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LICENSEE IMPROVEMENT PROGRAM

NATIONAL AUDIT TOOL (CTH)

AUDIT REPORT

|  |
| --- |
| [Licensee name] |
| [Location] |
| [Date] |

Commercial-in-Confidence

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|  |  |
| --- | --- |
| **Version** | 6 |
| **Release Date** | September 2014 |
| **Release Status** | Endorsed for use |
| **Prepared by** | Comcare  |
| **Confidentiality Category** | Unrestricted |

Scope of audit

|  |  |
| --- | --- |
| Licensee: | **[employer name]** |
| Scope of audit: | This audit assessed the effectiveness of **[employer name]** health and safety policy, health and safety procedures, and its health and safety management systems. It verifies that management systems are in place and evaluates the implementation and effectiveness of those systems.The audit consists of examining documentation and records to verify that systems exist and are working. There are also circumstances where observations and discussions with relevant personnel at **[employer name]** are an appropriate means for verifying conformance.At the conclusion of the audit, this report is prepared identifying positive aspects of **[employer name]** health and safety management systems, and any deficiencies against the audit criteria. |
| Audit criteria: | This tool comprises 76 criteria combined into two elements as listed below:Element 3. Implementation (73 Criteria)Element 4. Measurement and evaluation (3 Criteria) |
| Ratings | The findings in the audit report have been classified and marked as follows:> Conformance: indicates that the criterion has been met.> Non-conformance: indicates that the criterion has not been met.> Not able to be verified: indicates that the PCBU has documented procedures in place but there have been no cases to test that the PCBU has followed those procedures. It is expected that this classification will only be used in limited circumstances and where applied, the reasons for the finding will be explained by the auditor.> Not applicable: indicates that the criterion does not apply to the licensee.Where a criterion has been met but the auditor has identified a ‘once off’ situation or a ‘minor’ deviation from the documented management system or reference criterion, an ‘observation’ may be made. These findings, while representing a non-fulfilment of a requirement, are recognised as being of lower risk to the licensee. However, corrective action to address the identified deficiency is required. An ‘observation’ can be made against a criterion which has been rated as either Conformance or Non-conformance.  |
| Dates and locations of audit: | [list each site verification and date] |
| Auditor(s)/Comcare Representative(s): | [auditor name and company] |
| Primary licensee contact(s): | [list licensee contact(s)] |
| Record of audit: | This report contains a summary of the audit outcomes. A detailed record of the documentation and records sighted, issues observed and auditor comments are retained on the auditor’s file. |
| Acknowledgment: | The auditor(s) wish to acknowledge the cooperation and assistance provided by the management and staff of **[employer name]** and thank them for their contribution to the audit process. |
| Conflict of interest: | The auditor(s) declare that there is no conflict of interest between them and the licensee being audited, nor those people representing the auditee. |

LIST OF PERSONS INTERVIEWED

|  |  |
| --- | --- |
| Name | Position |
| [Name of site or business division] |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
| [Name of site or business division] |
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|  |  |
|  |  |
| [Name of site or business division] |
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|  |  |
|  |  |

Executive summary

|  |
| --- |
| [the auditor is to provide an overall summary of findings, usually a minimum of a few paragraphs, outlining the broad strengths and weaknesses of the work health and safety (WHS) management system and its implementation. Add the strengths weaknesses examples] |

NON-CONFORMANCES (NCRs)

A number of non-conformances were identified during the audit. They are:

|  |  |
| --- | --- |
| Criterion | Non-conformance |
|  |  |
|  |  |
|  |  |
|  |  |

OBSERVATIONS

A number of observations were identified during the audit. They are:

|  |  |
| --- | --- |
| Criterion | Observations |
|  |  |
|  |  |
|  |  |
|  |  |

Not able to be verified

A number of criterion were unable to be verified during the audit. They are:

|  |  |
| --- | --- |
| Criterion | Not able to be verified |
|  |  |
|  |  |
|  |  |
|  |  |

Not applicable

A number of criterion were not applicable during the audit. They are:

|  |  |
| --- | --- |
| Criterion | Not applicable |
|  |  |
|  |  |
|  |  |
|  |  |

In summary, for the 76 criteria within the NAT, the outcomes are:

|  |  |  |
| --- | --- | --- |
|  | Number of criteria | % of assessed criteria achieved/not achieved |
| Conformance |  |  |
| Observations |  |
| Non-conformance |  |  |
| Not able to be verified |  |  |
| Not applicable |  |  |

An action plan, which includes completion/review dates and responsibilities, must be developed by **[employer name]** to address each of the Non-conformances and Observations identified in this report. The action plan must be provided to Comcare within the requested timeframe.

**[employer name]** is invited to discuss any aspect of this audit report with Comcare.

|  |  |  |  |
| --- | --- | --- | --- |
| Signed: |  | Signed: |  |
| Auditor name: |  | Auditor name: |  |
| Date: |  | Date: |  |

Element 3: Implementation

3.1 Structure and responsibility—Resources

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

3.2 Structure and responsibility—Responsibility and accountability

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

3.3 Structure and responsibility—Training and competency

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

3.4 Consultation, communication and reporting—Consultation

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

3.5 Consultation, communication and reporting—Communication

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

3.6 Consultation, communication and reporting—Reporting

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

3.9 Health and safety risk management program

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

3.10 Hazard identification, risk assessment and control of risks

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

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| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

|  |  |
| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| --- | --- |
| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

3.11 Emergency preparedness and response

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

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| --- | --- |
| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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

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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

Element 4: Measurement and evaluation

4.3 Incident investigation, and corrective and preventive action

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.

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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

4.3.2 Investigations shall:

a) be undertaken by a competent persons 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.

|  |  |
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| Finding: |  |

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| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

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.

|  |  |
| --- | --- |
| Finding: |  |

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| --- | --- |
| Evidence:  |  |
| Comment: |  |
| Observation: |  |
| Non-conformance: |  |

Appendix 1: Site specific findings

Summary of NCRs and Observations by site/business division

[completion of this Appendix is optional. To assist in the development of specific site/business division corrective action plans, it is recommended that it be completed in instances where a large number of sites have been audited and/or there are significant differences between a licensee’s various business divisions or business activities]

|  |  |  |
| --- | --- | --- |
| Criterion | Rating (NCR and/or Observation) | Reason for NCR and/or Observation |
| [site/business division] |
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| [site/business division] |
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