HSRs required to effectively represent all workers
- b) made arrangements to allow the workers to select those who will represent them on health and safety matters
- c) communicated the consultative arrangements to workers, including names of their worker and employer representatives for health and safety matters.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.4.3

Those who represent workers on health and safety matters:

- a) are provided time and resources to effectively undertake this role
- b) meet regularly with management about health and safety issues and the minutes of their meetings are available to all workers.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.4.4

Workers or their representatives are involved in the development, implementation and review of procedures for the identification of hazards and the assessment and control of risks.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.5.1

The PCBU's health and safety policy and other relevant information on health and safety is communicated to all workers, and consider language and standards of literacy.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.5.2

The PCBU regularly communicates to workers the progress towards the resolution of health and safety disputes.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.5.3

There are procedures for exchange of relevant health and safety information with external parties including customers, suppliers, contractors and relevant public authorities.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.5.4

There is a procedure that encompasses health and safety issues for dealing with formal and informal complaints received from external parties.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.6.1

Workplace injuries, illnesses, incidents, health and safety hazards, dangerous incidents and systems failures are reported and recorded in accordance with relevant procedures.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.6.2

Where there is a legislative requirement, injuries, illnesses, incidents and dangerous incidents are notified to the appropriate authorities within the stipulated timeframes.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.6.3

Reports on health and safety inspections, testing and monitoring, including recommendations for corrective action, are produced and forwarded to senior management and worker representative(s) as appropriate.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.6.4

Regular, timely reports on health and safety performance—including reports against health and safety objectives, targets and management plans—are produced and distributed within the PCBU.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.6.5

Reports of audits and reviews of the health and safety management system are produced and distributed within the PCBU.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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 - 5.
 - 6.
 - 7.
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COMMENTS

3.6.6

The PCBU's annual report or an equivalent document includes information about health and safety performance.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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 - 5.
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COMMENTS

3.7.1

The PCBU's health and safety policy, plans and procedures are documented in a planned and organised manner.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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 - 7.
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COMMENTS

3.7.2

Specific instructions and safe work procedures associated with particular products, processes, projects or sites have been developed where appropriate.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.8.1

The PCBU has a system for creating, modifying and approving health and safety documents and data and notifying relevant persons of any changes. Obsolete documents and data are identified and retained, where required, for legal and/or knowledge preservation purposes and are removed from all other access points to prevent unintended use.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
 - 2.
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COMMENTS

3.8.2

Documents and data critical to health and safety shall be clearly identifiable, duly authorised prior to issue, kept legible and include their issue status.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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 - 5.
 - 6.
 - 7.
-

COMMENTS

3.8.3

The PCBU provides workers with ready access to relevant health and safety documents and data and advises them of its availability.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.8.4

Documents and data are regularly reviewed by competent persons to ensure their effectiveness, suitability, and the currency of the information.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.9.1

The PCBU documents its methodology to reduce health and safety risks through hazard identification, risk assessment and development of risk control measures in accordance with the 'hierarchy of controls' and legal requirements.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.9.2

The PCBU has identified the hazards, including public safety hazards that are associated with its activities, processes, products or services, and has assessed the risks involved and implemented suitable control measures in accordance with the PCBU's methodology.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.9.3

The hazard identification, risk assessment and risk control process is undertaken by persons competent in the use of the PCBU's methodology.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.9.4

The PCBU documents all identified hazards, risk assessments and risk control plans.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.9.5

Risks of identified hazards are assessed in consultation with workers having regard to the likelihood and consequence of injury, illness or incident occurring, taking into consideration:

- a) legal requirements
- b) evaluation of available information
- c) records of incidents, illness and disease
- d) potential for emergency situations.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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- 7.

COMMENTS

3.9.6

The level of risk is assessed and used to prioritise the implementation of risk control measures.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.9.7

Hazard management methodology and associated procedures shall be reviewed and revised where necessary to ensure relevance, adequacy and compliance with health and safety management system requirements.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.9.8

The PCBU has a program for identifying and managing change that may impact on health and safety.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.1

The PCBU determines those areas where access controls are required and ensures effective controls are implemented and maintained.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.2

Health and safety requirements are identified, evaluated and incorporated into all purchasing specifications for services.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.3

The ability to meet health and safety requirements is assessed in the selection of contractors and labour hire workers (workers).

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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 - 5.
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-

COMMENTS

3.10.4

Temporary workers health and safety performance is monitored and reviewed to ensure continued adherence to the PCBU's health and safety requirements or specifications.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.5

The PCBU determines their health and safety requirements prior to the purchase of goods and communicates those specifications to the supplier.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.6

Procedures shall be established and implemented for verifying that purchased goods conform to health and safety requirements and address discrepancies before the goods are put into operational use.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.7

Hazard identification, risk assessment and the development of control measures are undertaken during the design stage of plant, products, buildings or processes, or when the design is modified.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.8

Competent persons verify that designs and modifications meet specified health and safety requirements.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.9

There are procedures to ensure that materials and substances are disposed of in a manner that minimises risk of personal injury and illness.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.10

Facilities and amenities in workplaces conform, as a minimum, to relevant legislation, standards and codes of practice.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.11

The PCBU has a program for the safe use, handling, transfer, inventory management and transport of hazardous chemicals.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.12

Comprehensive health and safety information on all hazardous chemicals is readily accessible.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.13

The PCBU ensures that hazardous chemicals are safely stored in accordance with legislative requirements.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.14

The PCBU permit to work procedures are available for use when required.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.15

Where personal protective equipment is required it is appropriate for the task, its provision is accompanied by suitable training or instruction, and it is used correctly and maintained in a serviceable condition.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.16

Plant and equipment is maintained to ensure safe operational use and a record is kept which includes (but is not limited to) relevant details of inspections, maintenance, repair and alteration of plant.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.17

There is a procedure for unsafe plant and equipment to be identified and quarantined or withdrawn from service.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.18

Controls are implemented to ensure the safety of persons (including members of the public) while plant and equipment is in the process of being cleaned, serviced, repaired or altered.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.19

Competent persons verify that plant and equipment is safe before being returned to service after repair or alteration.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.20

Safety signs, for example, hazard, emergency information and fire signs, meet relevant standards and codes of practice and are displayed in accordance with legal and organisational requirements.

RATING

- Conformance
 - Non-conformance
 - Not Applicable
 - Observation
 - Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.21

There are procedures to ensure that materials are transported, handled and stored in a safe manner.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.22

Workers are supervised according to their capabilities to ensure that tasks are performed safely and work instructions and procedures are followed.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.23

The PCBU has a program to effectively manage the safety of workers when working at workplaces not under the control of the PCBU.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

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COMMENTS

3.10.24

Customer-supplied goods and services used in the PCBU's work processes are subject to hazard identification, risk assessment and control prior to use.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.10.25

All substances in containers and transfer systems are identified and clearly labelled to avoid inadvertent or inappropriate use.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.11.1

Potential emergency situations have been identified and an emergency plan is:

- a) developed for the PCBU and its workplace
- b) in accordance with legislative requirements
- c) regularly reviewed.

RATING

- Conformance
- Non-conformance
- Not Applicable
- Observation
- Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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- 5.
- 6.
- 7.

COMMENTS

3.11.2

The PCBU has allocated overall responsibility for control of emergency situations to specified individuals and communicated this information to all workers.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.11.3

Workers receive training and practice in emergency plans appropriate to their allocated emergency response responsibilities.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.11.4

Competent persons have periodically assessed the suitability, location and accessibility of emergency equipment.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.11.5

Emergency and fire protection equipment, exit signs and alarm systems are inspected, tested and maintained. Suitability, location and accessibility are reviewed if there has been a change in the workplace.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.11.6

The PCBU ensures that a system is in place to inform relevant emergency authorities of the hazards (including hazardous chemicals), and on attendance during an emergency.

RATING

- Conformance
 - Non-conformance
 - Not Applicable
 - Observation
 - Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.11.7

The PCBU has assessed its first aid requirements and the first aid program is in place.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

3.11.8

The PCBU has procedures to assist workers who are exposed to critical incidents at work.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

4.1.1

There is a health and safety inspection, testing and monitoring program that incorporates timely and effective corrective action processes.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
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COMMENTS

4.1.2

Inspections seek input and involvement from the workers who are required to undertake the tasks being inspected.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
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DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
 - 2.
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 - 7.
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COMMENTS

4.1.3

Engineering controls including safety devices are regularly inspected and tested (where appropriate) to ensure their integrity.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
-

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
 - 2.
 - 3.
 - 4.
 - 5.
 - 6.
 - 7.
-

COMMENTS

4.1.4

Monitoring of the workplace environment (general and personal) is conducted where appropriate and records of the results are maintained.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
-

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
 - 2.
 - 3.
 - 4.
 - 5.
 - 6.
 - 7.
-

COMMENTS

4.1.5

Inspection, measuring and test equipment related to health and safety monitoring is appropriately identified, calibrated, maintained and stored.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
-

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
 - 2.
 - 3.
 - 4.
 - 5.
 - 6.
 - 7.
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COMMENTS

4.2.1

The PCBU has identified those situations where worker health surveillance should occur and has procedures to conduct this surveillance. The health of workers exposed to specific hazards is monitored, recorded, and reported, and action is taken to address any adverse effects.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

COMMENTS

4.3.1

There are procedures (incorporating appropriate methodologies) for investigating and implementing corrective action following injuries, illnesses, incidents and other systems failures impacting on health and safety.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
-

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
 - 2.
 - 3.
 - 4.
 - 5.
 - 6.
 - 7.
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COMMENTS

4.3.2

Investigations shall:

- a) be undertaken by a competent person or persons in accordance with the PCBU's procedure
- b) identify the factor(s) that led to the injury, illness, incident or other system failure
- c) review the identified hazards, assessed risks and effectiveness of the control measures
- d) recommend appropriate control measures and corrective actions.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

COMMENTS

4.3.3

Corrective actions are:

- a) implemented in a timely manner
- b) undertaken in consultation with affected workers
- c) assessed for their effectiveness by assigned workers

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

COMMENTS

4.4.1

The PCBU has a program for managing health and safety records, including:

- a) identification and traceability
- b) collection, indexing, and filing
- c) access and confidentiality
- d) retention and maintenance
- e) protection against damage, deterioration or loss
- f) retrieval
- g) disposal.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

COMMENTS

4.5.1

There is a health and safety management system audit program to verify the effectiveness of the PCBU's health and safety management system requirements. The audit program takes into consideration the significance of health and safety risks and the results of previous audits.

RATING

- Conformance
- Observation
- Non-conformance
- Not able to be verified
- Not Applicable

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

COMMENTS

4.5.2

The PCBU ensures that scheduled audits are performed to verify that:

- a) workplace activities comply with health and safety procedures
- b) procedures are properly implemented and maintained, and
- c) procedures are effectively implemented across the PCBU.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

COMMENTS

4.5.3

Deficiencies highlighted by the audits are prioritised and progress is monitored to ensure corrective action is implemented.

RATING

- Conformance Non-conformance Not Applicable
 Observation Not able to be verified
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
-

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
 - 2.
 - 3.
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 - 5.
 - 6.
 - 7.
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COMMENTS

5.1.1

The PCBU has a health and safety management system review program to ensure the continuing suitability and effectiveness of the system. The review program is undertaken with senior management and officers and takes into account:

- a) health and safety management system audit results
- b) objectives, targets and performance indicators
- c) changing circumstances
- d) opportunities for continuous improvements.
- e) opportunities for continuous improvement

RATING

- Conformance
- Non-conformance
- Not Applicable
- Observation
- Not able to be verified

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
- 2.

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.

COMMENTS

5.1.2

Recommendations arising from health and safety management system reviews generate actions to improve performance and those actions are implemented.

RATING

- Conformance
 - Observation
 - Non-conformance
 - Not able to be verified
 - Not Applicable
-

KEY CONTACTS (NAMES AND TITLES/POSITIONS)

- 1.
 - 2.
-

DOCUMENTS SUBMITTED (TITLE, VERSION, DATE, LOCATION)

- 1.
 - 2.
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 - 6.
 - 7.
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COMMENTS

APPENDIX

DEFINITION OF TERMS USED IN THIS DOCUMENT

Audit	A systematic and independent examination against defined criteria to determine whether health and safety activities and related results comply with planned arrangements, whether these arrangements are implemented effectively and whether they are suitable to achieve the PCBU's policy and objectives.
Audit report	A written record of the audit, which accurately and concisely documents the objective evidence and clearly communicates the findings of the auditor(s) for each of the criteria included in the audit.
Audit team	The auditors whose collective competence is appropriate to the activities to be audited and the related health and safety issues. The team is to be selected in accordance with the relevant regulator's procedures.
Competent person	A person who has acquired, through training, qualifications or experience (or a combination of these) the knowledge and skills enabling that person to perform the task required. The relevant knowledge and skills must be defined and documented.
Conformance	A judgment made by an auditor that the activities undertaken and the results achieved fulfil the specified requirements of the audit criteria. While further improvements may still be possible, the minimum requirements are being met.
Consultation	The sharing of information and the exchange of views between duty holders and the persons that must be consulted and the genuine opportunity for them to contribute effectively to any decision-making process that impacts on health and safety.
Continuous improvement	The process of enhancing health and safety to achieve improvements in overall health and safety performances, in line with the PCBU's health and safety policy.
Customer-supplied goods and services	Customer-supplied goods and services are those which are supplied to the PCBU by a customer. The PCBU then performs work on that product or uses that service as part on another task.
Dispute	A difference of opinion between two or more parties on a health and safety issue and which remains unresolved.
Facilities	Refers to things like washrooms, showers, lockers, dining areas and drinking water. There may be specific legislative requirements and details in building regulations and codes.
Hazard	A source or a situation with a potential for harm in terms of injury or illness, damage to property, damage to the environment or a combination of these.
Hazard identification	The process of recognising that a hazard exists and defining its characteristics.

Hazardous chemical	<p>A substance, mixture or article that satisfies the criteria for a hazard class in the GHS* but does not include a substance, mixture or article that satisfies the criteria solely for one of the following hazard classes:</p> <ul style="list-style-type: none"> > acute toxicity – oral – category 5 > acute toxicity – dermal – category 5 > acute toxicity – inhalation – category 5 > skin corrosion/irritation – category 3 > serious eye damage/eye irritation – category 2b > aspiration hazard – category 2 > acute hazard to the aquatic environment – category 1, 2 or 3 > chronic hazard to the aquatic environment – category 1, 2, 3 or 4 > hazardous to the ozone layer. <p>Note: The schedule 6 tables replace some tables in the GHS.</p> <p>*The Globally Harmonised System of Classification and Labelling of Chemicals, Third revised edition, published by the United Nations as modified under schedule 6.</p>
Health and safety management system	<p>The part of the overall management system which includes organisational structure, planning activities, responsibilities, practices, procedures, processes, and resources for developing, implementing, achieving, reviewing and maintaining the health and safety policy and thereby managing the health and safety risks associated with the business of the PCBU.</p>
Health and safety objectives	<p>Overall health and safety goal in terms of health and safety performance, arising from the health and safety policy that a PCBU sets itself to achieve, and which are quantified where practicable.</p>
Health and safety policy	<p>Statement by the PCBU of its intentions and principles in relation to its overall health and safety performance which provides a framework for action and for the setting of its health and safety objectives and targets.</p>
Health and safety target	<p>A detailed performance requirement, quantified wherever practicable and pertaining to the PCBU that arises from the health and safety objectives, and that needs to be met in order to achieve those objectives.</p>
Hierarchy of controls	<p>A series of control methods that can be used for the minimisation of risks to health and safety if elimination, so far as reasonably practicable, cannot be achieved. Typically:</p> <ul style="list-style-type: none"> > substitution > isolation > engineering controls > administrative controls > personal protective equipment. <p>Note: A combination of these measures may be applied if a single control is not sufficient. The hierarchy may vary in some jurisdictions.</p>
Incident	<p>An unplanned event resulting in, or having the potential for injury, ill health, damage or other loss.</p>

Interested parties	Individual(s) or group(s) concerned with, or affected by the health and safety performance of a PCBU, may, depending on circumstances, include health and safety representatives, health and safety committees, contractors, suppliers, other duty holders, regulatory authorities, community groups, non-government organisations, special interest groups and others.
Non-conformance	A judgment made by an auditor that the activities undertaken and the results achieved do not fulfil the specified requirements of the audit criterion. This may be caused by the absence or inadequate implementation of a system or part of a system, documented systems or procedures not being followed or a minor or isolated lapse in a system or procedure.
Not able to be verified	A situation where a relevant system procedure has been developed, but because of the infrequent need to use the system procedure there are no recent records or other form of verification available.
Not applicable	A judgement made by an auditor that the requirements of a particular audit criterion do not need to be met, because of the nature of the client PCBU's operations.
Objective evidence	Qualitative or quantitative information that can verify the existence and effective operation of an aspect of a WHSMS. The information may be in the form of documents, electronic information, documented records, visual observations, and discussion with workers and others. The audit records should provide enough information to allow evidence to be identified, located and independently verified by another auditor. Evidence of a system being in operation for at least three months is required to verify conformance to an audit criterion.
Observation	A system deficiency of a minor nature that, in the auditor's opinion, does not warrant the issue of a non-conformance report.
Officer	<p>A broad term that applies to people who can make decisions that significantly affect a business or undertaking.</p> <p>An officer may be, depending on the jurisdiction:</p> <ul style="list-style-type: none"> > an officer within the meaning of section 9 of the Corporations Act 2001, namely: <ul style="list-style-type: none"> – a director or secretary of a corporation – any person who can make, or participate in making, decisions that affect the whole, or a substantial part, of the business of the corporation – a person who has the capacity to significantly affect the corporation's financial standing – a receiver, or receiver and manager, of the property of the corporation – an administrator of a corporation – an administrator of a deed of company arrangement executed by a corporation – a liquidator of a corporation – a trustee or other person administering a compromise or arrangement made between the corporation and someone else > an officer of the Commonwealth within the meaning of section 247 of the Work Health and Safety Act 2011 (WHS Act) > an officer of a public authority within the meaning of section 252 of the WHS Act. <p>Note: Under the WHS Act, the definition of an officer excludes:</p> <ul style="list-style-type: none"> > a partner in a partnership > a Minister of the Crown > an elected member of a local authority.

Person conducting a business or undertaking (PCBU)	<p>A person conducts a business or undertaking:</p> <ul style="list-style-type: none"> > whether the person conducts the business or undertaking alone or with others > whether or not the business or undertaking is conducted for profit or gain. <p>A PCBU includes a business or undertaking conducted by a partnership or an unincorporated association. If a business or undertaking is conducted by an unincorporated partnership, a reference in the WHS Act to a PCBU is to be read as a reference to each partner. The following are not deemed to be PCBUs:</p> <ul style="list-style-type: none"> > a person engaged solely as a worker in, or as an officer of, the business or undertaking > an elected member of a local authority > a volunteer association.
Performance indicator	A selected indicator of how effectively a process is operating against objectives. These indicators can be quantitative or qualitative and the choice is dependent on the type of element they are used to measure, as appropriate to the PCBU.
Procedure	A document in text or graphic format that describes the reason, scope, steps to be followed and responsibilities for a component of the health and safety management system. It may also include definitions and references to other documents. It must be implemented effectively.
Process	A set of interrelated resources and activities that transform inputs into outputs.
Program	A planned component of a PCBU's business management system for health and safety. A program can also be a collection of procedures that have a common purpose.
Record	Document that furnishes objective evidence of activities performed or results achieved.
Relevant	Connected with the matter in hand, for example, legislative requirements and/or other identified needs of the PCBU.
Representative	<p>In relation to a worker, this means:</p> <ul style="list-style-type: none"> > the HSR for the worker > the union representing the worker > any other person the worker authorises to represent them.
Resources	Resources include financial (for example, money and time), physical (for example, equipment, reference library) and human resources (for example, health and safety coordinator, health and safety representative, health and safety consultant).
Risk	The combination of the frequency, or probability of occurrence, and consequence of a specified hazardous event.
Risk assessment	The overall process of estimating the magnitude of risk and deciding whether the risk is tolerable.
Senior management	May consist of an individual, or a group of individuals, with executive responsibility for the PCBU.
System	A coordinated and interacting group of policies, procedures and processes created to carry out a specific activity, perform a duty or address an issue.

Verification	Confirmation by examination and provision of objective evidence that the specified requirements of the audit criteria have been met.
Worker	<p>A broad term that includes:</p> <ul style="list-style-type: none"> > an employee > a contractor or sub-contractor > an employee of a sub-contractor > an employee of a labour-hire company who has been assigned to work in the PCBU > an outworker > an apprentice or trainee > a student gaining work experience > a volunteer > a person of a prescribed class. <p>Note: In the context of the above definition of 'worker', the term 'temporary worker' is included in this user guide, as certain criteria specifically relate to non-permanent workers being fully included in the health and safety arrangements of the PCBU.</p>
Workplace	<p>(1) A workplace is a place where work is carried out for a business or undertaking and includes any place where a worker goes, or is likely to be, while at work.</p> <p>(2) Place includes:</p> <ul style="list-style-type: none"> (a) a vehicle, vessel, aircraft or other mobile structure (b) any waters and any installation on land, on the bed of any waters or floating on any waters.

APPENDIX 2: GUIDE TO SAMPLING OF AUDIT CRITERIA BY TOPIC

Element/Topic	(1) Management responsibility	(2) WHS management system	(3) Document control	(4) WHS risk management	(5) Design control	(6) Process control	(7) Purchasing	(8) WHS training	(9) Inspect, test and monitor	(10) WHS records	(11) WHS audits	(12) Corrective action
1. Health and safety policies	1.1.1 1.1.2 1.1.3	1.1.1 1.1.2 1.1.3	1.1.1 1.1.2 1.1.3	1.1.1 1.1.2 1.1.3	1.1.1	1.1.1 1.1.2 1.1.3	1.1.1	1.1.1	1.1.1 1.1.3	1.1.1	1.1.1	1.1.1
2. Planning	2.1.1 2.1.3 2.2.1 2.2.2 2.2.3 2.3.1 2.3.3 2.3.4	2.1.1 2.1.3 2.1.5 2.2.1 2.2.2 2.2.3 2.3.1 2.3.3 2.3.4	2.1.5 2.3.4	2.1.1 2.1.2 2.1.3 2.1.4 2.1.5 2.3.2 2.3.4	2.1.1 2.1.3 2.1.5	2.1.1 2.1.2 2.1.3 2.1.4 2.1.5 2.3.4	2.1.1 2.1.3 2.1.4 2.1.5 2.3.4	2.1.1 2.1.2 2.1.3 2.1.4 2.1.5	2.1.1 2.1.3 2.1.4 2.1.5 2.2.3 2.3.1 2.3.3	2.1.1 2.1.4	2.1.1 2.2.1 2.2.2	2.1.1 2.1.2 2.1.3 2.1.4 2.3.2 2.3.3
3. Implementation	3.1.1 3.1.2 3.1.3 3.2.1 3.2.2 3.2.3 3.2.4 3.2.5 3.3.2 3.3.4 3.3.6 3.3.8 3.3.9 3.3.10 3.4.1 3.4.2 3.4.3 3.4.4 3.5.1 3.5.2 3.5.3 3.5.4 3.6.2 3.6.3 3.6.4 3.6.5 3.10.10 3.10.19 3.10.22 3.10.23 3.11.2 3.11.7	3.1.1 3.1.2 3.1.3 3.2.1 3.2.2 3.2.3 3.2.4 3.2.5 3.3.8 3.3.9 3.3.11 3.4.1 3.4.7 3.5.1 3.6.4 3.6.5 3.6.6 3.7.1 3.8.4 3.9.7 3.9.8 3.9.8	3.7.1 3.8.1 3.8.2 3.8.3 3.8.4	3.1.3 3.2.1 3.2.3 3.2.4 3.3.1 3.3.3 3.3.7 3.3.10 3.4.6 3.6.1 3.6.3 3.7.2 3.9.1 3.9.2 3.9.3 3.9.4 3.9.5 3.9.6 3.9.7 3.9.8 3.10.1 3.10.9 3.10.11 3.10.12 3.10.13 3.10.14 3.10.15 3.10.17 3.10.18 3.10.20 3.10.21 3.10.24 3.11.1 3.11.4 3.11.8	3.1.2 3.2.3 3.2.4 3.4.6 3.7.2 3.9.1 3.10.7 3.10.8	3.1.2 3.1.3 3.2.3 3.2.4 3.2.4 3.3.1 3.3.3 3.3.5 3.3.7 3.3.9 3.3.10 3.3.11 3.4.6 3.6.1 3.7.1 3.7.2 3.8.4 3.9.1 3.9.2 3.10.3 3.10.5 3.10.9 3.10.11 3.10.13 3.10.14 3.10.16 3.10.20 3.10.25 3.11.3	3.1.2 3.2.3 3.2.4 3.3.3 3.3.5 3.3.7 3.3.9 3.10.1 3.10.2 3.10.3 3.10.4 3.10.5 3.10.6 3.10.9 3.10.11 3.10.13 3.10.14 3.10.16 3.10.20 3.10.25 3.11.3	3.1.1 3.1.2 3.1.3 3.2.3 3.2.4 3.3.1 3.3.3 3.3.4 3.3.5 3.6.1 3.6.3 3.6.4 3.9.1 3.10.1 3.10.14 3.10.16 3.10.17 3.10.18 3.10.19 3.10.21 3.11.5 3.11.7	3.2.3 3.2.4 3.2.5 3.3.5 3.3.7 3.3.10 3.5.1 3.6.1 3.6.2 3.6.3 3.6.4 3.6.5 3.6.6 3.7.1 3.7.2 3.8.1 3.8.3 3.8.3 3.9.3 3.10.1 3.10.2 3.10.5 3.10.9 3.10.17 3.10.12 3.10.14 3.10.16 3.10.22 3.11.1 3.11.6 3.11.7	3.1.2 3.2.3 3.2.4 3.2.5 3.6.5	3.2.3 3.2.4 3.2.5 3.6.1 3.8.4 3.9.5 3.9.6 3.10.6 3.10.18	

Element/Topic	(1) Management responsibility	(2) WHS management system	(3) Document control	(4) WHS risk management	(5) Design control	(6) Process control	(7) Purchasing	(8) WHS training	(9) Inspect, test and monitor	(10) WHS records	(11) WHS audits	(12) Corrective action
4. Measurement and evaluation	4.1.2 4.3.4 4.5.2 4.5.3	4.3.1 4.5.2 4.5.3	4.3.1 4.4.1	4.2.1 4.3.1 4.3.2	4.3.1	4.1.1 4.3.2 4.4.1	4.3.1	4.3.2	4.1.1 4.1.2 4.1.3 4.1.4 4.1.5 4.2.1 4.3.1	4.1.2 4.1.3 4.1.4 4.1.5 4.2.1 4.3.1 4.3.2 4.4.1 4.5.2 4.5.3	4.5.1 4.5.2 4.5.3	4.1.1 4.2.1 4.3.1 4.3.2 4.3.3 4.5.3
5. Review	5.1.1 5.1.2	5.1.1 5.1.2							5.1.1 5.1.2	5.1.1 5.1.2	5.1.1 5.1.2	5.1.1 5.1.2