

# National Self-Insurer OHS Audit Tool

## User Guide & Workbook

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# INTRODUCTION

In 2005, a multi-jurisdictional working party of regulatory bodies under the Heads of Workers Compensation Authorities was formed to develop an occupational health and safety audit program and a set of audit guidelines that were agreed at a national level. The National Self-Insurer OHS Audit Tool - User Guide and Workbook was an outcome of that process. The content of this tool was based on Australian Standards, AS/NZS 4801 [*Occupational health and safety management system - Specification with guidance for use*] and AS/NZS 4804 [*Occupational health and safety management system – General guidelines on principles, systems and supporting techniques*]. Other industry-accepted audit tools, including SafetyMAP, the New South Wales Self Insurance Audit Tool, and the South Australian Performance Standards for Self-Insurers have been considered during the development of the National Self-Insurer OHS Audit Tool (NAT), version 1. The views of self-insured employers and other stakeholders have also been sought and considered.

In March 2009, a review of the NAT was undertaken by the members of the NAT Review Working Party taking into consideration the comments and feedback received from self-insured employers and other stakeholders. The outcome of the review is the National Self-Insurer OHS Audit Tool (NAT), version 2.

## **Auditing Occupational Health and Safety Management Systems by Regulators:**

By definition, an OHS Management System audit is a 'systematic examination against defined criteria to determine whether activities and related results comply with planned arrangements, and whether these arrangements are implemented effectively and are suitable to achieve the organisation's policy and objectives'.

The National Self-Insurer OHS Audit Tool defines the criteria that relevant Regulators will use within their jurisdictions to assess OHS Management Systems of Self-Insurers.

The scope of the audit may vary according to the needs of the Regulator. They may choose to focus their audits on critical components of the system, particular sites or business units, or they may find it necessary to audit the entire management system across the whole organisation.

Regulators acknowledge that Self-Insurers have the option and flexibility to use a variety of proprietary or in house products to help them develop and measure their OHS Management Systems.

## **Audits, inspections and legislative compliance:**

An audit of an OHS Management System is separate from a workplace inspection program. Inspections are conducted to detect hazards in the workplace and to check how well risk controls are working for particular activities, processes or areas. Audits look at the procedures and processes that are intended to manage the entire health and safety program, rather than the individual deficiencies and failures identified during inspections. These two activities (audit and inspection) are complementary to each other and are not mutually exclusive.

Some of the audit criteria in the National Self-Insurer OHS Audit Tool refer to the requirements of the relevant health and safety legislation, and conformance to these criteria should indicate that the organisation has adopted the management practices needed to fulfil its legal responsibilities. However, conformance to the audit criteria alone does not assure compliance with all statutory obligations nor does it preclude any action by a regulatory body.

### **Audits are not designed to assess the performance of individuals:**

Audits of OHS Management Systems should assess how effectively the system, including its structure, policies, planning activities, resourcing, operating procedures, and work practices combine together to manage the risks associated with the organisation's business. Audits are not designed to measure the performance of individuals working within the system.

### **Audits also generate information for management action:**

In addition to helping a Regulator make decisions regarding self-insurance, audits provide the organisation's management with fact-based information that can be used to review OHS Management System effectiveness and plan change that will ensure continual system improvements. The information generated through an audit will provide evidence of conformance or non-conformance with the audit criteria, however it is not designed to provide detailed recommendations for solutions to any identified problems.

### **Auditors:**

Self-insurance audits by regulatory bodies are conducted by appropriately qualified and experienced personnel. Various audit training and certification programs are available to ensure that they have the required competency and experience for this work.

The 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 National Self - Insurer OHS Audit Tool.

### **Self-audit programs:**

Self-Insurers may elect to engage the services of an independent auditor as part of their self-audit program to obtain objective verification of conformance to the National Self Insurer OHS Audit Tool.

When establishing a self-audit program, Self Insurers should consider:

- ▶ establishing an appropriately qualified and experienced audit team in accordance with section 7.4 of AS/NZS ISO 19011-2003;
- ▶ defining audit objectives;
- ▶ defining auditor responsibility and tasks;
- ▶ initiating audit by determining audit scope, frequency and review process;
- ▶ preparing audits by formulating an audit plan, audit team assignment and working documents;
- ▶ executing audits;
- ▶ submitting audit results using audit guidelines and an agreed audit plan;
- ▶ determining any corrective action to address non-conformance.

In other words, an audit should go beyond the 'paper trail' to establish the level of implementation within the workplace and whether the system contributes to improvement in health and safety performance. Evaluation of this evidence should enable the audit team to determine whether there is 'conformance' or 'non-conformance' with the audit criteria.

A self-audit report should also contain information about the evidence that contributed to the auditor's judgement of conformance or non-conformance. The audit report may also include opportunities for improvement where

identified. However, it is a management responsibility to decide what changes are required as a result of an audit and to initiate actions to improve performance.

**Summary:**

This User Guide & Workbook have been designed to assist those Regulators conducting audits against the National Self-Insurer OHS Audit Tool to understand and apply the audit criteria in a consistent manner. This will be beneficial to all Self-Insurers, including those who operate in more than one jurisdiction, as it will provide a similar benchmark for all audits. It can also be used by Self-Insurers when undertaking self-audits to help them prepare and monitor their performance against the same criteria used by the Regulators.

The following pages define the audit criteria, provide further information about the criteria to assist with interpretation and understanding, and offer guidance to auditors and users that may improve the efficiency and effectiveness of audit activities.

# Audit Criteria for National Self Insurer OHS Audit Tool

## Element 1: Health and safety policy

### 1.1 Policy

#### 1.1.1

Senior Management in consultation with all employees and/or their representatives, shall define and document its policy for, and commitment to occupational health and safety. The policy shall be endorsed and supported by the most senior person within the organisation such as the Chief Executive Officer or Managing Director. The health and safety policy shall 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 organisation or to which the organisation 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 employees;
- e) The consultation process to ensure all employees are included in the decision making processes impacting on workplace health and safety;
- f) The dissemination of health and safety information to all employees, contractors, labour hire employees and visitors to the workplace;
- g) Effective implementation of the health and safety policy.

#### 1.1.2

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

#### 1.1.3

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

## Element 2: Planning

### 2.1 Legal requirements and practical guidance

#### 2.1.1

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

#### 2.1.2

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

#### 2.1.3

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

#### 2.1.4

The organisation and/or individual satisfies legal requirements to undertake specific activities, perform work or operate equipment including any:

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

#### 2.1.5

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

### **2.2 Objectives and targets**

#### 2.2.1

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

- a) legal requirements;
- b) standards codes and guidelines;
- c) health and safety hazards and risks;
- d) leadership and employee participation; and
- e) technological developments.

#### 2.2.2

Specific health and safety objectives and measurable targets have been established for all relevant functions and levels within the organisation.

#### 2.2.3

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

### **2.3 Health and safety management plans**

#### 2.3.1

There is a health and safety management plan(s) that defines the means by which the organisation will achieve its objectives and targets. The plan(s):

- a) responds to legal requirements;
- b) is based on an analysis of information relevant to the nature of the organisation'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 organisation'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

#### 2.3.2

The organisation 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.

#### 2.3.3

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

#### 2.3.4

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

## **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 organisation's health and safety system.

#### 3.1.2

There are sufficient qualified and competent people to implement the organisation's health and safety system.

### 3.1.3

Those who represent employees on health and safety matters are provided with time and resources to effectively undertake this role.

## **3.2 Structure and responsibility -Responsibility and accountability**

### 3.2.1

Senior management can demonstrate an understanding of the organisation's legal obligations for health and safety.

### 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.

### 3.2.3

The specific health and safety responsibilities [including legislative obligations], authority to act and reporting relationships of all levels in the organisation have been defined, documented and communicated.

### 3.2.4

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

### 3.2.5

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

## **3.3 Structure and responsibility –Training and competency**

### 3.3.1

The specific requirements of tasks are identified and applied to the recruitment and placement of personnel.

### 3.3.2

The organisation has established and implemented procedures for identifying and defining the health and safety training needs (including any prescribed by legislation) for all employees, contractors, labour hire employees or visitors, where relevant. A written training plan(s) based on the outcomes of the training needs shall be developed and implemented.

### 3.3.3

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

### 3.3.4

The organisation consults with employees to identify their training needs in relation to performing their work activities safely.

### 3.3.5

The organisation trains personnel to perform their work safely, and verifies their understanding of that training.

### 3.3.6

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

### 3.3.7

Tasks are allocated according to the capability and level of training of personnel.

### 3.3.8

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

### 3.3.9

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

### 3.3.10

Refresher training (as required) is provided to all personnel to enable them to perform their tasks safely.



### 3.3.11

The training program is reviewed on a regular basis, and when there are changes to plant or processes in the workplace, to ensure that the skills and competencies of personnel remain relevant.

## **3.4 Consultation, communication and reporting – Consultation**

### 3.4.1

There are documented procedures, agreed to by employees, for employee involvement and consultation on health and safety matters, including a procedure for dealing with health and safety issues, and resolving disputes if they arise.

### 3.4.2

The organisation, in consultation with employees, has determined the number of employee representatives required to effectively represent all employee work groups.

### 3.4.3

The consultative arrangements allow the employees to select those who will represent them on health and safety matters.

### 3.4.4

Details of the consultative arrangements, including the names of their employee and employer representatives for health and safety matters, are communicated to employees.

### 3.4.5

Employees 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.

### 3.4.6

Employees or their representatives are consulted regarding proposed changes to the work environment, processes or practices and purchasing decisions that could affect their health and safety.

### 3.4.7

Employee representatives and management meet regularly about health and safety issues and minutes of their meetings are available to all personnel.

## **3.5 Consultation, communication and reporting – Communication**

### 3.5.1

The organisation's health and safety policy and other relevant information on health and safety are communicated to all employees, and consider language and standards of literacy.

### 3.5.2

The organisation regularly communicates to employees the progress towards the resolution of health and safety disputes.

### 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.

### 3.5.4

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

## **3.6 Consultation, communication and reporting – Reporting**

### 3.6.1

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

### 3.6.2

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

### 3.6.3

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

### 3.6.4

Regular, timely reports on health and safety performance are produced and distributed within the organisation.

### 3.6.5

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

### 3.6.6

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

## **3.7 Documentation**

### 3.7.1

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

### 3.7.2

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

## **3.8 Document and data control**

### 3.8.1

The organisation 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 points to prevent unintended use.

### 3.8.2

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

### 3.8.3

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

### 3.8.4

Documents and data are regularly reviewed by competent persons to ensure the adequacy and currency of information.

## **3.9 Health and safety risk management program**

### 3.9.1

The organisation has identified the hazards, including public safety hazards, that are associated with its activities, processes, products or services; assessed the risks involved; and implemented suitable control measures. The risks shall be eliminated, or otherwise controlled and monitored, in accordance with hierarchy of controls and legal requirements.

### 3.9.2

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

### 3.9.3

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

#### 3.9.4

Risks of identified hazards are assessed in consultation with employees having regard to the likelihood and consequence of injury, illness or incident occurring, based upon the:

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

#### 3.9.5

Identified control measures shall be implemented in accordance with the assigned risk control priorities.

#### 3.9.6

Risk management procedures shall be reviewed and revised where necessary to ensure relevance, currency and compliance to health and safety management system requirements.

#### 3.9.7

The organisation has a process for identifying and managing change that may impact on health and safety.

### **3.10 Hazard identification, risk assessment and control of risks**

#### 3.10.1

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

#### 3.10.2

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

#### 3.10.3

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

#### 3.10.4

Contractor health and safety performance is monitored and reviewed to ensure continued adherence to organisation's health and safety requirements or specifications.

#### 3.10.5

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

#### 3.10.6

Procedures shall be established and implemented for verifying that purchased goods conform to health and safety requirements, and any non-conformances shall be addressed before the goods are put into operational use.

#### 3.10.7

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

#### 3.10.8

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

#### 3.10.9

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

#### 3.10.10

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

#### 3.10.11

The organisation documents procedures or work instructions for the safe handling, transfer and transport of hazardous substances and dangerous goods.

### 3.10.12

Comprehensive health and safety information on all hazardous substances and dangerous goods is readily accessible.

### 3.10.13

The organisation ensures that hazardous substances and dangerous goods are safely stored.

### 3.10.14

There are 'Permit to Work' procedures for high-risk tasks.

### 3.10.15

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

### 3.10.16

Plant and equipment is maintained and a record is kept which includes relevant details of inspections, maintenance, repair and alteration of plant.

### 3.10.17

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

### 3.10.18

Appropriate controls are used to ensure the safety of persons working on or near plant and equipment that is in the process of being cleaned, serviced, repaired or altered.

### 3.10.19

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

### 3.10.20

Safety signs, (including regulatory, hazard, emergency information and fire signs), meet relevant standards and codes of practice, and are displayed in accordance with legal and organisational requirements.

### 3.10.21

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

### 3.10.22

Individuals are supervised according to their capabilities and the degree of risk of the task.

### 3.10.23

There are supervisory arrangements that ensure that tasks are performed safely and work instructions and procedures are followed.

### 3.10.24

There is a documented process which requires the organisation to identify potential health and safety hazards, (including public safety hazards), assess the potential risks and determine appropriate risk control strategies when providing its goods and/or services to others whether under contract or otherwise.

### 3.10.25

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

### 3.10.26

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

## **3.11 Emergency preparedness and response**

### 3.11.1

Potential emergency situations have been identified and emergency procedures are documented and regularly reviewed.

### 3.11.2

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

### 3.11.3

Employees receive training and practice in emergency procedures appropriate to their allocated emergency response responsibilities and the degree of risk.

### 3.11.4

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

### 3.11.5

Emergency and fire protection equipment, exit signs and alarm systems are inspected, tested and maintained at regular intervals.

### 3.11.6

A dangerous goods and/or hazardous substances manifest or inventory system is in place and in accordance with legal requirements.

### 3.11.7

The organisation has assessed its first aid requirements, and the first aid system in place is appropriate to the organisational risks.

### 3.11.8

The organisation has systems in place to assist employees who are exposed to critical incidents at work.

## **Element 4: Measurement and Evaluation**

### **4.1 Monitoring and measurement – General**

#### 4.1.1

There is a documented health and safety inspection, testing & monitoring programs that:

- a) meets legal requirements
- b) defines intervals based on identified risk;
- c) incorporates a reporting and corrective action process;
- d) uses workplace specific checklist(s);
- e) monitor conformance to the organisation's safe working procedures; and
- f) monitor the effectiveness of control measures.

#### 4.1.2

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

#### 4.1.3

Engineering controls, including safety devices, are regularly inspected and tested to ensure their integrity.

#### 4.1.4

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

#### 4.1.5

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

### **4.2 Monitoring and measurement – Health surveillance**

#### 4.2.1

The organisation has identified those situations where employee health surveillance should occur and has implemented systems to conduct this surveillance. The health of employees exposed to specific hazards is monitored, recorded, reported and action is taken to address any adverse effects.

### **4.3 Incident investigation, corrective and preventive action**

4.3.1  
There is a procedure, which includes involvement of operational line management, for the investigation of injuries, illnesses, incidents and other systems failures impacting on health and safety.

4.3.2  
Investigations shall:

- a) be undertaken by a competent person(s) in accordance with the organisation'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; and
- d) recommend appropriate control measures and corrective actions.

4.3.3  
Responsibility is assigned to identified personnel for implementing and reviewing the effectiveness of corrective actions arising from investigations.

4.3.4  
Corrective actions are discussed with personnel affected prior to implementation.

### **4.4 Records and records management**

4.4.1  
There are effective systems for management of health and safety records including their:

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

### **4.5 Health and safety management system audits**

4.5.1  
There is a health and safety management systems audit procedure that covers:

- a) audit scope;
- b) audit frequency;
- c) audit methodologies;
- d) auditor selection, independence, competencies and responsibilities;
- e) input from a representative sample of personnel; and
- f) the reporting of results.

4.5.2  
Scheduled audits are conducted to verify whether the health and safety management systems:

- a) comply with planned arrangements;
- b) have been properly implemented and maintained; and
- c) are effectively implemented across the organisation.

The audit program takes into consideration the significance of health and safety risks and the results of previous audits.

4.5.3  
Deficiencies highlighted by the audits are prioritised and progress monitored to ensure corrective action is implemented.

## **Element 5: Management Review**

### **5.1.1**

Senior management oversee a comprehensive documented review of the health and safety management system at defined intervals to ensure its continuing suitability and effectiveness in satisfying the organisation's stated health and safety objectives and targets. The reviews take into account health and safety management systems audit results, performance indicators, resources, business continuity, changing circumstances and a commitment to continual improvement.

### **5.1.2**

Recommendations arising from health and safety management systems reviews generate actions to improve performance.

# How to use this Guide

This User Guide is a combination of guidance and workbook and is designed to be printed double sided (or alternatively print only odd or even pages). For each criterion, guidance material is on the even numbered page and the workbook is on the odd numbered page.

## USER GUIDE

The **guidance** is set out as in the example below.

1.1.2

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

Audit  
Criterion

1



The company's health and safety policy communicates its commitment to health and safety and is freely available to all other parties with which it deals. This demonstrates to suppliers and contractors the level of support they can expect. The policy would normally be displayed in a prominent position in the organisation as a constant reminder of the company direction.

Explanation of  
criterion

2

### Examples



- Guidance to auditors and users

Guidance to  
Auditors &  
Users

3



- An electronic copy of the policy on the organisation's web page
- Policy contained in organisation's annual report
- Policy included in induction material
- Policy included in tender documentation

Examples of  
documents/  
records

4



- How are contractors advised about the health and safety policy?

Discussions or  
questions that  
may assist

5



- Policy on display in reception/visitor areas

'Walk around'  
Observations  
at the  
workplace

6

**1** The audit criterion is the **only auditable component**. The other information and examples (at points 2, 3, 4 & 5) are to provide information and assistance in understanding the criterion.

**2** The **information** section provides a further explanation of the criterion. This additional information may assist in interpretation of the criterion and provide some rationale for its inclusion in this audit tool

**3** **Additional factors** that auditors may need to consider when determining whether the system conforms with the audit criteria.

**4** The **examples of documents and/or records** give guidance about some of the paperwork that would assist in meeting the requirements of the criterion. It must be noted however, that the examples are not suggested as the only or preferred ways of meeting the criterion, nor should they be interpreted as a list which all organisations must have. An organisation may have different ways of meeting the requirements of the criterion and the examples should not detract from this.

**5** The **examples of questions** are included to help auditors determine whether an organisation is meeting the requirements of the criterion. The questions are intended as a supplement only, and do not try to cover all aspects. It is expected that there are many questions that would be asked in addition to the questions listed here.

**6** The **examples of walkaround** provide guidance about what might be observed in the workplace which would provide confidence that the organisation is managing the requirements of the criterion. In a health and safety audit, these observations may be necessary to demonstrate that the management system is providing a particular level of safety. Again, it is noted that these examples are not intended to be a comprehensive list of items that might need to be checked in a particular workplace.



**NB:** The absence of an example of documentation, questions, or walk around information does not mean that there is no documentation to see, question to ask or observation to be made in the workplace. For example, for criterion 3.9.1 no walk around guidance is offered but due to the wide range of potential issues that could be observed in the workplace, there would be an expectation of significant workplace observation being required by an auditor auditing this criterion.

## **WORKBOOK**

Workbook pages are provided for the recording of evidence. It is important to ensure that the relevant people are interviewed, and that where appropriate, the input of employees is sought.

The workbook pages should record information about the persons spoken with in relation to the criteria, the documents and records seen to assist in verification and the observations and comments that will be pertinent to assisting in the judgment of the standard of systems in relation to the criteria being assessed. By recording this information it should provide sufficient information to enable other persons, including persons that may conduct future audits, to understand the factors impacting on your decision-making.

On the basis of the evidence collected, a judgment can then be made about whether the criterion is applicable to the organisation and if so a rating is awarded. Usually this will be 'conformance' or 'non-conformance'. There is also a rating of 'not able to be verified'. The definitions for each of these are explained in the appendices.

# Element 1: Health and safety policy

## 1.1 Policy

**1.1.1 Senior Management in consultation with all employees and/or their representatives, shall define and document its policy for, and commitment to occupational health and safety. The policy shall be endorsed and supported by the most senior person within the organisation such as the Chief Executive Officer or Managing Director. The health and safety policy shall 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 organisation or to which the organisation 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 employees;**
- e) **The consultation process to ensure all employees are included in the decision making processes impacting on workplace health and safety;**
- f) **The dissemination of health and safety information to all employees, contractors, labour hire employees and visitors to the workplace;**
- g) **Effective implementation of the health and safety policy.**



A meaningful health and safety program depends on commitment from management. The health and safety policy or an equivalent is the primary document in the health and safety management system. It must clearly set out the intentions of the organisation with respect to continuous improvement of health and safety.

### Examples:



- An authorized copy of the policy document that clearly states health and safety objectives and an organisational commitment to both legislative compliance and improving health and safety.



- Can senior management explain the objectives of the health and safety policy?

**Criteria 1.1.1**

Senior Management in consultation with all employees and/or their representatives, shall define and document its policy for, and commitment to occupational health and safety. The policy shall be endorsed and supported by the most senior person within the organisation such as the Chief Executive Officer or Managing Director. The health and safety policy shall 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 organisation or to which the organisation 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 employees;
- e) The consultation process to ensure all employees are included in the decision making processes impacting on workplace health and safety;
- f) The dissemination of health and safety information to all employees, contractors, labour hire employees and visitors to the workplace;
- g) Effective implementation of the health and safety policy.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 1.1.2

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



The company's health and safety policy communicates its commitment to health and safety and is freely available to all other parties with which it deals. This demonstrates to suppliers and contractors the level of support they can expect. The policy would normally be displayed in a prominent position in the organisation as a constant reminder of the company direction.

#### Examples:



- An electronic copy of the policy on the organisation's web page.
- Policy contained in the organisation's annual report.
- Policy included in induction material.
- Policy included in tender documentation.



- How are contractors advised about the health and safety policy?



- Policy on display in reception/visitor areas.

**Criteria 1.1.2**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 1.1.3

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



Changes to the structure or operations of an organisation may affect the way health and safety is managed. The health and safety policy must reflect the present management structure and the current allocation of responsibilities. Reviews should consider changes to legislative requirements, industry technology and business focus.

#### Examples:



- The outcomes of the review process should also be used to modify and amend system's components such as, objectives, responsibilities, planning arrangements procedures and instruments (tools and forms) to ensure their relevance, currency and continuous improvement. The resources provided to support health and safety policy provisions should be assessed and reviewed regularly to evaluate their adequacy.



- Health and safety and associated policies containing dates of latest and proposed reviews.
- Policy post dates legislative or organisational changes.
- Minutes of management review meetings that record discussion of policy.



- Can management explain when the policy was last reviewed, and what triggered that review?

**Criteria 1.1.3**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

1.

2.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## Element 2: Planning

### 2.1 Legal requirements and practical guidance

#### 2.1.1

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



The organisation should keep abreast of all legislation and other requirements applicable to, or affecting its operations. For example, the organisation may have agreements with contractors, suppliers, customers and industry/employee associations. The content needs to be understood so that it can be applied within the organisation. Health and Safety Acts, Regulations and associated standards are subject to change, so the organisation also needs to have processes that ensure the changes are identified and applied. Outdated information needs to be discarded or marked in some way to indicate that it is no longer current.

#### Examples:



- A documented procedure that specifies how health and safety legislation and other relevant information is identified and maintained.
- Associated responsibilities allocated in job descriptions.
- Participation in a specialised subscription service that monitors legislative changes and issues updates or bulletins.
- Demonstrated access to web-based information providing legislative information updates and changes.



- Is the organisation represented at industry association meetings?
- Do they correspond or regularly connect with legislators and/or contribute to emerging health and safety standards and issues in the industry?



- A library or dedicated collection on site.



**Criteria 2.1.1**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 2.1.2

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



The organisation has an obligation to ensure compliance with current legal requirements and to be aware of other technical or industry standards and codes of practice which may influence the way work is planned and performed.

### Examples:



- A procedure for creating and reviewing procedures and work instructions, that checks applicable legislative and other requirements.
- Procedures and work instructions that reference current requirements.



- Can the relevant manager(s) explain how the organisation ensures that procedures meet relevant requirements?

**Criteria 2.1.2**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 2.1.3

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



Individuals should be aware of how to access the information relevant to the work they are undertaking. The organisation also needs to actively notify affected persons and workplace parties, so that the necessary activities or actions can be taken to ensure continued compliance or make appropriate changes to procedures.

#### Examples:



- Distribution lists for particular information, topics or issues.
- Copies of advisory memoranda.
- Minutes of meetings that record discussion of new requirements.



- Can employees nominate the location or contact person for reference information?



- Current information maintained at an accessible location such as at a library, on microfiche, in the health and safety department, electronically, etc.

**Criteria 2.1.3**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
- 2.
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**Observations and comments**

#### 2.1.4

The organisation and/or individual satisfies legal requirements to undertake specific activities, perform work or operate equipment including any:

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



The organisation needs to identify and meet current legal requirements for the operations that it undertakes or equipment that is held or operated, e.g.:

- Dangerous goods storage, manufacture and transport;
- Registrations of high risk plant such as pressure vessels, cooling towers, cranes and lifts;
- Licences or approvals for certain processes such as asbestos removal, use of carcinogens, radioactive sources and lead;
- Electrical work;
- Operation of particular types of industrial equipment, such as fork lift trucks;
- Rigging operations;
- Licensing and registration of vehicles; and/or
- Relevant driver's licences.

These and others may be applicable depending on the extent of the business and the jurisdiction in which it operates.

#### Examples:



- A list of the applicable site licensing or registration requirements with matching records.
- A register or record of licence holders.
- A list of plant requiring registration and copies of current registrations.
- Copies of licences.
- Correspondence from legislative authorities.



- Can the relevant manager(s) explain how licences, etc. are kept current?
- Can relevant employees nominate the legal requirements for specific work or equipment?



- Licences/certificates carried by users of mobile plant.
- Registration certificates displayed on plant.

**Criteria 2.1.4**

The organisation and/or individual satisfies legal requirements to undertake specific activities, perform work or operate equipment including any:

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

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
- 2.
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**Observations and comments**

## 2.1.5

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



The organisation should conduct a systematic check of legislative changes and updated standards or codes to identify whether any alterations are needed to the current methods of work.

### Examples:



- An information management procedure which requires reviews of procedures and work instructions in response to new information.
- Copies of procedures and work instructions which reference current legislation, standards and codes.
- Minutes of meetings where the organisation's current work practices are reviewed against the latest industry or legislative requirements.



- How can you demonstrate that you do this?
- Can you give some examples?



**Criteria 2.1.5**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

## 2.2 Objectives and targets

### 2.2.1

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

- a) legal requirements;
- b) standards, codes and guidelines;
- c) health and safety hazards and risks;
- d) leadership and employee participation; and
- e) technological developments.



Any objectives need to consider all the issues that can impact on the setting of health and safety objectives and the achievement of targets. A risk assessment approach can be used to prioritise action. The involvement of employees in the setting of goals and objectives is encouraged. The objectives and targets must also be tailored to the organisation's risk exposure and give consideration to employees, the working environment and locations, technology and any current information about the risks. The organisation may also consider safety culture and the external business environment.

#### Examples:



- Minutes of meetings which record discussion about the selection of suitable health and safety objectives and targets.
- Health and safety objectives and targets reference the standard to be met, e.g. legal requirement, technical requirement.
- Safety culture survey results influence the development of objectives and targets.
- Objectives and targets reflect senior management involvement.



- Who was involved in the setting of the objectives and targets?

**Criteria 2.2.1**

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

- a) legal requirements;
- b) standards, codes and guidelines;
- c) health and safety hazards and risks;
- d) leadership and employee participation; and
- e) technological developments.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 2.2.2

#### **Specific health and safety objectives and measurable targets have been established for all relevant functions and levels within the organisation.**



The organisation should determine its objectives and develop measurable targets which meet these objectives. Commitment to achieving these outcomes would be expected to be incorporated in the company's health and safety policy. The targets must be achievable, measurable and integral to the organisation's everyday work. Targets need to be set across all functions of the organisation (including operations, administration, sales, etc.) so that safety is viewed as a part of routine activities.

#### **Examples:**



- Minutes of meetings which record discussion of health and safety objectives and targets.
- Health and safety plan which lists objectives and targets to be met by particular departments for given time frame, for example:
  - (i) Objective: Eliminate injuries associated with forklift trucks. Target: Zero injuries in a financial year
  - (ii) Objective: Provide OHS induction training for all new employees. Target: Training to be provided in first week of employment.
- Business and individual performance plans which detail specific targets for health and safety and how they will be measured.



- How are objectives and targets measured?
- Do you record the measurement?
- Which functions have been determined as relevant for the development of objectives and targets?
- Can line managers explain how objectives and targets cascade through the organisation and demonstrate how it's achieving the occupational health and safety plans?
- Can line managers explain how they contribute to the development of objectives and targets?



- Noticeboards displaying objectives and targets and information on progress to meet the objectives and targets.

**Criteria 2.2.2**

**Specific health and safety objectives and measurable targets have been established for all relevant functions and levels within the organisation.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

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

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**Observations and comments**

### 2.2.3

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



Measurement of health and safety performance should extend beyond statistics relating to injury numbers or injury rates, i.e. 'negative indicators'. Whilst these are vital, they provide information after the event. 'Positive' or lead indicators are measures of actions taken to prevent injury and disease such as number of inspections conducted, training provided, risk assessments conducted, etc. which demonstrate progress on preventive actions.

#### **Examples:**



- Suitable performance indicators are included in performance appraisals.
- Both positive and negative indicators are used when measuring progress against the health and safety program.
- Health and safety plan which lists health and safety performance indicators to be met by particular departments, for example:
  - (i) Percentage of injuries associated with forklift trucks and
  - (ii) Percentage of new employees given OHS induction training in first week.



- What performance indicators have been set?

**Criteria 2.2.3**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

1.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 2.3 Health and safety management plans

### 2.3.1

There is a health and safety management plan(s) that defines the means by which the organisation will achieve its objectives and targets. The plan(s):

- a) responds to legal requirements;
- b) is based on an analysis of information relevant to the nature of the organisation'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 organisation'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.



In order to achieve systematic, and sustainable improvements in health and safety, the organisation needs to plan and organize the activities. Sometimes the complexity of an operation or organisational change requires specific detailed plans to be developed to augment the general health and safety plan. All relevant available information should be evaluated prior to the development or review of health and safety plans. Information gained through hazard identification and risk assessment will provide a firm foundation for a strategic plan. Accident and incident records will highlight problems which need to be addressed in such plans. For example, if records indicate that manual handling type injuries are the most likely to occur, then improvements may be indicated in the way manual handling is addressed at the workplace. Other information, such as the results of employee surveys or the planned introduction of new technology, may need to be considered in health and safety plans. Information from external sources also provides vital input. Such information may range from the specific requirements of health and safety legislation, standards and codes, to industry knowledge and experience with the processes or products involved. Some tasks within the plan will be more important than others, some tasks will be easier to achieve and some will require additional personnel or other resources. The plan needs to identify all these factors, including the persons who are allocated prime responsibility for ensuring that each task is completed, and what measurements will be acceptable as an indication that the task is complete.

#### Examples:



- Hazard, incident or other health and safety data/records which match the issues covered in the health and safety plan.
- A documented health and safety plan which references particular legislation, Australian or industry standards or codes.
- Minutes of meetings which record the sources of information used in the development or review of the health and safety plan.
- A documented health and safety plan which includes objectives and the means by which those objectives will be achieved through the allocation of resources, completion dates, and responsibilities.
- A series of documented plans or projects developed to address a particular activity.



- Are staff aware of the health and safety plan and their part in it?



- Health and safety plan(s) are available in the workplace.



**Criteria 2.3.1**

**There is a health and safety management plan(s) that defines the means by which the organisation will achieve its objectives and targets. The plan(s):**

- a) responds to legal requirements;**
- b) is based on an analysis of information relevant to the nature of the organisation’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 organisation’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.**

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 2.3.2

#### **The organisation 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.**



Uncontrolled hazards have the potential to cause injury or illness to employees and members of the public. The uncontrolled hazards must be identified before action can be taken to reduce the associated health and safety risks. Risk assessment means establishing whether there is a risk associated with the identified hazards. Having identified the hazards and assessed the risks, the organisation needs to establish effective control measures. Any process for controlling hazards should demonstrate consideration of the hierarchy of control.

The organisation needs to establish what risk assessment models may be useful in qualifying and quantifying their risk exposures. Legislative requirements also need to be incorporated into the methodology, e.g. some jurisdictions mandate factors to be considered in risk assessment processes and prohibit certain control options. The organisation should integrate this formal, systematic process into their daily operations, such as tendering to supply services.

#### **Examples:**



- Documented procedures for reduction of risk across the organisation and its operations using the process of hazard identification, risk assessment and risk control, e.g. to review plant, equipment and standard work procedures.
- Documented procedures for hazard identification, risk assessment and risk control across the various business activities in the organisation.
- A documented procedure which requires the use of the hierarchy of controls in the determination of control measures.

**Criteria 2.3.2**

The organisation 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.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 2.3.3

**The organisation monitors its progress towards meeting the objectives and targets set in the health and safety plan and takes corrective actions to ensure progress is maintained.**



Monitoring of the progress of the health and safety plan provides an opportunity to:

- Confirm that realistic targets have been set;
- Revise priorities; and
- Reallocate resources to areas that need help.

#### **Examples:**



- Minutes of meetings that record discussion about progress towards health and safety targets.
- Regular reports from individual departments about progress towards the set objectives and corrective actions undertaken.



- How does the organisation monitor progress?

**Criteria 2.3.3**

**The organisation monitors its progress towards meeting the objectives and targets set in the health and safety plan and takes corrective actions to ensure progress is maintained.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
- 2.
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**Observations and comments**

#### 2.3.4

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



Changes are inevitable, whether generated by new technology, internal restructures or imposed through different or difficult operating conditions. The organisation needs to make sure that the planning process anticipates, considers and incorporates changes where necessary so that objectives can still be met.

#### **Examples:**



- Reviews should be conducted regularly at appropriate intervals to ensure continuing suitability and effectiveness of the system to satisfy the organisation's health and safety needs in all areas of business activity.



- Dates of reviews found on minutes, memos or other documents.
- Reports of findings of reviews.



- What circumstances generate a review of the health and safety plan?

**Criteria 2.3.4**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

## 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 organisation's health and safety management system.**



To achieve the objectives of the health and safety management system, it needs to be adequately resourced and those resources should be directed towards the reduction of the organisation's health and safety risks. The level of resources also needs to be reviewed at regular intervals. Physical resources can include the reference library, monitoring equipment, suitable facilities for health and safety training, etc.

#### Examples:



- Resources are identified and allocated in system documentation.
- Reports, minutes of meetings etc. that confirm resources have been reviewed.
- Physical evidence of the allocation of resources, e.g. new equipment, modifications to plant and training facilities.
- Budget information that demonstrates allocation of resources to implement the system.



- Are financial resources directed towards higher order controls which will reduce risk, e.g. engineering?



**Criteria 3.1.1**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.1.2

**There are sufficient qualified and competent people to implement the organisation's health and safety management system.**



A successful health and safety management system requires access to specialist advice and guidance. Employing specialised staff within the organisation should provide advantages, such as having an understanding of the operations and personnel, and being able to keep and use the knowledge gained from working with health and safety issues at the workplace. Advice and guidance can also be obtained from a variety of sources such as health and safety consultants, occupational physicians, ergonomists, engineers, chemists and hygienists.

#### **Examples:**



- Documentation for health and safety personnel that shows their qualifications and experience.
- Reports of health and safety advice received from external providers, e.g. noise and plant assessments.
- Contracts with health and safety professionals to provide specific services, e.g. health surveillance and medicals.



- How did the organisation determine that they have access to sufficient qualified and competent people?
- What are the qualifications and competencies of the people?

**Criteria 3.1.2**

**There are sufficient qualified and competent people to implement the organisation's health and safety management system.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

1.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.1.3

**Those who represent employees on health and safety matters are provided with time and resources to effectively undertake this role.**



Employees provide valuable input to the health and safety program. Management needs to demonstrate their support of employee representatives by providing them with opportunities to confer with their employee groups and attend training, and provide access to information and other facilities such as telephone, photocopier, filing cabinet, etc. as needed.

#### **Examples:**



- Evidence of employee representative's participation in:
  - Risk assessments;
  - Health and safety training;
  - Workplace inspection;
  - Committee meetings; and
  - Accident/incident investigations, etc.



- Do employee representatives confirm that adequate support is provided?
- Do employee representatives confirm that they have the time to adequately handle individual employee health and safety concerns raised with them?



- Suitable facilities available for use by employee representatives.

**Criteria 3.1.3**

Those who represent employees on health and safety matters are provided with time and resources to effectively undertake this role.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 3.2 Structure and responsibility -Responsibility and accountability

### 3.2.1

**Senior management can demonstrate an understanding of the organisation's legal obligations for health and safety.**



It is essential that senior management are aware of their legal obligations for health and safety in relevant jurisdictions and have an understanding of how to go about meeting those obligations.

#### Examples:



- Letters and memoranda from senior managers concerning legal requirements.
- Records of attendance and course details for relevant health and safety training attended by senior management.
- Documentation provided to senior management explaining the legal obligations they have.



- Can senior management explain their organisation's health and safety legislative obligations?

**Criteria 3.2.1**

**Senior management can demonstrate an understanding of the organisation's legal obligations for health and safety.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and 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.**



Senior management should demonstrate an understanding of the current health and safety performance of the organisation. This is most likely to occur if a member of the senior management group or board has overall responsibility for the systems that manage health and safety.

#### **Examples:**



- A senior management representative should be identified with responsibility, authority and accountability defined, for ensuring the health and safety management system is implemented and maintained.



- Document that confirms allocation of health and safety management system responsibility to a senior manager or board member.
- Organisation chart that shows a senior manager or board member has responsibility for the health and safety function.
- Minutes of management review meetings chaired or attended by the person responsible for the health and safety management system.
- Minutes of board meetings that record the tabling of relevant information or reports.



- Is there a senior manager or board member with health and safety responsibilities?
- When was the last time that the appointed person reported on health and safety management system performance to the senior management group and/or board of directors?



**Criteria 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.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.2.3

**The specific health and safety responsibilities [including legislative obligations], authority to act and reporting relationships of all levels in the organisation have been defined, documented and communicated.**



The organisation needs to implement arrangements to meet its general and specific health and safety legislative responsibilities, e.g. nomination of management health and safety representatives, registration and maintenance of plant, training, supervision, health monitoring and reporting, record keeping, notification of incidents or participation in consultative arrangements. People also need to understand their role within the health and safety management system. This requires the organisation to provide detail to their personnel about actions required to meet the allocated responsibilities.

#### Examples:



- Responsibility and authority for health and safety should be defined in position descriptions or aggregated in a format that is readily accessible by the position holder. The authority to implement these responsibilities should also be defined and documented.



Detailed or specific responsibilities and reporting relationships defined and allocated in:

- The health and safety policy;
- Health and safety agreement;
- Health and safety manual or work instructions;
- Contract/tender documents;
- Position descriptions; and
- Organisation structure or chart.



- Can people demonstrate knowledge of their health and safety responsibilities?
- Do people know the health and safety responsibilities that have been assigned to other people?

### Criteria 3.2.3

The specific health and safety responsibilities [including legislative obligations], authority to act and reporting relationships of all levels in the organisation have been defined, documented and communicated.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.2.4

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



Many organisations use contractors to provide services. Although the employment conditions of contractors may vary considerably from those of other employees, the organisation still owes a duty of care to contractors and their employees. The contractors also have obligations. To avoid confusion and prevent erroneous assumptions, the responsibilities and accountabilities for occupational health and safety should be sorted out between the parties. For instance, the contractor and the organisation should define which party will take responsibility for control of the working area, systems of work, plant and equipment, hazardous substances use, storage and disposal, induction training, supervision, resolution of issues, first aid facilities, etc. Having done that, the organisation should make sure that all relevant parties are informed of the health and safety arrangements.

#### Examples:



- The responsibility, authority and accountability of contractors, and labour hire employees to carry out health and safety management system requirements, should be defined. Appropriate training should be provided to ensure they are competent to meet the system requirements.
- The organisation should define an accountability process to ensure that responsibilities are performed effectively.
- Position description for 'contract manager' which describes responsibilities for sorting out the various health and safety responsibilities and communicating that information.
- Signed contracts which define the persons responsible for each of the health and safety actions and activities to be undertaken and facilities to be provided.
- Information on responsibilities provided to employees and contractors.
- Induction program for contractors covering responsibilities and accountabilities.
- Contractor review procedures incorporate health and safety performance review.



- Can employees explain their responsibilities to contractors?
- Can contractors and/or contractor employees explain their health and safety responsibilities to the organisation's employees?

### Criteria 3.2.4

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.2.5

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



There needs to be some measurement of whether managers, supervisors, employees and others in the workplace are meeting their allocated health and safety responsibilities. A formal review of performance should include measurements of health and safety achievements against the assigned responsibilities.

#### **Examples:**



- The roles and responsibilities are reviewed during the audit process.
- The organisation should define an accountability process to ensure that responsibilities are performed effectively.



- Documented individual health and safety performance appraisals or reviews for personnel with health and safety responsibilities.
- Group performance schemes which evaluate health and safety performance.
- Notes or records of interviews where health and safety performance has been discussed.



- Has there been any assessment of health and safety performance of individuals in line with their allocated responsibilities?
- Can personnel explain how they are held accountable for their allocated health and safety responsibilities?

**Criteria 3.2.5**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.3 Structure and responsibility –Training and competency

#### 3.3.1

**The specific requirements of tasks are identified and applied to the recruitment and placement of personnel.**



The safe performance of some tasks may require the employee to have particular skills and competencies. For example, a plant operator's certificate of competency or demonstrated knowledge or qualification in a particular subject. There are also some tasks where there can be medical requirements relevant to the safe and satisfactory performance of the task. For example, one would not assign a person who was colour blind to a task where colour perception was essential to safety.

#### Examples:



- Job task analysis/workplace assessments or similar process undertaken which identifies the specific requirements, including medical constraints, of tasks undertaken in the organisation.
- Job descriptions or similar which identify the specific requirements relevant to health and safety of tasks to be performed.
- Records of the staff selection process that demonstrate the selection of candidates/job applicants who meet relevant health and safety requirements.



- What tasks have been identified as having specific requirements impacting on health and safety?



**Criteria 3.3.1**

The specific requirements of tasks are identified and applied to the recruitment and placement of personnel.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.3.2

**The organisation has established and implemented procedures for identifying and defining the health and safety training needs (including any prescribed by legislation) for all employees, contractors, labour hire employees or visitors, where relevant. A written training plan(s) based on the outcomes of the training needs shall be developed and implemented.**



An organisation needs to determine the competencies or qualifications, training and experience required by their employees and others for the safe performance of the various tasks at the workplace. This includes 'volunteers' where these people work on a regular basis with the organisation. Even contractors who are engaged to perform specialised work may require additional in-house training to participate in certain tasks, e.g. maintenance. In situations where a contractor has developed such a training plan for its employees, the host organisation needs to have access to a copy of this plan.

It also follows that there must be a process for matching individuals against the competencies, and providing extra training where needed.

Competency based training focuses on training individuals to perform actual jobs in the workplace. The training program should:

- identify what people need to do in their jobs;
- identify what people need to know to do their jobs;
- identify the standard of performance required in the job; and
- identify how, when, where and by whom assessment will occur.

The training should include all aspects of work performance and not just narrow task skills. Employees should be able to transfer and apply skills, knowledge and attitudes to new situations and environments as a result of training.

#### Examples:



- Health and safety competencies (skills, knowledge, experience and qualifications) for all levels of the organisation should be identified and documented as a competency profile for all employees or positions including senior management, line managers/supervisors, operations personnel, those with specific responsibilities such as first aiders, fire wardens and safety representatives. The identified competencies should take into account the work activities of the organisation and any risk associated with the conduct of such activities. Training requirements should be at a minimum, the gap between the training need for the position and the established competency of the individual to safely perform the position.



- Job descriptions detailing skills/competencies required.
- Training needs analysis.
- Task skills matrix showing individual competencies and further training needs.
- Organisational training plan.
- Personal development plans for individuals.
- Results of assessment of employees for specific tasks.



- How were training needs determined?
- How are employees and volunteers assessed?
- Do personnel have the competencies identified as required?

**Criteria 3.3.2**

The organisation has established and implemented procedures for identifying and defining the health and safety training needs (including any prescribed by legislation) for all employees, contractors, labour hire employees or visitors, where relevant. A written training plan(s) based on the outcomes of the training needs shall be developed and implemented.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.3.3

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



All new and transferred personnel, regardless of level, need induction in health and safety policy and procedures, emergency procedures, accident reporting, hazard reporting, consultative arrangements, etc. The extent of training should be determined by the level of risk associated with the undertaking. An assessment is also needed to determine the briefing requirements for visitors and contractors. This ensures that they are informed of the health and safety requirements at the work-site. The induction requirements will vary according to the site visited and the activities undertaken by the visitors and contractors, e.g. a supermarket would be expected to have very different procedures to an oil refinery.

#### Examples:



- Documentation that outlines the content of the induction training.
- Induction records for all employees, including managers.
- Contractor induction program.
- Records of visitor briefings and contractor inductions.



- Have top management, e.g. Chief Executive Officer, been inducted into the organisation?
- Can employees (including casuals and volunteers) confirm their attendance at induction training?



- 'Briefing' procedure(s) for visitors which, depending on requirements, vary from full site induction to 'sign-in books' and visitor pamphlets or cards.

**Criteria 3.3.3**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.3.4

**The organisation consults with employees to identify their training needs in relation to performing their work activities safely.**



Working with employees to clarify training needs will not only identify training gaps but provide information about opportunities for further improvement or enhancement of job performance.

#### **Examples:**



- Consultative mechanisms include OHS training requirements and these are reported at OHS meetings or other appropriate forums.
- Consultation regarding training requirements can be discussed at toolbox talks and recorded in minutes.



- Can employees confirm that their supervisors talk with them about extra training requirements?

**Criteria 3.3.4**

**The organisation consults with employees to identify their training needs in relation to performing their work activities safely.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.3.5

#### The organisation trains personnel to perform their work safely, and verifies their understanding of that training.



The organisation needs to ensure that employees, contractors, or labour hire employees undertaking tasks have the competency to perform them safely. This applies to new employees and to those transferring from another site or department. Training must be understood, and applied to actually benefit the organisation and the individual. The training must ensure that those with language, literacy or learning difficulties are able to understand the information. The organisation needs to develop methods by which it can measure the individual's understanding of the learning outcomes and also the ability to apply that new understanding in the workplace. Records of all training should be maintained, including on the job or 'buddy' training.

#### Examples:



- The competency of employees including any contractors, or labour hire employees should be assessed prior to their being expected to carry out the tasks associated with their position responsibilities.



- Documentation concerning the content of the training and how it is delivered.
- Training program materials that demonstrate attention to differing levels of ability and literacy.
- Training evaluations which match the documented requirements, e.g. completed tests and supervisor evaluations.
- Job specific health and safety training records for all employees.



- How does the organisation confirm that employees contractors, or labour hire employees understand the written and spoken components of their training?



**Criteria 3.3.5**

**The organisation trains personnel to perform their work safely, and verifies their understanding of that training.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.3.6

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



To deliver effective training, trainers need the skills and knowledge of the task combined with an ability to impart that knowledge and information. The mix of these may differ depending on the type of training and the types of skills and knowledge to be imparted.

#### Examples:



- Training and assessment responsibilities should be designated to competent persons and statements of responsibility, authority and accountability established. Responsibilities should include training delivery, supervision, assessment and/or verification tasks.



- 'Train the trainer' records or equivalent.
- Skills, knowledge and experience of the trainer had been defined and documented.



- How do you determine what the appropriate knowledge, skills and experience of the trainer needs to be?
- How do you check the skills and competencies of those providing training?
- How do you check that the trainer is appropriate to the task?

**Criteria 3.3.6**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

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**Observations and comments**

### 3.3.7

#### Tasks are allocated according to the capability and level of training of personnel.



An organisation should only allocate tasks to employees who are capable of undertaking the tasks safely. The skill and training of the employee must be matched to the requirements of the task.

#### Examples:



- A task analysis that identifies the competencies, including the specific health and safety competencies of the task.
- A recruitment procedure that ensures persons chosen to undertake tasks have the necessary competencies.
- Records that identify the training undertaken by personnel to enable them to undertake their job safely.
- A 'return to work' process that matches employees to tasks that they can perform safely whilst recuperating from injury, illness or other trauma.
- Skills/competency matrix of personnel is developed and used to assign individuals to appropriate tasks.



- Can the organisation explain on what basis people are allocated to particular tasks?

**Criteria 3.3.7**

**Tasks are allocated according to the capability and level of training of personnel.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.3.8

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



Managers and supervisors should know their legal health and safety obligations. They also need to participate in such things as development of health and safety management plans, the risk management process, check that hazard control measures function correctly, etc. and have sufficient knowledge to ensure that employees under their direction perform the work safely.

#### Examples:



- Training program outline which covers relevant content.
- Training attendance records for managers and supervisors in accordance with identified needs.



- Have you received health and safety training, when was this and what was covered by that training?
- Can managers confirm they have received health and safety training?
- Can managers explain what was included in their health and safety training?

**Criteria 3.3.8**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.3.9

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



To be effective, employer and employee representatives need training that covers health and safety management principles, health and safety legislation, and the consultation process. Some jurisdictions mandate the level of training required.

#### **Examples:**



- Suitable training course outline(s).
- Records of attendance for both employer and employee representatives.



- Can employee and management representatives confirm that they have attended the relevant training?



**Criteria 3.3.9**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.3.10

**Refresher training (as required) is provided to all personnel to enable them to perform their tasks safely.**



Over time there is a tendency for people to forget aspects of tasks, especially when tasks are not performed regularly. An assessment should be made to determine when refresher training for particular competencies and tasks is needed, and at what intervals.

#### **Examples:**



- Training plan which contains time frames for refresher training as appropriate.
- Training records that show refresher training has been conducted in line with the assessment/training plan.
- Identification of processes/plant requiring refresher training.



- Can employees confirm that adequate refresher training is provided?

**Criteria 3.3.10**

**Refresher training (as required) is provided to all personnel to enable them to perform their tasks safely.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.3.11

**The training program is reviewed on a regular basis, and when there are changes to plant or processes in the workplace, to ensure that the skills and competencies of personnel remain relevant.**



Training courses need to be regularly reviewed to determine whether they are still up to date and are achieving the desired outcomes. Courses should also be reviewed when equipment or work practices are changed.

#### **Examples:**



- Procedures for the review of training and assessment should be implemented to ensure the effectiveness of programs to meet skills and knowledge requirements of the workplace. Review outcomes should be used to update competency profiles, program requirements, resources and strategies to maintain relevance, currency and continuous improvement.



- Records of training reviews.
- Examples of changes in training following changes in plant or processes.



- When was the last time that the training program was reviewed?
- Can employees confirm that when there are changes to plant or processes that they have received appropriate training?

**Criteria 3.3.11**

The training program is reviewed on a regular basis, and when there are changes to plant or processes in the workplace, to ensure that the skills and competencies of personnel remain relevant.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 3.4 Consultation, communication and reporting – Consultation

### 3.4.1

There are documented procedures, agreed to by employees, for employee involvement and consultation on health and safety matters, including a procedure for dealing with health and safety issues, and resolving disputes if they arise.



To ensure consistency and gain employee commitment, arrangements for employee health and safety representatives and consultative processes should be documented and communicated to employees. This enables employees to participate in improving health and safety within the organisation. The documented procedures should also define what constitutes a health and safety issue, how issues are to be reported, to whom, and the methods for resolving such issues. An issue resolution procedure reduces the possibility of a health and safety issue escalating into an industrial dispute. The procedure should set out the involvement of the various parties in the workplace such as employees, employee health and safety representatives, supervisors, managers and also the involvement of any external body when an issue cannot be resolved within the work place.

#### Examples:



- Documented consultation procedure.
- Terms of reference for a health and safety committee.
- A documented and agreed health and safety issue resolution procedure which is relevant for all parties in the workplace, identifies the various types of health and safety issues that may arise in a workplace and the way of handling those health and safety issues.



- Have employee representatives agreed to the formal consultation arrangements?



- Procedures or flowchart displayed in the workplace.

**Criteria 3.4.1**

**There are documented procedures, agreed to by employees, for employee involvement and consultation on health and safety matters, including a procedure for dealing with health and safety issues, and resolving disputes if they arise.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.4.2

**The organisation, in consultation with employees, has determined the number of employee representatives required to effectively represent all employee work groups.**



Effective consultation is achieved when all employees have an opportunity to hear about and raise health and safety issues and concerns. This will be simple in a small workplace, but more complex in an organisation where there are a range of employee skill levels, multiple sites, differing operations and hazards. The number of employee representatives will depend on factors such as:

- a) The overall number of employees;
- b) Overtime and shift arrangements;
- c) The number and grouping of employees who perform similar types of work;
- d) The separation of work areas;
- e) The variety of work; and
- f) The nature of the hazards at the workplace.

#### **Examples:**



- Minutes of meetings that record discussion of representation arrangements.
- Agreed list of work groups or areas having employee representatives.



- Are employees satisfied with the number and representation of employee representatives for health and safety?
- How was the number of employee representatives determined?



**Criteria 3.4.2**

The organisation, in consultation with employees, has determined the number of employee representatives required to effectively represent all employee work groups.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.4.3

The consultative arrangements allow the employees to select those who will represent them on health and safety matters.



For consultation to be effective, employees need to have confidence in those who will represent them. Therefore employees need to be involved in the selection process.

#### Examples:



- Documented consultative arrangements that provide for employees to elect a representative.
- Meetings which record elections of employee representatives.
- A list of employee representatives.



- Did employees select their current health and safety representative?



- Election information posted on noticeboards.

**Criteria 3.4.3**

**The consultative arrangements allow the employees to select those who will represent them on health and safety matters.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

#### 3.4.4

**Details of the consultative arrangements, including the names of their employee and employer representatives for health and safety matters, are communicated to employees.**



Communication must ensure all employees are aware of those persons who can help them to resolve health and safety issues and how the process works. Arrangements for employee health and safety representatives and consultative committees should be documented and widely known.

#### **Examples:**



- Information about consultation and issue resolution arrangements are included in induction or other training
- Names of employee and employer representatives communicated, e.g. electronically or included in team briefings.



- Can employees name their representatives?



- Names/pictures of employee and employer representatives posted on noticeboards.
- Information about consultation posted on noticeboards

**Criteria 3.4.4**

Details of the consultative arrangements, including the names of their employee and employer representatives for health and safety matters, are communicated to employees.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.4.5

#### **Employees 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.**



When procedures are developed or reviewed, employees should be consulted and involved in the process. In this way valuable information on hazard identification and control can be gained. The procedures developed from this process are more likely to be accepted by employees due to their involvement.

#### **Examples:**



- Terms of reference for a health and safety committee.
- Minutes of meetings that record discussion relating to the formulation of relevant policies and procedures.
- Examples of working papers that show the employee involvement in development of a relevant policy or procedure.



- Can employees or their representatives recall being involved in the development or review of policies and procedures?

**Criteria 3.4.5**

**Employees 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.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.4.6

**Employees or their representatives are consulted regarding proposed changes to the work environment, processes or practices and purchasing decisions that could affect their health and safety.**



Employees often have a wealth of practical experience that can be valuable in ensuring that workplace changes are implemented effectively. It is appropriate to consult with the relevant employees when changes are proposed, so that potential health and safety issues can be identified and resolved.

#### **Examples:**



- Project documentation that mandates consultation with employees as part of the process.
- Minutes of team briefings/meetings recording discussion on proposed workplace changes.
- Minutes of health and safety committee meetings recording discussion on proposed workplace changes.



- Can employees/representatives confirm that they receive information about proposed changes and have an opportunity to contribute or comment prior to the changes being put into place?



**Criteria 3.4.6**

**Employees or their representatives are consulted regarding proposed changes to the work environment, processes or practices and purchasing decisions that could affect their health and safety.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.4.7

**Employee representatives and management meet regularly about health and safety issues and minutes of their meetings are available to all personnel.**



Effective health and safety consultative arrangements require the participants to meet at regular intervals and keeps a record of what is discussed. Copies of the minutes should be available to all personnel. In some organisations these arrangements may take the form of one or more health and safety committees.

#### **Examples:**



- Employee and management representatives confirm that meetings are held regularly and according to schedules.
- Minutes of consultative meetings are distributed electronically or by other means.
- Minutes of meetings demonstrate attendance by employee representatives across all shifts.
- Health and safety committee terms of reference which refer to meeting schedules.
- Committee meeting calendar.
- Minutes of committee meetings which match schedules.



- Do employees know where to find copies of current consultative meeting minutes?



- Meeting schedules and minutes of previous meetings posted on noticeboards.

**Criteria 3.4.7**

**Employee representatives and management meet regularly about health and safety issues and minutes of their meetings are available to all personnel.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 3.5 Consultation, communication and reporting – Communication

**3.5.1**  
The organisation's health and safety policy and other relevant information on health and safety are communicated to all employees, and consider language and standards of literacy.



An effective method for the systematic distribution of information should be developed. Employees need accurate health and safety information to perform their work safely, and the organisation must fulfil its obligations to keep employees informed about health and safety activities and issues. Where there are multiple committees or where organisations have different locations with similar operations, an exchange of health and safety information can be invaluable. Where employees may have difficulty understanding or reading English, the information needs to be translated or directly explained to individuals.

### Examples:



- A documented procedure for information distribution.
- Minutes of regular 'tool box' meetings incorporating a health and safety focus.
- An organisational publication which includes regular articles on health and safety.
- A computer network which provides relevant health and safety information to all employees.
- Designated workplace translators.
- Information presented in languages other than English.



- Can employees give the location of, or explain the content of the organisation's health and safety policy?
- Do employees receive other relevant health and safety information?



- Health and safety policy displayed on noticeboards.
- Copies of health and safety publications/alerts posted on noticeboards.
- Health and safety information posted in pictorials or in languages other than English.

**Criteria 3.5.1**

**The organisation's health and safety policy and other relevant information on health and safety are communicated to all employees, and consider language and standards of literacy.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

1.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.5.2

#### The organisation regularly communicates to employees the progress towards the resolution of health and safety disputes.



The dispute resolution procedures need to explain how feedback is provided to employees. The requirement to report progress will tend to encourage action by the responsible parties to resolve matters in a timely fashion. Similarly, where matters are complex and difficult to resolve, employees are more likely to understand the reasons for delays. Relying on health and safety committee meeting minutes to communicate information may not always be appropriate. Sometimes, information needs to be conveyed more regularly than the frequency of meetings.

#### Examples:



- Internal memos, team meetings or health and safety committee minutes which detail progress on health and safety matters raised by employees.



- Can employees explain what progress has been made on relevant outstanding health and safety disputes?

**Criteria 3.5.2**

**The organisation regularly communicates to employees the progress towards the resolution of health and safety disputes.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

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**Observations and 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.**



- To address legal requirements and to maintain good business practice, an organisation needs to ensure that there is an ongoing exchange of information with customers, suppliers and other relevant parties. The organisation needs to identify the parties involved and set up lines of communication and systems which ensure the desired exchange of information.

#### **Examples:**



- A strategic assessment of the external parties and what information is required to be exchanged.
- Such information may include but are not limited to:
  - The latest information on product safety, including hazard alerts, Material Safety Data Sheets; or other information on chemicals;
  - Product recalls;
  - Instructions for the safe installation, commissioning, operation and maintenance of plant;
  - Emergency planning information supplied to the relevant authorities; and
  - A listing of key contacts for exchange of information.
- Communication responsibilities for the acquisition or provision of health and safety information included in position descriptions.
- Purchasing arrangements which require the provision of relevant information and confirmation that it is received.
- Information about chemicals, or Material Safety Data Sheets sought and received from suppliers, or provided to distributors and other customers.
- Minutes of meetings with contractor, customers or suppliers which record the health and safety information being discussed or exchanged.
- Correspondence or other records of communication between the organisation and relevant authorities.



- Does the organisation receive health and safety information from external parties?
- Does the organisation know which public authorities require them to submit health and safety information, and the scope and frequency of that information?



**Criteria 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.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.5.4

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



Complaints about health and safety issues can originate from external as well as internal sources. Complainants may include customers, members of the public, regulatory authorities, contractors or suppliers. Complaints can be an early warning to the organisation of serious situations, e.g. product batches which don't meet safety requirements, employees, contractors or customers acting in an unsafe manner, unsafe deterioration of buildings and poorly designed or unhygienic facilities. Formal complaints may be received via telephone, letter, fax or e-mail. Informal complaints may be obtained via a third party, through published works, via meetings, etc. There should be a procedure to collect the details of the complaint and take relevant action. This procedure may be incorporated into other procedures which collect client feedback.

#### **Examples:**



- Copy of procedure for collecting, recording and dealing with external complaints.
- Examples of correspondence regarding external complaints.



- Have you received any complaints from external parties, including from health and safety inspectors?
- How do you track and deal with complaints from external parties?

**Criteria 3.5.4**

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

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 3.6 Consultation, communication and reporting – Reporting

### 3.6.1

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



Employees in the workplace are often the first to become aware of a health and safety hazard either by direct observation or as a result of things going wrong. There needs to be an effective process for capturing that information. Details need to be recorded so that risk assessment and appropriate corrective action can be taken. This will help to prevent a recurrence or more serious consequences. Records will also provide information about trends which may occur. All personnel need to be aware of their role and responsibilities in the reporting and recording process.

#### Examples:



- A documented procedure for reporting injuries, incidents, hazards and systems failures.
- A shift log book for recording hazards and failures.
- Completed injury/incident forms.
- Register of injuries.
- Copies of hazard and failure records.



- Can employees explain when, how and what type of incidents and hazards are reported and recorded?



- Report forms available in the workplace.

**Criteria 3.6.1**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.6.2

**Where there is a legislative requirement, injuries, illnesses, incidents and dangerous occurrences are notified to the appropriate authorities.**



Local legislative requirements may require certain matters to be formally notified to appropriate authorities. These may include specified incidents involving dangerous goods, plant and certain personal injuries and illnesses. The appropriate authorities may include the health and safety regulatory authority and emergency services authorities.

#### **Examples:**



- A documented procedure for injury, illness and incident notification, including the need to notify appropriate authorities.
- Appropriate notification forms.
- Completed notification forms.



- Can the organisation explain what events need to be notified?

**Criteria 3.6.2**

**Where there is a legislative requirement, injuries, illnesses, incidents and dangerous occurrences are notified to the appropriate authorities.**

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.6.3

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



All workplace inspection programs need a mechanism for fixing the identified problems. Those undertaking the inspections (with specialist input if required) need to provide recommendations on how the adverse condition may be rectified. Senior management and employee representatives need to monitor the inspection process, and be aware of any specific issues or trends which occur at the workplace.

#### **Examples:**



- Inspection reports which record the recommendations for corrective action.
- Distribution listing for inspection reports which includes senior management and the consultative committee(s).
- Minutes of consultative meetings which record the inspection reports as an item on the agenda.
- Minutes of senior management meetings which record discussion on inspection reports.
- 'Hazard registers' or inspection summaries that are sent to senior management and the consultative committee.



- Who forwards the reports and how often?



**Criteria 3.6.3**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.6.4

**Regular, timely reports on health and safety performance are produced and distributed within the organisation.**



All personnel in the organisation can benefit from regular information about health and safety performance. It reminds them of the importance attached to the health and safety program, provides positive reinforcement to those who are taking an active part in the process and assists with the timely notification of trends, both positive and negative.

#### **Examples:**



- Health and safety performance reports.



- Can employees/representatives confirm that the organisation's health and safety performance is regularly discussed or reported?



- Health and safety performance data displayed in the workplace.

**Criteria 3.6.4**

**Regular, timely reports on health and safety performance are produced and distributed within the organisation.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.6.5

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



Everyone in the organisation has a stake in the success or failure of the health and safety management system. Where comprehensive formal system monitoring takes place, it is only reasonable to provide reports of those activities to those who have been actively involved with the program's implementation, e.g. management, health and safety officers, employee health and safety representatives and the health and safety committee. The outcomes also need to be communicated and records kept so that progress can be monitored until the next review is held.

#### Examples:



- Audit reports.
- Management system review reports.
- Health and safety committee minutes which record discussion of results of audits and reviews.



- Can managers and employee representatives confirm that reports are distributed?



- Reports displayed in the workplace.

**Criteria 3.6.5**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.6.6

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



Health and safety performance indicators may include the highlights of the program, its major achievements, resources allocated, statistical results and plans for the future. By publishing information about health and safety performance, the organisation demonstrates that it ranks the health and safety of its employees with other important outcomes such as profitability, quality, customer satisfaction, industrial relations, etc. Where possible this should be made publicly available.

#### **Examples:**



- Copy of current annual report or equivalent which includes information on the organisation's health and safety performance.

**Criteria 3.6.6**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 3.7 Documentation

### 3.7.1

**The organisation's health and safety policy, plans and procedures are documented in a planned and organized manner.**



The key health and safety documents must be prepared and maintained so that they can be easily recognized and accessible to the users. It is not always practical to document everything in a single manual. Some information may overlap or be incorporated into other manuals, and some information may be presented in other formats such as:

- Electronic data;
- Chemical manifests;
- Charts, plans; and
- Process information.

Recording and documenting the health and safety management system requires that its planning arrangements, procedures and instruments (tools and forms) should be documented and stored in a suitable print and/or electronic form.

If some of the health and safety documents are dependent on particular data or information in other manuals, etc., the links and location of the references should be clear.

#### Examples:



- Health and safety incorporated into quality, corporate or other similar manuals.
- Health and safety information with links to other manuals.



**Criteria 3.7.1**

**The organisation's health and safety policy, plans and procedures are documented in a planned and organized manner.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.7.2

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



Sometimes specific instructions and safe work procedures are needed to address complex or detailed processes, products and projects, e.g. hazardous substances management or a particular production line. In other situations the corporate manual may need to be tailored to meet the local requirements of a particular site or facility.

#### Examples:



- Specific instructions and safe work procedures should exist where:
  - there are activities carrying a health and safety risk (including those stated in legislative requirements). These may include hazardous work premises and processes, working environments, use of hazardous substances and construction work;
  - the absence of such instruction would adversely affect health and safety performance; or
  - there are requirements for specific emergency procedures; the approval of processes and equipment; or the certification of personnel to work on certain equipment or be involved in the conduct of certain processes.
- Safe work procedures should be documented in a manner that ensures those involved or exposed to a hazardous process are equipped to conduct work activities in a safe and healthy manner.
- Safe work procedures may include but are not limited to:
  - a description of the activity or process;
  - the person or position that has supervisory responsibility for the activity or process;
  - a clear explanation in sequential order of the steps or stages comprising the procedure or process potential hazards safety controls to minimise potential risk for any identified hazard
  - health and safety precautions to be exercised in the course of carrying out the work activities.
- Specific manuals developed where the nature of the operation requires detailed plans, policies, procedures, work instructions, etc.



**Criteria 3.7.2**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 3.8 Document and data control

### 3.8.1

**The organisation 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 points to prevent unintended use.**



Documentation is prepared to assist and guide employees to put health and safety into practice at the workplace. There needs to be a process which ensures that the relevant personnel have input into the creation and approval of documents and data, before they become part of the operating system. Policies, safe work procedures and instructions are typical documents used for this purpose.

To ensure their integrity, any modifications to the documents or the data need to be similarly approved. The next step is to let all the relevant parties know about the new documents or the changes.

Obsolete documents kept for historical or legal purposes should be clearly identified and removed from use so that they are not confused with current versions.

#### Examples:



- Procedures to control system documentation including policy, system planning arrangements, procedures and instruments (tools and forms) should be established and maintained. Such procedures ensure:
  - the creation, modification and approving health and safety documents and data, and notifying relevant persons of any changes;
  - documents are legible, dated (with dates of revision), readily identifiable and maintained in an orderly manner for a specified period.
- Responsibility and authority for the creation and modification of documents within the system should be designated to person(s) in authority or those charged with responsibility for particular work activities, operations or work areas. Such responsibilities should be documented in position descriptions, system planning arrangements, procedures and instruments (tools and forms).



- A written document control procedure.
- Procedures which have been signed off by relevant persons.
- Minutes of meetings which record discussion about modified procedures or data.
- Electronic or paper distribution lists which confirm that relevant persons/areas have been notified of, or received modified procedures.
- Documents stamped or otherwise identified as 'obsolete'.



- Can managers/employee representatives confirm that they are informed about changes to documented standards?
- What does the organisation do with obsolete documents?
- How does the organisation determine what documents need to be retained?



- The only documents in user areas are the current versions.

**Criteria 3.8.1**

The organisation 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 points to prevent unintended use.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
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- 7.

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**Observations and comments**

### 3.8.2

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



Because documents and relevant data are subject to change, it is vital that only current versions are known and used. The information must be complete and legible, e.g. pages numbered. A draft procedure or new version should be easy to identify in comparison with the current authorised version.

#### Examples:



- Changes to documented procedures are recorded and communicated to employees. A master list (document control register) or equivalent control procedure should be established and maintained to identify the current revision of documents.



- A document control procedure which defines the type of document covered by the procedure and the required format.
- Documents which are legible, identified, authorised and dated in accordance with the organisation's document control procedure.
- Numbered versions of documents.
- Draft documents appropriately identified.
- Documents which contain references to information such as the organisation's operating requirements for:
  - Maximum levels of exposure to noise or hazardous substances in particular areas;
  - Maximum or minimum temperatures required for chemical storage;
  - Pressure levels; and
  - Weight limits for racking.



- Can line managers/employees representatives explain how they ensure that they are working with the latest versions?



- Current copies of relevant documents in user areas.

**Criteria 3.8.2**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.8.3

**The organisation provides personnel with ready access to relevant health and safety documents and data and advises them of its availability.**



In the course of doing their work, personnel will need to refer to the content of the organisation's health and safety documentation. The placement of that information must suit their needs, whether it is in hard copy or electronic format. Responsibility should be assigned for the provision and maintenance of this documentation to ensure that it is current and complete.

#### **Examples:**



- A document control procedure that describes the storage and method of updating health and safety documents.



- Do employees know where the relevant health and safety documents are located?
- Have supervisors/employees been notified about relevant data and documents?



- Current copies of relevant documents in user areas.



**Criteria 3.8.3**

**The organisation provides personnel with ready access to relevant health and safety documents and data and advises them of its availability.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.8.4

**Documents and data are regularly reviewed by competent persons to ensure the adequacy and currency of the information.**



Changes to legislation, equipment, processes and technology will all impact on the information contained in the organisation's policies, procedures and work instructions. All of these documents need review on a regular basis to ensure they remain relevant and reflect the current working methods. Reviewers should not only understand the document and its contents, but be aware of any pertinent background information.

#### **Examples:**



- System documentation including policy, planning arrangements, procedures and instruments (tools and forms) should be regularly reviewed for their compliance to document control requirements.
- Corrective action should be undertaken to address nonconforming documentation. The procedures implemented to control documents should be reviewed and the efficiency with which the system is maintained should be evaluated.
- Relevant position descriptions should contain responsibilities for the review of system documentation requirements.



- A document control procedure which describes the review process.
- Minutes of meetings which record reviews of documents or data.
- Circulation of draft documents which demonstrates input from competent persons.
- Documents reviewed in accordance with a predetermined schedule.



- How do you ensure that persons involved in health and safety document reviews are competent?

**Criteria 3.8.4**

**Documents and data are regularly reviewed by competent persons to ensure the adequacy and currency of the information.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

## 3.9 Health and safety risk management program

### 3.9.1

**The organisation has identified the hazards, including public safety hazards, that are associated with its activities, processes, products or services; assessed the risks involved; and implemented suitable control measures. The risks shall be eliminated, or otherwise controlled and monitored, in accordance with hierarchy of controls and legal requirements.**



To identify hazards, the organisation should look at where and how it does business and who could be affected. All foreseeable health and safety hazards should be identified. For example, the organisation needs to evaluate the place where the work takes place, the related machinery, raw materials and how they are used in the production process. Hazardous manual handling tasks must be identified.

Hazards are not limited to the physical environment in which people work and may include psychosocial hazards. Hazards can be introduced through the actual type of work or working arrangements at an organisation. For instance, an organisation needs to examine whether there are sufficient people allocated to perform a task safely under all circumstances including tight time frames and emergency situations. Some monotonous tasks may increase employee frustration and anxiety.

For many workplace hazards, there is very comprehensive information readily available to assist organisations. Regulations, codes of practice, industry and technical standards will provide guidance.

Records of the risk assessment should be maintained to demonstrate how decisions are made on the suitability of risk controls [with reference to the hierarchy of controls]. Particular engineering controls should be selected on the basis that they will eliminate or substantially lower the risk to employees. Where an effective hazard control is achieved through a specific work method, safe work practices should be documented in the form of procedures and/or work instructions. The training, supervision, qualifications and equipment needed for the job should be included in the procedure.

This isn't a one-off exercise. Once an organisation is up and running, the hazard identification, risk assessment and risk control process needs to be integrated into functions across the organisation, e.g. into the planning of new product lines and purchasing of new equipment.

#### Examples:



- Procedures for the identification of hazards arising from the conduct of work activities, processes, products or services are implemented.
- Procedures for assessing risk associated with identified hazards are implemented.
- Risk controls are assigned, recorded and implemented.
- Risk controls for all identified hazards are commensurate with the assessed level of risk.



- Can employees confirm their involvement in the process?
- Has information from the organisation's injury/incident records been used to identify hazards?
- Has the organisation sought industry specific knowledge on hazards and causes of injuries and illness?

**Criteria 3.9.1**

The organisation has identified the hazards, including public safety hazards, that are associated with its activities, processes, products or services; assessed the risks involved; and implemented suitable control measures. The risks shall be eliminated, or otherwise controlled and monitored, in accordance with hierarchy of controls and legal requirements.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.9.2

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



There are many risk management methodologies available, e.g. qualitative risk assessment (using risk chart), risk calculation using a nomogram, process safety review, fault tree analysis, event tree analysis, cause-consequence analysis, 'what-if?', failure modes and effects analysis, hazard and operability study (HAZOP), energy models, human reliability analysis, etc. Whatever the methodology used, staff or consultants working with the organisation's methodology must understand how it is used and should have undertaken some instruction or training in the process. Different methodologies are useful for different purposes and the staff or consultants should be aware of the strengths and weaknesses of the methodologies used.

#### **Examples:**



- Copy of internal training records confirming training in risk management.
- Instructions to contracted health and safety professional(s) indicating the type of risk management process(es) used by the organisation.
- Documentation confirming the knowledge of the risk management methodology being used by contracted health and safety professional(s).



- Can the relevant person(s) explain the application of the chosen methodology?

**Criteria 3.9.2**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.9.3

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



In addition to compliance with legal requirements, the recording of risk management activities allows for easy referral, follow up and review. It would be almost impossible to ensure that hazard identification, risk assessments and risk control plans were comprehensive and complete, i.e. involved the relevant persons and looked at all relevant factors, without keeping some record of that process.

#### Examples:



- A Health and Safety Risk Register/s should be kept that lists all identified risks in the workplace.
- Records should be kept of identified hazards and the measures implemented to control such hazards commensurate with the assessed risk. Documents produced as a requirement of this element should be controlled and maintained in accordance with health and safety management system requirements.



- Hazard/Risk register.
- Job safety analyses.
- Risk assessments and risk control plans.
- 'Safety Case' documentation.



**Criteria 3.9.3**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

#### 3.9.4

**Risks of identified hazards are assessed in consultation with employees having regard to the likelihood and consequence of injury, illness or incident occurring, based upon the:**

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



Risk assessment involves deciding whether it is likely that someone could be hurt by being exposed to the hazards, and how serious the injury or illness might be. Risk assessment should also address the likelihood and severity of incidents associated with the potential for property damage. All the contributing factors need to be identified and examined. Usually, there is extensive information available to assist with this assessment from within the organisation and from external sources such as other similar workplaces, industry groups, legislators and technical journals, i.e. safety, medical and scientific. Any known instance where loss of control of the hazard has resulted in injury, illness or other serious outcomes needs review.

#### **Examples:**



- Risk assessments that record or reference the current state of knowledge about the hazard and its potential effects.
- Risk assessments that refer to information in MSDS.
- Risk assessments that follow Code of Practice and/or advisory standard models.

**Criteria 3.9.4**

**Risks of identified hazards are assessed in consultation with employees having regard to the likelihood and consequence of injury, illness or incident occurring, based upon the:**

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

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.9.5

**Identified control measures shall be implemented in accordance with the assigned risk control priorities.**



The purpose of risk assessment is to determine the organisation's and the employee's level of risk exposure. Clearly, the higher the level of risk exposure, the more urgent the action to be taken. Priority needs to be given to those risks at the more serious end of the scale, but the organisation needs, also, to discuss and determine how and when all the risks will be reduced to an acceptable level.

#### **Examples:**



- A risk control plan based on the determined level of risk of each hazard.
- Minutes of meetings that record discussion about priorities.



- Can employee representatives confirm that discussions have been held about the order in which hazards are to be actioned?



- Risk controls implemented according to a predetermined schedule.

**Criteria 3.9.5**

**Identified control measures shall be implemented in accordance with the assigned risk control priorities.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.9.6

**Risk management procedures shall be reviewed and revised where necessary to ensure relevance, adequacy and compliance to health and safety management system requirements.**



Continuous improvement in risk management will only occur when questions are asked about the integrity, validity and effectiveness of the mechanisms and processes which are used to manage risk. The organisation needs to schedule regular opportunities to revisit the entire hazard identification, risk assessment and risk control process. When control measures fail to work as expected or incidents occur, there must be a check to determine whether the process was followed correctly, or whether the actual process itself is inadequate, inappropriate or otherwise flawed.

#### Examples:



- Review and evaluation of procedures, process and outcomes should include:
  - hazard identification, risk assessment and risk control process
  - effectiveness of implemented control measures.
- Control measures should be reviewed to ensure outcomes of the risk management process are effective, do not introduce additional hazards and are implemented to in accordance with legislative and health and safety management system requirements.



- Health and safety plans that schedule a review of the hazard identification, risk assessment and risk control process.
- Minutes of meetings that record discussion about the process used for a particular issue.
- Review documents that report on the effectiveness of the process.



- Can management explain what circumstances prompt the review of the hazard identification, risk assessment and risk control process/methodology?

**Criteria 3.9.6**

**Risk management procedures shall be reviewed and revised where necessary to ensure relevance, adequacy and compliance to health and safety management system requirements.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.9.7

#### The organisation has a process for identifying and managing change that may impact on health and safety.



An organisation is more exposed to risk during times of change in the workplace. A number of factors may influence this risk, e.g. unexpected situations, poorly considered changes to systems of work (either temporary or permanent), movement of personnel to new or different tasks, training that lags behind the development of new processes/equipment, introduction of new or different materials and equipment, increased use of contractors during an installation or overhaul, additional pressure on supervisors to maintain outputs and time delays in preparing revised documents, work procedures, work instructions, etc.

#### Examples:



- Change management procedure which requires health and safety implications to be identified and strategies to be prepared.
- Project plans which identify interim arrangements to manage the health and safety risks associated with the introduction of changes.
- Training or workshop/meeting records that record discussions about managing change safely.
- Risk assessments.
- Contingency plans.



- What is the organisation's definition of 'change'?
- Can managers explain how change is identified and managed?
- Can employees/representatives confirm that changes are managed safely?



- Additional staffing to cover peak workloads.
- Interim engineering controls or administrative controls, e.g. fencing, signs, access controls, etc.



**Criteria 3.9.7**

The organisation has a process for identifying and managing change that may impact on health and safety.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

## 3.10 Hazard identification, risk assessment and control of risks

### 3.10.1

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



Some areas of the workplace environment require restricted entry. Deciding which parts of the workplace need restrictions on access is part of the hazard identification, risk assessment and risk control process conducted at criterion 3.9.1. Restricted access may be required to control the level of exposure to such things as mobile plant, electrical hazards, hazardous chemicals, hazardous machinery and electromagnetic radiation. If an organisation has designated certain areas as restricted, it follows that procedures should be in place to ensure that conditions for entry are defined and access restrictions are enforced.

#### Examples:



- Hazard identification, risk assessment and control documentation identifying restricted access areas.
- Site map showing restricted access areas.
- Records of checks done, e.g. inspection checklist, minutes of health and safety committee meetings, security guard reports, etc.



- Can employees indicate the areas which have restricted access?
- Can employees/representatives confirm that access controls are maintained?



- An access control procedure, e.g. sign-in book, security guards, authorised card access, key register, etc.
- Signs or systems which designate restricted access areas, e.g. pedestrian walkways and bollards to restrict vehicle access.
- Engineering controls, e.g. presence sensing devices, barriers and fences, conventional and time delay locks, etc.

**Criteria 3.10.1**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.2

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



When an organisation engages the services of contractors to perform work on its behalf, it must give special consideration to the health and safety issues involved in the provision of those services. For example, a contract may include reference to the people, processes and equipment to be used, the standard of work to be achieved, the legislative obligations to be met, the responsibilities of the various parties, and specify how the contractor is expected to comply with organisational procedures.

#### Examples:



- The organisation's purchasing documentation should clearly define the required health and safety specifications for the services being procured. Where contractors or labour hire employees are to be admitted to site, documentation should include but is not limited to:
  - elements of the health and safety management system to be implemented;
  - reference to site specific health and safety risk;
  - provisions for health and safety induction;
  - inspection, test or audit records;
  - reports indicating a review of health and safety performance.



- A documented purchasing procedure that outlines how health and safety is considered prior to the decision to purchase services (which may be incorporated into a quality procedure).
- A preferred supplier listing, with information to demonstrate that all contractors on the list have been informed about the organisation's specific health and safety requirements.
- Contract documents that specify the health and safety requirements of the contractor's service delivery.
- A tender process which requires information to be provided about the potential service provider's management of health and safety.



- Can the relevant contract manager/purchasing officer describe how the purchasing specifications are determined?



- Contractors adhering to organisational requirements, e.g. wearing high visibility vests in designated areas.

**Criteria 3.10.2**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.3

#### The ability to meet health and safety requirements is assessed in the selection of contractors and labour hire employees.



The organisation should have a process for the selection of contractors and labour hire employees which requires them to provide information about how health and safety is managed. The supplier's management system should address all health and safety issues relevant to the performance of the service required. Ideally the suppliers should provide evidence through audits or inspections that demonstrates an effective health and safety management system is in place.

In some cases it may be necessary to visit the supplier's premises or work sites to assess the effectiveness of the health and safety management systems prior to engaging them to work for the organisation.

#### Examples:



- Processes used to select suppliers of services and human resources may include but are not limited to:
  - the identification of applicable health and safety requirements in tender documentation;
  - evaluation of submitted tenders for health and safety requirement compliance;
  - ensuring health and safety requirements are clearly stated in contractual documentation;
  - evaluation of health and safety documentation submitted by the successful tenderer prior to commencement of service delivery.
- Personnel responsible for establishing health and safety specifications for services, and reviewing purchasing documentation, should be appropriately skilled and experienced and where required carry the necessary qualifications. Such skills, experience and/or qualifications should be defined.
- The competency of contractors and suppliers of labour hire employees to meet health and safety specifications should be assessed by management. Such responsibilities should be documented in position descriptions, system planning arrangements, procedures and instruments (tools and forms).



- A contractor / labour hire selection procedure which requires the provision of health and safety management systems information.
- Tender documents for the supply of services which include requirements for the supplier to maintain effective health and safety management systems.
- Documents relevant to management of health and safety obtained from contractors or suppliers of labour hire employees.
- Records of contractor assessments conducted by the organisation.
- Minutes of meetings that record discussion of contractor health and safety management.
- Recommendations or referrals regarding contractors or suppliers of labour hire employees.



- Can the contract manager explain the process for selection of contractors?

**Criteria 3.10.3**

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

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.4

#### **Contractor health and safety performance is monitored and reviewed to ensure continued adherence to the organisation's health and safety requirements or specifications.**



Having documented the health and safety requirements with respect to the provision of services, it remains for the organisation to ensure that the contractor provides what is stipulated. This makes good sense from a health and safety point of view and also from a financial viewpoint. Checks should be undertaken before the commencement of work and at defined intervals throughout the term of the contract or service period.

#### **Examples:**



- The type and extent of health and safety control exercised by management should be dependent upon health and safety risk factors and evidence of the supplier's previously demonstrated capacity and performance.
- Records of contracted services health and safety conformance should be maintained.



- A purchasing or contract procedure which describes the methods by which services are to be evaluated for conformance with specifications, e.g. performance indicators.
- Minutes of contract review meetings that record discussion of health and safety issues.
- Audit reports of contractor safety performance.
- Correspondence with contractors about health and safety matters/noncompliance.
- Recommendations regarding change of preferred suppliers.



- Can employees confirm that the safety performance of contractors is checked?



- Contractors observed to be operating safely.



**Criteria 3.10.4**

**Contractor health and safety performance is monitored and reviewed to ensure continued adherence to the organisation's health and safety requirements or specifications.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.5

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



Health and safety issues should be considered prior to any purchase of equipment, materials or substances. The organisation needs to consider:

its legal requirements; relevant standards; the potential impact on affected personnel; training requirements; changes to work procedures; personal protective equipment; and any other relevant technical data or information.

This helps to anticipate hazards and avoid or minimise the risks connected with the use of the new equipment or materials. Those involved in the selection of new products should check the relevant available health and safety information before making the purchase. The purchase can also generate other health and safety needs at the workplace. For example, an item of plant may require operator training, new procedures and work instructions and perhaps extra supervision for a time. Similarly, a substance at the workplace may require training for users, specific personal protective equipment, modified storage areas, extra monitoring and sampling equipment and documented procedures. Identifying these additional issues will reduce the likelihood of injury and illness and provide more accurate costings and ensure that resources are available to satisfy those needs.

After the organisation determines the health and safety component of the purchase, the next step is to communicate those requirements to the supplier of the goods.

#### Examples:



- Procedures should be developed and implemented for measuring the capacity of suppliers of goods to comply with health and safety specifications and requirements as required by the organisation's health and safety management system and health and safety legislation, standards or codes of practice.
- Processes used to select suppliers of goods may include but are not limited to:
  - the identification of applicable health and safety requirements in tender documentation;
  - submitted tenderer evaluation for health and safety requirement compliance;
  - evaluation of health and safety documentation submitted by the successful tenderer prior to supply of the goods.
- Organisation of purchasing documents & records should clearly define the required health and safety specifications for the goods being procured.
- Where goods such as materials, plant and equipment are procured, the procedures for compiling detailed health and safety specifications should be implemented and should include any compliance requirements such as those required by standards, legislation or organisational health and safety requirements.



- A documented purchasing procedure that outlines how health and safety is to be considered prior to the decision to purchase.
- A system or listing of relevant health and safety and related information that can be accessed by those recommending a purchase.
- Examples of where health and safety has been examined prior to the decision to purchase, including risk assessments, completed pre-purchase checklists which prompt users to identify additional needs, records of meetings with suppliers and user trials of equipment.
- Copies of purchase orders that specify health and safety requirements.
- Purchase orders placed with 'approved suppliers', providing that approved suppliers have been selected on the basis of their ability to supply the selected products to the required standard.



- Can employees recall any situations where equipment, goods or chemicals were introduced, *and* if the necessary changes were made at the same time, e.g. new instructions, training, changes to maintenance/cleaning routines?



- Products that comply with purchase specifications.

**Criteria 3.10.5**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

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**Observations and comments**

### 3.10.6

**Procedures shall be established and implemented for verifying that purchased goods conform to health and safety requirements, and any non-conformances shall be addressed before the goods are put into operational use.**



It is important to let the supplier know what the organisation wants, i.e. communicate the health and safety specifications at the time of purchase. However, it is equally important to check that the supplier meets those specifications and also sends the right article. Once they are delivered, all goods need to be checked against the purchasing specifications. That check may sometimes need to be done by the person who originated the purchase. The check should be completed before the new goods are accepted for use.

#### Examples:



- The type and extent of health and safety control exercised by management should be dependent upon health and safety risk factors and evidence of the supplier's previously demonstrated capacity and performance. Verification procedures should be implemented to ensure purchased goods conform to specified requirements.
- Procedures should be reviewed regularly. Review procedures should ensure relevance and currency of health and safety specifications, health and safety management system requirements and procedures for identifying the conformance of goods to predetermined health and safety specifications. Corrective actions should be implemented where identified.
- Personnel responsible for establishing health and safety specifications for goods and reviewing purchasing documentation should be appropriately skilled and experienced and, where required, hold the necessary qualifications. Such skills, experience and/or qualifications should be defined.



- A purchasing procedure which includes a checking requirement to ensure that goods received match purchasing specifications.
- Records of checks of received goods against health and safety specifications.



- Can employees explain how the health and safety specifications are verified?



- Central inward goods/receiving and holding area.

**Criteria 3.10.6**

**Procedures shall be established and implemented for verifying that purchased goods conform to health and safety requirements, and any non-conformances shall be addressed before the goods are put into operational use.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.10.7

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



Hazard identification and risk assessments should be undertaken whenever the organisation designs new or modified equipment, processes, products, buildings or work areas.

Doing this at the design stage should not only ensure maximum safety, but should also reduce the number of modifications or alterations required during the manufacture, installation or commissioning phase.

#### **Examples:**



- The control measures should incorporate any legal requirements in relation to the organisation's products, e.g:
  - To classify dangerous goods and hazardous substances and develop and supply Material Safety Data Sheets; and
  - Provide information relating to the safe use of products, and safe operation and maintenance of plant
- Procedures should be established and implemented to ensure hazard identification, risk assessment and the development of control measures are undertaken during the product or process design stage, or when the process is modified. Design procedures are implemented to ensure:
  - a) adequate definition of health and safety requirements in design documentation
  - b) designs and modifications meet specified health and safety requirements and verification obtained where applicable
  - c) reviewing the design process.
- Design personnel should be responsible (with authority and accountability established), for ensuring that health and safety requirements are incorporated in design processes. This includes ensuring that any products such as plant or facilities comply to legislative requirements and health and safety specifications. Verifiers should be appropriately skilled and/or qualified to identify risk associated with the design process. Their training, qualification, certification and/or experience should be defined in position descriptions, system planning arrangements and procedures.
- Where the design process involves the design of a facility, item of plant or equipment, the design process should be managed through implemented procedures that identify any risks associated with:
  - construction methods -including processes and materials;
  - use and maintenance - especially risk arising out of the nature of the design itself;
  - removal, demolition or decommissioning activities – especially where there is risk arising from the materials or processes used in the design.



- Project reports that record hazard identification, risk assessment and risk control activities at the design stage.
- Minutes of design review meetings that record discussion of health and safety issues associated with the proposed new work.
- Safe operating procedures and/or manuals for materials/equipment designed, produced and used in-house or sold by the organisation.
- Material safety data sheets for substances produced and sold by the organisation.



- Can employees confirm that health and safety issues are examined prior to installation or commissioning of new equipment or other changes?
- Can the maintenance department confirm that new equipment is able to be safely maintained?
- Can plant operators confirm that equipment is designed safely and operates within safe operating parameters?



- Direct observation of newly designed equipment or new processes.

**Criteria 3.10.7**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.10.8

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



Responsibility should be assigned to competent persons to ensure that all hazards are identified and risks assessed during design or redesign activities. The final design needs to match the health and safety requirements which have been specified in the project documents.

#### Examples:



- Competent personnel verify that designs and modifications meet specified health and safety requirements.
- Records such as design registration and design verification in meeting health and safety requirements should be maintained. Any health and safety risk introduced to the workplace as a consequence of the design process should be recorded and records maintained for review purposes.
- The design process should be reviewed regularly to ensure the process employed safeguards the health and safety of personnel and meets health and safety management system requirements. Review procedures should identify any risk introduced by way of the design process and improvement mechanisms should be implemented to prevent recurrence and ensure continuous improvement.



- A design procedure which requires competent persons to 'sign off' the project.
- Project documentation demonstrating input of competent persons.
- Minutes of project review meetings.



- What has the organisation determined as the necessary academic qualifications, design experience, skills, technical and health and safety knowledge for 'competent' persons?



**Criteria 3.10.8**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.10.9

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



The safety of persons and their environment must be considered whenever there is a requirement to dispose of materials or substances, e.g. demolition or dismantling of plant and equipment, asbestos, radioactive waste, by-products of manufacturing, cleaning processes and pathology services, including blood, specimens, sharps and other biohazards. In addition, disposal of chemicals creates potential for personal exposure and environmental contamination.

#### Examples:



- Risk assessments.
- A procedure that details specific requirements for disposal of identified materials.
- Contracts with licensed asbestos removalists.
- Contracts with waste disposal companies.
- Records of disposal in accordance with procedures.



- Can relevant employees explain the safe methods for disposal?



- 'Sharps' containers.
- Waste treatment plants.
- Spill kits.
- Bund valves and triple interceptor valves in default 'closed' position.
- Appropriate storage methods and areas for surplus/damaged stock awaiting disposal.
- Observation of demolition work or dismantling of equipment which is consistent with safety requirements.

**Criteria 3.10.9**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Observations and comments**

### 3.10.10

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



An organisation must ensure that its facilities are of an acceptable standard and appropriate to the work undertaken. Facilities refer to washrooms, showers, lockers, dining areas, drinking water, etc. There may be specific legislative requirements and details in building regulations and codes.

#### **Examples:**



- Assessment of facilities and amenities required at the workplace.
- Reports that demonstrate assessment of facilities against requirements.
- Completed workplace inspection documents that include a check of the suitability of facilities provided.



- Can employees/representatives confirm that facilities are acceptable and appropriate?



- Observation of acceptable and appropriate facilities and amenities.

**Criteria 3.10.10**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.11

#### The organisation documents procedures or work instructions for the safe handling, transfer and transport of hazardous substances and dangerous goods.



The risks associated with hazardous substances and dangerous goods will usually increase when there is a need to move or handle them in some way. The way that substances are handled can dramatically influence the risk of illness, injury or damage. For instance, the work practices, processes, maintenance requirements and workplace conditions are some of the factors which have the potential to alter the risk of exposure and to cause property damage. The safest methods must be determined after thorough assessment, and documented to ensure that all relevant employees can employ them. Procedures can form the basis for the training of employees.

The transfer of chemicals increases the risks of, e.g. ignition, spillage, personal exposure or injury resulting from lifting or manually handling containers, cylinders and packages. Similarly the actual transport of chemicals from one place to another creates potential risks of temperature change, impact and damage to packaging causing spillage, fire, explosion, contamination of other products, etc. For these reasons, the handling, transfer and transport of substances is often regulated by government authorities. An organisation should have documented procedures which not only describe best practice management of these activities but which also meet legal requirements.

#### Examples:



- Copies of relevant legislation.
- Relevant documented procedures, e.g. procedures or work instructions for decanting, spraying, mixing, transfer, etc.



- Can employees/contractors/others explain the procedures for transfer/transport of particular substances?
- Can employees point to the location of the written instructions, and explain the correct methods for handling particular substances?



- Pictorial instructions at point of use.

**Criteria 3.10.11**

**The organisation documents procedures or work instructions for the safe handling, transfer and transport of hazardous substances and dangerous goods.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
- 2.

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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.10.12

**Comprehensive health and safety information on all hazardous substances and dangerous goods is readily accessible.**



Comprehensive information needs to be available to all staff that use hazardous substances and dangerous goods. It should be easy to refer to when needed, so the actual location of the information is crucial. Any Material Safety Data Sheet which forms part of this information must be less than 5 years old and contain the relevant safety information, e.g. refer to the *National Code of Practice for the Preparation of Material Safety Data Sheets* [NOHSC:2011]. The organisation needs to consider the most effective way of providing the information to the employees and others, e.g. in hard copy, electronic format and when required translated into other languages.

#### Examples:



- Minutes of meetings which record discussion about suitable content and placement of information.
- Responsibility assigned for maintaining currency of information.



- Can the relevant employees point to where the information is kept and retrieve the information?
- Can relevant employees explain or refer to the relevant safety requirements for handling, spillage and disposal, first aid and emergency, etc.?



- Current MSDS and other relevant information are readily accessible.



**Criteria 3.10.12**

**Comprehensive health and safety information on all hazardous substances and dangerous goods is readily accessible.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.10.13

#### The organisation ensures that hazardous substances and dangerous goods are safely stored.



Once the hazards have been identified and the risks assessed, the organisation uses this information to ensure that hazardous substances and dangerous goods are stored in a manner that reduces the risks posed by these chemicals. For example, this will require that:

- Each substance is stored under environmental conditions that will ensure its integrity, i.e. within the manufacturer's recommendations on the MSDS or information on the label, e.g. storage of gas cylinders out of direct sunlight;
- Sources of ignition, e.g. non-flame proof electrical equipment and installations, vehicles, smoking areas and hot work are sufficiently separated from flammable substances;
- Any storage or spills of substances can be contained and isolated from other incompatible substances, materials or structures;
- Substances are not kept beyond their stability limit, e.g. self reacting monomers are stabilized and kept at the appropriate temperature and pressure;
- Any expiration dates are identified and procedures introduced to ensure that out-of-date substances are not distributed or used;
- Bulk containers and ancillary equipment is fit for the purpose and maintained in accordance with technical standards and manufacturer's guidelines;
- Any specific legal requirements are met;
- Storages of substances are separated from buildings and public areas in accordance with published technical standards and protected from damage or impact; and
- Persons are prevented from falling into or being engulfed by liquid or solid substances.

#### Examples:



- Manual or procedures that identify specific storage requirements for each class/type of chemical.
- 'Hazard alerts' which identify issues associated with the storage of specific chemicals.
- Copies of legislation and associated standards relating to the storage of hazardous substances and dangerous goods.
- Packaged goods inspection records.
- Engineers reports of tanks and spill containment/bunded areas.
- List of identified materials subject to deterioration and/or 'use by' dates.
- Classification of 'hazardous areas' report (refer AS/NZS 2430).



- Do employees know which substances are to be kept separate?
- Can employees explain the safe storage requirements?



- Impact protection.
- Designated areas designed to segregate incompatible classes of hazardous substances and dangerous goods.
- Evidence of spillage control systems in storage areas.
- Flammable liquid cupboards or rooms.
- Adequate ventilation.
- Flameproof and/or intrinsically safe electrical equipment.
- Containers/packages in good condition.

**Criteria 3.10.13**

**The organisation ensures that hazardous substances and dangerous goods are safely stored.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.14

#### There are 'Permit to Work' procedures for high-risk tasks.



A 'Permit to Work' procedure is an administrative control used to reduce the risk of illness or injury arising from particular work situations. These are usually associated with construction, maintenance or cleaning operations. A Permit is a formal written authority given to appropriately trained personnel, to carry out work in areas where particular hazards or adverse conditions may be present. The permit, issued by an authorised person (not the person doing the work), confirms that the job in question has been assessed and clearly defines the safety precautions to be taken. The procedure must be rigorously enforced. The success of these procedures relies on effective training, supervision and maintenance of any necessary personal protective equipment, access and testing equipment. Permits are typically issued for entry to confined spaces, hot work activities such as welding, grinding, introduction of ignition sources in areas where flammable vapours may be present, use of radioactive sources, roof access, working at heights, high voltage installations and digging or trenching operations.

#### Examples:



- 'Permit' procedures that describe the range of permits, and provide detailed instructions for each type of work, including the responsible persons.
- List of people authorised to issue and cancel permits.
- Completed permits.
- Standard operating procedures that reference the permit procedures.



- Can maintenance personnel explain the permit procedures?
- Can the authorising officers explain the permit process?



- Access/work in operation which demonstrate conformance to permit procedures.
- Signs that designate areas subject to access permit.

**Criteria 3.10.14**

**There are 'Permit to Work' procedures for high-risk tasks.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.10.15

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



Personal protective equipment (PPE) is sometimes chosen as a permanent or temporary control measure to reduce personal risk exposure to certain hazards in the workplace. It is often used in conjunction with higher order risk controls, e.g. engineering. The use of PPE should be supported by instruction, training, supervision of use, regular maintenance and replacement procedures. The effectiveness of PPE as a risk control relies on ongoing administrative processes. It is therefore a lower order, less desirable risk control option.

#### Examples:



- Risk assessments.
- Work procedures that specify the type of PPE required for tasks.
- A record of supply and replacement of PPE.
- Records of PPE training and instruction provided to employees.
- PPE maintenance procedures and records, e.g. for self contained breathing apparatus.
- Documented medical, physical or other requirements which apply to employees who are required to wear PPE.
- PPE replacement procedure, e.g. hard hats, goggles, etc.



- Can the organisation explain the choice of PPE as a control measure?
- Can relevant employees explain the PPE procedures for use (including fit), storage, maintenance and replacement?



- Identification of areas, e.g. signs where PPE is required.
- Observation of PPE storage practices.

**Criteria 3.10.15**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.16

**Plant and equipment is maintained and a record is kept which includes relevant details of inspections, maintenance, repair and alteration of plant.**



An organisation should be confident that plant and equipment will operate safely under all foreseeable operating conditions. A scheduled inspection and maintenance program will contribute to that aim, and also assist in the prevention of breakdowns and repairs. Schedules may be based on the manufacturer's recommendations, legislative requirements, technical standards, and industry or local experience with the plant and equipment. Keeping detailed records of all maintenance demonstrates compliance, and provides hard evidence about equipment performance.

#### Examples:



- Maintenance schedules that match manufacturers guidelines and legislative requirements.
- Detailed inspection procedures for all relevant items of plant and equipment including timetables, checklists, etc.
- A plant register or record for all relevant items of plant and equipment. [The record(s) should include, as a minimum, inspection details, maintenance history, alterations and registration details where appropriate. The format could be hard copy such as files, log books or card index or it may be a computerised maintenance record system, depending on the needs of the organisation.]



- How does the organisation satisfy itself that plant and equipment are safe?



- Plant and equipment free of physical signs that would indicate lack of maintenance, e.g. corrosion, oil leaks, mechanical stress and excessive wear or other damage.



**Criteria 3.10.16**

**Plant and equipment is maintained and a record is kept which includes relevant details of inspections, maintenance, repair and alteration of plant.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.17

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



The process should include a procedure to be developed to ensure that employees and others can report plant or equipment that appears unsafe and which may be in need of maintenance or replacement. Once the plant is confirmed as unsafe, the procedure should enable the identification and timely removal of the item of plant or equipment from service. Methods of isolation may include using a quarantine area, tagging the equipment, attaching a locking device, removing the energy source, etc.

#### Examples:



- A procedure that includes a reporting mechanism and tagging of unsafe plant for removal from service.



- Can employees explain how equipment is identified as being 'unsafe'?



- Tagging or quarantine procedures in use.
- Appropriate and current tags available/in use.

**Criteria 3.10.17**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.18

**Appropriate controls are used to ensure the safety of persons working on or near plant and equipment that is in the process of being cleaned, serviced, repaired or altered.**



Where there is the possibility of an inadvertent start-up of plant there must be a system to control access to the starting mechanisms or power sources. Other hazards may include the presence of toxic gases or lack of sufficient oxygen in the surrounding atmosphere, the need to energise the plant to check settings, or working on or around plant that is in operation. These situations need to be controlled to protect the safety of persons, such as cleaners, operators and maintenance employees.

Procedures for de-energising the plant, or a section of the plant, are necessary to prevent those persons coming into contact with dangerous or moving parts. For instance, a 'lock out' system involves the use of locking devices to isolate and prevent machinery becoming operational. Other engineering controls may be used to prevent plant operation or to ensure that the plant will only operate with limited, time delayed movements.

#### Examples:



- Isolation and lockout procedures for maintenance activities.
- Maintenance access permit system.
- Records, e.g. logbook of lock out/tag out activities.



- Can maintenance/operations employees describe the isolation and lock out procedures?
- Can employees explain what situations require atmospheric testing prior to entering for cleaning/maintenance purposes?
- What controls are used to protect people from plant and equipment that have stored energy?



- Engineering controls such as 'teach mode' on robot installations, time delay limited movement or inching controls, captive key systems, etc.
- Lock out stations.
- Lock out procedures displayed on individual items of plant.
- Locks in use.

**Criteria 3.10.18**

**Appropriate controls are used to ensure the safety of persons working on or near plant and equipment that is in the process of being cleaned, serviced, repaired or altered.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.19

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



Repairs or alterations should be completed as specified and normal operating conditions and safety features checked before plant is returned to service. A competent person should be authorised and delegated with the responsibility for ensuring that the above conditions are met.

#### Examples:



- Documents which describe the procedure for signing off repairs.
- Lock out procedures which describe the checks to be made before re-start, including the persons responsible for those checks.
- Service records that confirm checks of plant made by designated persons after repair/alteration.



- Can the relevant personnel explain what checks are required before plant/equipment is returned to operation?
- Can employees/representatives confirm that plant/equipment is checked for safety before it is returned to operation?

**Criteria 3.10.19**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.20

**Safety signs, (including regulatory, hazard, emergency information and fire signs), meet relevant standards and codes of practice, and are displayed in accordance with legal and organisational requirements.**



Signs are used to assist with the communication of information about hazards at the workplace and to provide advice about responding in emergency situations. Certain warning signs are required to assist emergency personnel and authorities to effectively respond at an incident. An organisation needs to establish which safety signs are required to meet legislative requirements, industry and internal standards. To ensure a consistent approach and standard of presentation for all safety related signs, organisations should comply with the relevant legislative requirements and/or published standards, e.g. Australian Standard AS 1319 *Safety Signs for the Occupational Environment*.

#### Examples:



- Workplace assessments that report on the standard and type of signs required in the workplace, e.g. exit signs, pictorial signs, dangerous goods class labels and placards.
- Purchasing procedures that ensure that signs comply with the relevant standard.
- A procedure for review of sign requirements in response to changes (of legislation and/or workplace arrangements).
- A report indicating that standards of workplace signs are maintained.
- Workplace inspections which include a check of signs.



- Well maintained signs that meet organisational requirements and well located in the appropriate areas.



**Criteria 3.10.20**

**Safety signs, (including regulatory, hazard, emergency information and fire signs), meet relevant standards and codes of practice, and are displayed in accordance with legal and organisational requirements.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.21

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



Inappropriate transport, handling or storage of materials can increase the risk of injuries and illnesses. Inadequate systems may result in overloading of storage facilities, excessive reaching or lifting, restricted aisles and passageways, overcrowding or traffic congestion. The hazards associated with mobile plant are well documented. The organisation should aim for systems to manage mobile plant which are consistent with legal requirements, industry best practice and latest technology.

(Note: This criterion does not refer to hazardous substances or dangerous goods).

#### **Examples:**



- Risk assessments (refer to AS/NZS 4084 – *Steel Storage Racking*).
- A warehousing procedure that identifies safe stacking heights, storage areas, speed limits, lift truck operations, etc.
- Safe mechanical and manual handling procedures for movement of materials.
- Records of inspection and maintenance of racking, pallets, pallet trucks, trolleys and other mechanical aids.
- Records of checks that materials are stored in designated storage areas.
- A procedure for traffic management.



- Can the relevant employees explain the procedures for safely moving and storing materials?



- Designated storage areas.
- Separation of pedestrian traffic from mobile plant operations.
- Safely stacked material.
- Pallets in good condition.
- Safe working loads marked on racking.
- Well designed and well organised storage and retrieval systems, including loading and unloading areas.
- Appropriate access and materials handling equipment available.

**Criteria 3.10.21**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.10.22

#### Individuals are supervised according to their capabilities and the degree of risk of the task.



Employees require differing levels of supervision depending upon the complexity of the assigned tasks, the risks associated with those tasks and the capability of the individual. Employees who have experience performing the task are likely to be more capable than those just starting out. All these factors should be considered when determining the degree of supervision required.

#### Examples:



- Risk assessments/task analyses that identify the level of supervision required for tasks.
- Evaluations of employee competency to perform assigned tasks.
- Supervision/team rosters which demonstrate resources in appropriate areas at appropriate times, e.g. for new employees or for higher risk tasks.
- Logbooks.
- 'On the job' training procedures (and records) that identify the level of supervision required (and provided).



- Can supervisors explain what situations/personnel require extra supervision?
- Can employee representatives confirm that individuals/tasks get the necessary supervision?

**Criteria 3.10.22**

**Individuals are supervised according to their capabilities and the degree of risk of the task.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.10.23

**There are supervisory arrangements that ensure that tasks are performed safely and work instructions and procedures are followed.**



Supervision will provide some confidence that tasks are performed in accordance with work instructions or procedures. The organisation should determine the resources, the arrangements and individual competencies required to deliver the necessary level of supervision.

#### **Examples:**



- Organisation chart that identifies line managers.
- Rosters that record allocation of supervisor/team leader position.
- Job descriptions include the requirement for supervisors to ensure tasks are performed safely.
- Procedural compliance audits.
- Manager and supervisor health and safety performance appraisals.



- Can the managers/supervisors explain how the supervisory arrangements have been determined?
- Can employees/representatives confirm that supervisory arrangements are suitable across all shifts and for all types of work?

**Criteria 3.10.23**

**There are supervisory arrangements that ensure that tasks are performed safely and work instructions and procedures are followed.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.24

**There is a documented process which requires the organisation to identify potential health and safety hazards, (including public safety hazards), assess the potential risks and determine appropriate risk control strategies when providing its goods and/or services to others whether under contract or otherwise.**



Organisations that tender to supply goods or services to external parties, and enter into formal contracts, need to consider the health and safety implications of the proposed work. This reduces the possibility of injury and illness resulting from equipment failure, defective products or poor work practices. Public safety issues need to be included in these considerations, as do the suitability of plant and equipment, training of employees, site specific hazards, and legislative requirements.

The organisation needs to protect the health and safety of its employees whether or not the workplace is owned by and under the control of the employer. For example, community care employees, sales representatives and service technicians. The organisation may need to liaise with the customer to determine the necessary health and safety arrangements and to assess the environment in which the employees will be expected to work. For example, information may be gathered on environmental or other local hazards, what site induction and specific training will be provided, permit to work systems, status of equipment to be used, what supervision will be provided, the name of the management representative for health and safety, the restricted areas and emergency and first aid response.

#### **Examples:**



- Completed risk assessments or checklist-type documents that identify health and safety requirements at customer workplaces. For example, a site safety plan.
- Supporting instructions for employees, such as technicians, about actions to be taken if a customer workplace fails to meet safety standards defined in checklists.
- Records of training for relevant employees in how to identify health and safety hazards at customer workplaces, and action to be taken.
- Contracts or agreements with customers that include requirements for health and safety.
- Incident/hazard reports, correspondence, records of meetings that deal with customer safety issues.
- Health and safety audits/inspections of customer workplaces, e.g. checks of host employers for apprenticeship training schemes.



- Can employees/representatives explain how their health and safety is considered when they are providing services to their customers off site?
- Can the contract managers explain how health and safety is included in the contract review process?



**Criteria 3.10.24**

**There is a documented process which requires the organisation to identify potential health and safety hazards, (including public safety hazards), assess the potential risks and determine appropriate risk control strategies when providing its goods and/or services to others whether under contract or otherwise.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.25

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



Customer-supplied goods and services are those which are supplied to the organisation by a customer. The organisation then performs work on that product or uses that service as part of another task.

Examples are raw materials or components supplied by a customer who requires the organisation to mix or process the materials into a product. Repair type industries routinely perform work on customer-supplied product. Testing laboratories provide services involving customer samples, including infectious and hazardous substances.

When customer-supplied goods or services are received they need to be assessed for safety in the same way as any other goods or services used by the organisation. This may involve undertaking a hazard identification and risk assessment prior to use. If necessary, customer-supplied product should be quarantined from other products until suitably assessed. Systems are needed which would identify any damage, deterioration, or changes in composition which could impact on health and safety at the workplace.

#### Examples:



- A documented procedure which requires that customer-supplied goods and services undergo hazard identification and risk assessment.
- Records of hazard identification and risk assessment for customer-supplied products.
- Procedures and work instructions for safe handling of customer-supplied product.



- How does the organisation verify that customer-supplied goods or services always meet the agreed specifications?
- Can the employees/representatives describe the health and safety specifications of the customer-supplied goods or services, e.g. labelling, packaging, test results, material?
- Can employees/representatives explain what happens with customer-supplied products or services that don't conform to health and safety requirements?



- Quarantine areas for customer-supplied goods.

**Criteria 3.10.25**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.10.26

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



It is important that raw materials and other products can be easily identified to avoid incorrect use and subsequently any potential harm to people or damage to plant or property. Where this is likely, the packages, containers, tanks and pipelines should carry appropriate labels or other markings to meet the relevant standards and ensure the contents can be identified. In particular, hazardous substances and dangerous goods must be clearly and durably labelled to ensure the safety of persons required to handle those substances.

Where appropriate, non-hazardous substances should be clearly labelled to distinguish them from those that are hazardous. Where substances are decanted into smaller containers, the container must be suitable for the contents and clearly labelled. Labelling must include the relevant safety information.

The organisation should also ensure that any substances which are stored on site are known and labelled appropriately, e.g. cleaning materials, gardening chemicals, etc. which might be stored for use by contractors.

#### Examples:



- A purchasing procedure which incorporates checks of all incoming substances to ensure correct supply and clear, durable labelling.
- A procedure to ensure that all substances are appropriately identified and, where necessary, labelled throughout the production process.
- Labels are produced to comply with legislative requirements.
- Records of hazard/quality inspections which check suitability and integrity of labels.



- Can employees correctly identify the contents of all containers, receptacles, etc.?



- Clear identification, labelling and marking on all packages, containers, tanks and pipelines.

**Criteria 3.10.26**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 3.11 Emergency preparedness and response

### 3.11.1

**Potential emergency situations have been identified and emergency procedures are documented and regularly reviewed.**



Emergency situations, which could originate both on and off-site, need to be identified prior to the development of suitable emergency procedures.

On-site emergency situations may include:

- a hazardous chemical leak on the premises;
- a fire;
- a bomb threat or other threatening situation; or
- a medical emergency.

Off-site emergency situations could include:

- a building or a grass fire on an adjoining property;
- a chemical leak from a nearby chemical complex; or
- a company vehicle involved in a road accident.

Documented arrangements must at least cover evacuation procedures and should be developed where possible with the help of expert advice. A regular review process will ensure that the procedures remain appropriate to the likely emergencies. It is logical to review procedures when alterations are made to the site, or in response to changes in the business environment, e.g. security alerts. The frequency of reviews may also depend on the complexity of the procedures.

#### Examples:



- Risk assessments.
- Emergency procedures manual.
- Schedule of reviews of emergency procedures.
- Emergency procedures which record dates of review.
- Minutes of meetings which record discussion about the suitability of emergency procedures.
- Correspondence/records of meetings with industry experts in emergency management.

**Criteria 3.11.1**

**Potential emergency situations have been identified and emergency procedures are documented and regularly reviewed.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.11.2

**The organisation has allocated overall responsibility for control of emergency situations to specified individuals and communicated this information to all personnel.**



When emergency situations arise, there should be persons appointed and ready to manage the situation. The organisation should consider which persons are best suited to take on these responsibilities and let all employees know who they are.

#### **Examples:**



- Responsibility, authority and accountability should be defined for persons performing health and safety activities such as safety officers, first aid officers or fire emergency wardens. These responsibilities may reside outside of position descriptions.



- An emergency plan showing the names of wardens or emergency controllers.
- Induction process that includes introducing employees to local fire wardens.



- Are employees able to recognise the fire wardens and first aiders in their work areas?



- Identification apparel for responsible persons, e.g. helmets, armbands, etc.
- Notices posted of the names of persons with emergency control responsibilities.



**Criteria 3.11.2**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.11.3

#### Employees receive training and practice in emergency procedures appropriate to their allocated emergency response responsibilities and the degree of risk.



To ensure an effective response to emergency situations, all employees need to be trained in the relevant emergency procedures. For instance, rescue and first aid procedures need to be rehearsed by employees who are required to work in confined spaces. Persons who are appointed to manage an emergency should receive training that will enable them to discharge those responsibilities confidently and competently. Employees also need to have the knowledge and confidence to take immediate action. Practices and rehearsals should cover all emergency situations, e.g. mock fire situations, medical emergencies, bomb threats, etc.

#### Examples:



- Attendance records for general emergency training, e.g. included in induction.
- Outline of warden training program.
- Attendance records at warden training.
- Schedule of tests, drills or other rehearsals of emergency procedures.
- Records of emergency tests or drills.
- Records of attendance at mock emergency practice drills.



- Can employees/representatives explain what to do in the event of a specific emergency?
- Can employees/representatives confirm that emergency procedures are practised?



- Emergency plan posted.
- Emergency instructions posted.

**Criteria 3.11.3**

**Employees receive training and practice in emergency procedures appropriate to their allocated emergency response responsibilities and the degree of risk.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

- 1.
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**Documents submitted (title, version, date, location)**

- 1.
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**Observations and comments**

### 3.11.4

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



Appropriate emergency equipment needs to be readily accessible in the event of an emergency. Advice about the type and location of equipment should be sought from competent professionals, e.g. organisations such as the fire brigade. These persons can advise about the performance of particular equipment and which type will best cope with the range of potential situations, whether for fighting fires, dealing with chemical spills or alerting others where there are threats to personal security.

#### Examples:



- Emergency equipment assessment reports prepared by competent professionals or organisations.



- Can the organisation demonstrate that the emergency equipment assessment is still current, i.e. have any changes been introduced that would affect the location and type of emergency equipment needed?



- Specified emergency equipment located in accordance with assessment.
- Spill kits provided with instructions, suitable absorbent material, appropriate personal protective equipment, etc.
- Emergency showers and/or eyewash stations operating and maintained.

**Criteria 3.11.4**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.11.5

**Emergency and fire protection equipment, exit signs and alarm systems are inspected, tested and maintained at regular intervals.**



Emergency systems need to be regularly inspected and tested to verify that they are working effectively or will activate as required. Emergency equipment may include smoke detectors, fire extinguishers, sprinklers, fire hoses, emergency lighting, evacuation warning devices, spillage containment materials and duress alarms.

#### Examples:



- Contracts for inspection and maintenance of emergency equipment, systems and exit signs.
- Records of inspection and maintenance in accordance with contracts.
- Test results or logbook of alarm tests.
- Emergency lighting test logbook.
- Records of workplace inspections which check operation of smoke detectors.
- Plan that shows location and type of all emergency equipment provided.



- Can the organisation explain the schedule for inspection and test of all emergency equipment that ensures it remains in operational condition?



- Service tags on extinguishers and hose reels.
- Illuminated emergency exit signs.
- Records of tests in sprinkler main control rooms.
- Clearance maintained to emergency equipment, including sprinkler heads.
- Spill kits complete.

**Criteria 3.11.5**

**Emergency and fire protection equipment, exit signs and alarm systems are inspected, tested and maintained at regular intervals.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.11.6

#### **A dangerous goods and/or hazardous substances manifest or inventory system is in place and in accordance with legal requirements.**



An organisation needs to keep track of the range and quantity of dangerous goods and hazardous substances that are stored on its premises. This helps to manage storage areas, ensure that all Material Safety Data Sheets are obtained and, where required, manage notification requirements to the relevant authorities.

The inventory or manifest should list all dangerous goods and hazardous substances, and the quantities used or produced at the workplace. The inventory needs to be updated when new dangerous goods / hazardous substances are introduced or old ones are discontinued.

The inventory/manifest should be readily available and accessible to emergency authorities.

#### **Examples:**



- A dangerous goods / hazardous substances inventory database
- Correspondence with emergency authorities regarding the quantity and classes of dangerous goods / hazardous substances on site.
- Regular reviews of inventory are conducted.



- Can relevant employees explain how the inventory is managed?



- A copy of the current dangerous goods manifest in an emergency information box at the vehicle entry to the site.



**Criteria 3.11.6**

**A dangerous goods and/or hazardous substances manifest or inventory system is in place and in accordance with legal requirements.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.11.7

**The organisation has assessed its first aid requirements, and the first aid system in place is appropriate to the organisational risks.**



Prompt first aid will minimise the effects of an injury or illness and promote quicker recovery. Trained first aiders, first aid equipment and facilities appropriate to the nature of the likely risks should be available.

#### Examples:



- A current documented assessment of workplace first aid requirements, e.g. number of first aiders, level of first aider training, number of first aid kits, first aid equipment, special requirements such as antidotes, etc.
- Records of inspections that check first aid facilities.
- Records of first aid treatment.
- Records of first aider training.



- Can the organisation demonstrate the factors taken into account in the first aid assessment, e.g. previous injuries or illnesses at the workplace?



- First aid kits.
- First aid room.
- Eye wash facilities.
- Emergency showers.
- Resuscitation equipment.

**Criteria 3.11.7**

**The organisation has assessed its first aid requirements, and the first aid system in place is appropriate to the organisational risks.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 3.11.8

#### The organisation has systems in place to assist employees who are exposed to critical incidents at work.



A critical incident is any incident which directly or indirectly causes significant distress to a person, either at the time it occurs or later. Critical incident stress management is required in many industries, e.g. banking, emergency services, health care, etc.

As part of the hazard identification and risk assessment process, an organisation should identify the tasks or areas where employees may be exposed to critical incidents as a result of their work.

There should be procedures in place to support and assist employees. Effective system components will include policy, procedures, staff training and the provision for defusing, debriefing and counselling services by appropriately trained personnel.

#### Examples:



- Risk assessment documentation showing persons or areas where there is a likelihood of work related critical incidents.
- Critical incident stress management policies and procedures.
- Contract with debriefing and counselling services.
- Training program for 'at risk' personnel and records of training.
- Statistics or records of critical incident debriefing and counselling services provided.



- What is the organisation's definition of a 'critical incident'?
- How does the organisation become aware of a critical incident?
- Can employees/representatives confirm that the organisation provides support to employees after critical incidents?



- Posters that advertise critical incident services for employee assistance/peer support.
- On-site facilities for counselling/peer support.

**Criteria 3.11.8**

**The organisation has systems in place to assist employees who are exposed to critical incidents at work.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## Element 4: Measurement and Evaluation

### 4.1 Monitoring and measurement – General

#### 4.1.1

There is a health and safety inspection, testing & monitoring program that is documented and implemented that:

- a) meets legal requirements
- b) defines intervals based on identified risk;
- c) incorporates a reporting and corrective action process;
- d) uses workplace specific checklist(s);
- e) monitors conformance to the organisation's safe working procedures; and
- f) monitors the effectiveness of control measures.



Regular inspections will identify uncontrolled hazards and unplanned changes occurring in the workplace including plant. Once identified, they must be reported. An assessment will then determine the appropriate corrective action. Responsibilities must be assigned to ensure that corrective actions are implemented and monitored.

Checklists, developed as part of the initial risk assessment activity, provide a useful prompt and promote consistency of approach to the inspections. A checklist needs to be tailored to the particular workplace or site. 'Generic' documents often contain irrelevant items and can overlook vital issues specific to particular areas or operations. For this reason it is a good idea to consult about the development of the checklist with those employees who work in the areas exposed to the hazards.

Inspections should check more than physical hazards in the workplace. The inspection program should:

- Focus on how employee behaviour matches their expected safety performance, and whether the standard operating procedures need to be reviewed;
- Check whether the workplace meets legislative obligations, e.g. appropriate employee facilities, licensed drivers, etc.;
- Check all control measures for effectiveness, particularly those that have been recently introduced as a result of corrective actions for incident investigations or workplace inspections.

#### Examples:



- The test and inspection system planning arrangements, procedures, instruments (tools and forms) should be reviewed regularly to ensure ongoing relevance and maintenance in accordance with health and safety management system requirements. Corrective actions should be implemented where identified.
- The inspection, testing & monitoring program may use statistical measures of health and safety management system performance. The cause of adverse trends should be analysed and health and safety program priorities revised to ensure adequate resources and processes to reverse such trends.
- Procedures for the review of testing and inspection records should be implemented to ensure conformance verification and identify corrective actions where non-conformance is recorded.
- Inspection, testing and monitoring procedures should be planned and implemented at key times in the operational cycle and according to procedural requirements. For example, materials procurement, routine maintenance, plant installation and commissioning, standard operating procedures.



- Documented procedures for inspection that include schedules and checklist(s) covering all locations (including mobile and temporary) and hazards, and which requires that persons are assigned responsibility for ensuring that corrective actions are implemented.
- Records of inspections undertaken at regular intervals.
- Inspection reports which include details of corrective actions to be taken and by whom.
- Inspection documents which cover checks of safe operating procedures and relevant legislative requirements.
- Minutes of meetings that record discussion on the evaluation of corrective actions arising from inspections.



- Can the organisation explain the rationale for the inspection frequency/inspection schedule?
- Can employees/representatives confirm that an inspection, testing and monitoring program is in place

and undertaken?



- Workplace standards appear to be maintained.

**Criteria 4.1.1**

There is a health and safety inspection, testing & monitoring program that is documented and implemented that:

- a) meets legal requirements
- b) defines intervals based on identified risk;
- c) incorporates a reporting and corrective action process;
- d) uses workplace specific checklist(s);
- e) monitors conformance to the organisation's safe working procedures; and
- f) monitors the effectiveness of control measures.

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**



#### 4.1.2

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



Employees have valuable on-the-job experience and can provide useful information on the hazards associated with particular tasks. This information is easily obtained if those employees are involved in the inspection process or have the opportunity to provide information to the inspection team.

#### **Examples:**



- A workplace inspection procedure which includes a requirement to consult with employees performing the work.
- Records of employee input during inspections, e.g. minutes of meetings, notes on inspection checklists.



- Can employees confirm that they are involved in the inspection process?

**Criteria 4.1.2**

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

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 4.1.3

#### Engineering controls, including safety devices, are regularly inspected and tested to ensure their integrity.



Where engineering controls are used to reduce risk, they should be regularly checked to ensure that they continue to maintain the expected level of safety. For example, fixed guards and barriers may be damaged or missing a fixing screw or bolt, interlocked guards may be worn or disconnected, presence sensing systems may require adjustment, and emergency stop buttons, trip wires and duress alarms may malfunction, and automatic shutdown or pressure relief devices may fail to operate at critical levels. Ventilation systems may fail to provide the recommended level of performance.

#### Examples:



- Maintenance contracts to inspect and test specific engineering controls.
- Procedure that includes a checklist and schedules for inspection of engineering controls.
- Completed checklists of plant guarding status.
- Records or log of tests undertaken on safety devices.
- Service records of presence sensing systems.



- Can employees/representatives confirm that there are regular checks of engineering controls, including safety devices, e.g. guards, exhaust systems, etc.?



- Well maintained machine guarding in place.
- Other engineering controls appear to be functioning.

**Criteria 4.1.3**

**Engineering controls, including safety devices, are regularly inspected and tested to ensure their integrity.**

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

#### 4.1.4

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



The need for workplace monitoring of hazards such as noise, fumes, gases, vapours, dusts, radiation, cold, heat, etc. should be identified during the hazard identification and risk assessment process. Such monitoring may include personal dosimeters as well as static area monitors. The monitoring should be conducted by competent personnel and records maintained. Additional monitoring requirements may exist where contaminated air, insufficient oxygen, or flammable vapours may be present in a confined space.

#### Examples:



- Records of health and safety inspection, testing and monitoring should be maintained and made available to personnel. Persons responsible for the keeping of testing and inspection records should be identified and their responsibilities defined.



- Procedures for workplace environmental monitoring, including confined space entry.
- Records of workplace environmental monitoring.



- Can the organisation explain the reasons for the monitoring and how acceptable exposure levels have been determined?
- Can the organisation explain the reasons why particular types of monitoring equipment have been selected for use?
- Does the organisation's procedure cover the frequency of monitoring and what happens when a deviation from the required level is detected?



- Static monitors in appropriate locations.
- Personal dosimeters being worn appropriately, e.g. radiation badges.

**Criteria 4.1.4**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

#### 4.1.5

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



Where specialised equipment is used for health and safety related inspection, measuring or testing, e.g. sound level meters, there needs to be a documented process to ensure that the equipment will function as designed and provide accurate and relevant readouts. The equipment needs to meet relevant standards and be calibrated and adjusted accordingly. Storage environments can also affect the integrity of the equipment and its calibration. If the equipment is supplied and used by external consultants, there should be confirmation that the equipment has been correctly calibrated and maintained.

#### Examples:



- Documented procedures for the management of health and safety related inspection, measuring and test equipment.
- Records of calibration of equipment performed by competent persons in accordance with manufacturer's specifications.
- Records of scheduled maintenance in accordance with the manufacturer's specifications.
- Storage facilities designed to prevent damage and maintain equipment accuracy.



- Can employees/representatives confirm that measuring equipment is checked regularly?



- Current calibration stickers on equipment.
- Current calibration certification is available.

**Criteria 4.1.5**

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

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**



## 4.2 Monitoring and measurement – Health surveillance

### 4.2.1

The organisation has identified those situations where employee health surveillance should occur and has implemented systems to conduct this surveillance. The health of employees exposed to specific hazards is monitored, recorded, reported and action is taken to address any adverse effects.



Legislation may prescribe health surveillance for employees exposed to specified hazards.

Health surveillance, which includes biological monitoring, can assist in evaluating the risk to health from hazardous substances and other hazards (e.g. noise) for which there are known and acceptable health surveillance procedures by:

- determining the dose of hazardous substances absorbed; and
- detecting the early signs of adverse health effects that may occur due to exposure.

Legislation may require the monitoring of employees who have been identified as having exposure to a 'scheduled' hazardous substance, i.e. listed in Schedule 3 of the *National Model Regulations for the Control of Workplace Hazardous Substances* [NOHSC:1005], and where the exposure to the hazardous substance is such that it is likely that an adverse effect on the employee's health may occur under the particular conditions of use.

It is important that biological monitoring is not used as an alternative to the implementation of control measures. However, monitoring needs to be considered in situations where:

- the risks to health are largely controlled through the lower order controls, e.g. PPE or administrative controls;
- symptoms have been reported which are likely to be related to the use of a workplace substance;
- incidents or near misses have occurred; or
- control measures have deteriorated significantly as a result of poor maintenance.

Results are used as a baseline against which any changes in employee health can be readily identified and appropriate action taken. Legal requirements may also apply to the maintenance and retention of the test results. Individual results must be treated as confidential medical records.

#### Examples:



There may be situations where health surveillance should occur beyond any locally prescribed requirements, e.g. drug and alcohol testing, hepatitis, eyesight, fitness levels, lung function tests, etc



- Risk assessments which identify the need for health surveillance.
- Documented policy or procedure for health monitoring / health surveillance program.
- Schedule for screening and testing.
- Records of health monitoring / health surveillance which match scheduled arrangements.
- Records that health monitoring is conducted by competent, and where applicable, approved persons.
- Records that include details such as name and position of employee, type of monitoring conducted, testing procedure, test provider, and requirements specified in the relevant legislation.
- Records that demonstrate that employees are informed of the need for the monitoring and of the results.
- Contracts with providers of health monitoring services.



- How has the organisation determined the requirements for health surveillance?
- Can employees confirm that results of medical tests are provided and explained to them?

### Criteria 4.2.1

The organisation has identified those situations where employee health surveillance should occur and has implemented systems to conduct this surveillance. The health of employees exposed to specific hazards is monitored, recorded, reported and action is taken to address any adverse effects.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 4.3 Incident investigation, corrective and preventive action

### 4.3.1

**There is a procedure, which includes involvement of operational line management, for the investigation of injuries, illnesses, incidents and other systems failures impacting on health and safety.**



Injuries, illnesses, and incidents, including those which are notified to authorities, should be investigated. This is to determine the contributing factors so that similar occurrences can be prevented. Incident investigations should focus on corrective actions, not the allocation of blame. The investigation should involve management representatives, such as supervisors, who have direct knowledge of the relevant work area and work processes.

#### Examples:



- The investigation and corrective action procedures may include but are not limited to:
  - hazard reporting;
  - reporting of accidents and incidents and their subsequent investigation;
  - analysing all health and safety management system processes, work operations, records, service reports and complaints to detect and eliminate potential causes of nonconforming system;
  - implementing corrective action procedures to deal with prioritised health and safety management system failures;
  - applying controls to ensure that corrective actions are undertaken;
  - establishing procedures for assessing the success and the effectiveness of implemented control measures;
  - implementing a procedure for recording changes in health and safety management system resulting from corrective actions



- Investigation procedure.
- Fully completed investigation documents which show the involvement of line managers in the process.



- Can the organisation explain who is involved in investigations?
- Can line managers confirm their involvement in investigations?

**Criteria 4.3.1**

There is a procedure, which includes involvement of operational line management, for the investigation of injuries, illnesses, incidents and other systems failures impacting on health and safety.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

#### 4.3.2

##### Investigations shall:

- a) be undertaken by a competent person(s) in accordance with the organisation'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; and
- d) recommend appropriate control measures and corrective actions.



When an incident or more serious situation occurs, there needs to be a re-examination of the system which is implemented to manage the hazard, and whether it is suitable. To do this, the organisation needs to review the situation from first principles, i.e. recheck that all the hazards were initially identified, and whether the risks were correctly assessed before the control measures were selected. Investigations too often seek someone to blame when things go wrong, instead of trying to find out what really caused or contributed to the unexpected outcome. The choice of risk controls, system of work, standard of training, supervision and reporting of previous incidents are some of the factors that might need to be considered.

The incident investigation reports should specify what remedial action is needed to prevent similar incidents occurring in the future. As some recommended actions may take time to implement (e.g. training), each recommendation should have an allocated time frame to allow those responsible to schedule their tasks. It would be expected that recommendations would, where possible, concentrate on systems and processes rather than on the deficiencies of individual workers.

##### Examples:



- List of competent persons/positions who do investigations.
- Investigation procedures/documents that require examination of root causes.
- Investigation reports that focus on systems rather than personal failure, contain recommendations and refer to checks of existing control measures.
- Review of existing hazard identification and risk assessment documentation.
- Investigation procedures and/or the incident form include provision for recording recommended actions.
- Minutes of meetings that record reviews of control measures and discussions about recommendations arising from investigations.



- Can employees/representatives confirm that investigations try to find out why things have gone wrong rather than blame someone?

**Criteria 4.3.2**

**Investigations shall:**

- a) be undertaken by a competent person(s) in accordance with the organisation'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; and
- d) recommend appropriate control measures and corrective actions.

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 4.3.3

#### **Responsibility is assigned to identified personnel for implementing and reviewing the effectiveness of corrective actions arising from investigations.**



The investigation process will only be effective if prompt corrective action is taken to rectify the identified deficiencies. This is more likely to occur if particular individuals are given the responsibility of making sure recommended action is taken. The control measures also need to be followed up to ensure that they achieve the desired result.

#### **Examples:**



- Corrective action responsibilities should be designated to competent persons and statements of responsibility, authority and accountability established. Responsibilities should include development and implementation of corrective action, review of processes and follow through on identified non-conformances. Management should ensure through implemented processes of review that corrective action responsibilities are met and that procedural outcomes are properly actioned and followed through.



- Investigation procedures and/or the incident form include provision for assigning individuals to implement corrective actions.
- Records of corrective actions assigned to individuals.
- Records of implementation of corrective actions, e.g. minutes of meetings.
- Records of review on the effectiveness of implemented control measures.



- Can employee representatives confirm that corrective actions are checked to see if they work?

**Criteria 4.3.3**

Responsibility is assigned to identified personnel for implementing and reviewing the effectiveness of corrective actions arising from investigations.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**



#### 4.3.4

#### **Corrective actions are discussed with personnel affected prior to implementation.**



To ensure corrective actions arising from an incident investigation are appropriate and realistic, it is important to get the input of personnel who will be directly affected by those actions. The people closest to the situation may raise issues which had not been considered by the parties recommending the corrective action.

#### **Examples:**



- Investigation procedures which include a requirement that consultation take place with affected personnel prior to implementation of corrective action(s).
- Evidence that affected personnel are consulted prior to implementation of corrective actions, e.g. minutes of meetings.



- Are employees/representatives asked for their opinion on proposed changes after incidents have occurred in their work area?

**Criteria 4.3.4**

**Corrective actions are discussed with personnel affected prior to implementation.**

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 4.4 Records and records management

### 4.4.1

There are effective systems for management of health and safety records including their:

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



An organisation needs to identify what health and safety records it requires to be kept and to determine how they will be collected and stored. The safe and organized storage of records will ensure that they are readily available when required to those who are authorised to look at them. The disposal of the records will depend on the organisation's needs and any specific legislative requirements for their retention, e.g. health surveillance and risk assessment documentation.

#### Examples:



- Some examples of records that should be kept by an organisation are listed below:
  - qualifications, skills, knowledge, competency and certifications;
  - induction and training;
  - inspection and test reports;
  - audit reports;
  - internal management system review reports;
  - minutes of management review meetings;
  - incident reports/accident reports and investigations;
  - minutes of health and safety meetings, including health and safety executive meetings relating to health and safety
  - statistical analysis of health and safety data;
  - health and safety action plans;
  - safety equipment records;
  - hazardous substances and dangerous goods inventories;
  - design reviews and approvals;
  - risk management documentation.
  - records pertaining to the engagement of contractors and their compliance with health and safety requirements
  - records associated with supplier compliance including suppliers of goods, services and labour hire.
- The privacy of individuals and confidentiality of records should be accounted for in the procedures implemented for the indexing, filing, storage and retrieval of records. Procedures should be developed for obtaining access and/or releasing an individual's confidential records.
- Responsibility for the identification of record keeping compliance requirements and record keeping provisions should be documented in position descriptions, system planning arrangements, procedures or instruments (tools and forms).
- Procedures for the identification, collection, indexing, filing, storage, maintenance and disposal of health and safety records should be reviewed at appropriate intervals.
- Relevant documented procedure for record keeping.
- Automatic computer backup facilities for electronic records.



- What health and safety records does the organisation keep?
- Where are the health and safety records for (e.g. audiometric testing) kept?

**Criteria 4.4.1**

There are effective systems for management of health and safety records including their:

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

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## 4.5 Health and safety management system audits

### 4.5.1

There is a health and safety management systems audit procedure that covers:

- a) audit scope;
- b) audit frequency;
- c) audit methodologies;
- d) auditor selection, independence, competencies and responsibilities;
- e) input from a representative sample of personnel; and
- f) the reporting of results.



*Periodic audits of the occupational health and safety management system are necessary to determine whether the system has been properly implemented and maintained and whether the organisation has met the performance objectives set within its OHS policy [AS/NZS 4804]. For consistency and reliability, audit procedures need to state what audit standard is to be used, where, when and how audits will be conducted and who will undertake them. For example, a review of the entire health and safety management system may be conducted every two years and in the ensuing period surveillance audits of higher risk areas may be conducted to verify that the systems in those areas continue to be implemented and are effective. It may be that the organisation designs a particular format or checklist for auditors to follow.*

Persons selected as health and safety management systems auditors should have the relevant technical knowledge as well as training and understanding of auditing techniques. This includes technical competence in health and safety. A proficient auditor must be able to organize the work and adequately document all findings, as well as have good interpersonal skills.

Auditors should be able to carry out their work freely and objectively, a requirement that is difficult to achieve if they have been directly involved in the areas or systems under review. Therefore auditors may be selected from different departments or locations, or the organisation may choose to use external auditors. There are advantages and disadvantages with using external providers. The quality of the independence, objectivity and fresh viewpoint gained from using an external auditor needs to be weighed against the opportunity to enhance internal skills and the use of the in-house knowledge.

The audit procedures should require that the auditors confirm aspects of the system by observation and discussion with the people who work within the system. To provide confidence, those discussions should involve a reasonable number of the relevant employees, including the employee health and safety representatives for the area. However, it is important to include safeguards that will allow for employees to speak freely. The audit process must test the performance of the system, not target individuals.

The auditing procedures also need to state who carries the responsibility for the various stages of the audit activity and the standard of reporting required.

#### Examples:



- A documented health and safety management system audit procedure that include the requirements for employee verification and workplace observations.
- An auditor selection process.
- Records of auditor training and/or competence.
- Audit records that demonstrate that decisions were based on a combination of written, physical and verbal evidence.
- Audit reports which demonstrate that appropriate auditors have been selected.



- What is the health and safety audit standard used by the organisation and what audit procedures have been developed?
- Why was this standard chosen?
- How did the organisation select the auditors to undertake the audit program?
- What training has the organisation provided to internal auditors?
- Can employees confirm that they were able to provide input to the audits?

**Criteria 4.5.1**

There is a health and safety management systems audit procedure that covers:

- a) audit scope;
- b) audit frequency;
- c) audit methodologies;
- d) auditor selection, independence, competencies and responsibilities;
- e) input from a representative sample of personnel; and
- f) the reporting of results.

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

#### 4.5.2

**Scheduled audits are conducted to verify whether the health and safety management systems:**

- a) comply with planned arrangements;**
- b) have been properly implemented and maintained; and**
- c) are effectively implemented across the organisation.**

**The audit program takes into consideration the significance of health and safety risks and the results of previous audits.**



An organisation should have an internal mechanism to verify that all aspects of the health and safety management system are effectively operating as planned. This verification could be achieved by conducting a complete system audit or audits of parts of the system at more frequent intervals.

Audits should focus more regularly on those areas which carry the greatest risk exposure, the highest level of administrative controls and where problems have been identified in the past. The audit schedule should also take into account the complexity of the systems and the organisational structure.

#### **Examples:**



- The audits should provide assessment and evaluation of health and safety management systems, importance of activities audited and health and safety performance outcomes.
- Management should ensure that there is a comprehensive system of planned and documented health and safety audits to verify the established health and safety management system:
  - effectively meets organisational health and safety policy as well as objectives and targets for injury/illness prevention and continuous improvement;
  - conforms to any legislative and/or industry codes of practice or standards;
  - has been properly implemented and maintained.



- Audit schedules.
- Audit reports.
- Audit schedules based on risk level and results of previous audits.
- Follow up audits for problem areas.



- How often does the organisation conduct audits of the health and safety management system?
- How does the organisation's audit program take into account health and safety risks?
- How often does the organisation audit higher risk areas?

**Criteria 4.5.2**

Scheduled audits are conducted to verify whether the health and safety management systems:

- a) comply with planned arrangements;
- b) have been properly implemented and maintained; and
- c) are effectively implemented across the organisation.

The audit program takes into consideration the significance of health and safety risks and the results of previous audits.

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**



### 4.5.3

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



A follow-up or surveillance audit should be used to monitor the implementation of corrective actions resulting from the findings of an audit.

#### **Examples:**



- Audit results should be documented and communicated to personnel, including employees in the area where the audit was undertaken.



- Records or minutes which include a priority list for corrective actions.
- Surveillance audits which verify implementation of corrective actions.
- Records of corrective actions taken.



- Can the organisation explain how health and safety deficiencies are prioritised and the implementation of corrective actions monitored?

**Criteria 4.5.3**

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

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## Element 5: Management Review

### 5.1.1

Senior management oversee a comprehensive documented review of the health and safety management system at defined intervals to ensure its continuing suitability and effectiveness in satisfying the organisation's stated health and safety objectives and targets. The reviews take into account health and safety management systems audit results, performance indicators, resources, business continuity, changing circumstances and a commitment to continual improvement.



Senior management have a responsibility to ensure that the systems in place within an organisation continue to meet the needs of that organisation. This can only be successful if the management system is reviewed on an ongoing basis like other aspects of the business. While senior management may not conduct the review themselves, they should closely manage the process and be accountable for the results.

The review should use what is known about the current health and safety performance of the organisation to set future direction. Senior management are also in a position to foresee or plan any other issues which may impact on the health and safety management system, such as changing suppliers, opening new outlets, setting up new production lines, or decommissioning older areas. Any upcoming legal and industry requirements also need consideration.

The organisation's health and safety policy and objectives provide the framework for the system. It is the senior management's prerogative and responsibility to alter that policy and the associated objectives where necessary, to better match the health and safety needs of the organisation.

#### Examples:



- The capacity of the health and safety management system to achieve health and safety targets and objectives should be assessed. The processes for addressing system gaps should be documented and implemented.
- Senior management should be responsible for interpreting the results of statistical analysis associated with the reviews and ensuring initiatives to promote performance improvement and prevention of adverse trends are established and implemented.



- Comprehensive health and safety management system review procedure.
- Schedule of reviews.
- Records of reviews.
- Business Continuity Plan/Contingency Plan



- How does the organisation ensure that senior management oversees the review process?
- When is the health and safety management system scheduled for review?
- How does the organisation determine the frequency for review of the health and safety management system?

**Criteria 5.1.1**

Senior management oversee a comprehensive documented review of the health and safety management system at defined intervals to ensure its continuing suitability and effectiveness in satisfying the organisation's stated health and safety objectives and targets. The reviews take into account health and safety management systems audit results, performance indicators, resources, business continuity, changing circumstances and a commitment to continual improvement.

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**Rating**

Conformance       Non-conformance       Not Applicable       Not able to be verified

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

### 5.1.2

#### **Recommendations arising from health and safety management systems reviews generate actions to improve performance.**



Areas identified as deficient need to be actioned. The process of management review must ensure that recommendations are documented for corrective action.

#### **Examples:**



- Records should be used to review and evaluate the effectiveness of the health and safety management system to prevent injury and illness in the workplace.
- The outcomes of the review process should be used to modify and amend system's criteria such as policy, objectives, responsibilities, planning arrangements procedures and instruments (tools and forms) to ensure relevance, currency and continuous improvement.
- Review outcomes should be used to implement performance improvement strategies and ensure continuous improvement.



- Reports of health and safety management system reviews which include recommendations for action.
- Minutes of health and safety management system review meetings which record the discussion of health and safety issues raised by audit results, business, industry or supplier/customer requirements, legal issues and the overall health and safety performance of the organisation.
- Health and safety plans which schedule activities/actions arising from recommendations
- Evidence of changes made as a result of management reviews, e.g. organisation restructure, changes to assignment of responsibilities, changes to policy, reallocation of resources, etc.



- What factors were considered in the last review of the health and safety management system?
- What actions have been planned or implemented, by the organisation, as a result of the last management review of the health and safety management system?

**Criteria 5.1.2**

**Recommendations arising from health and safety management systems reviews generate actions to improve performance.**

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**Rating**

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

**Key contacts (names & titles/positions)**

NCR No.

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**Documents submitted (title, version, date, location)**

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**Observations and comments**

## APPENDIX - DEFINITION OF TERMS USED IN THIS DOCUMENT

|   |   |
|---|---|
| <b>Audit</b>                                | <i>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 organisation's policy and objectives.</i>  |
| <b>Audit report</b>                         | <i>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.</i>   |
| <b>Audit Team</b>                           | <i>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.</i>   |
| <b>Competent person</b>                     | <i>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.</i>   |
| <b>Conformance</b>                          | <i>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.</i>   |
| <b>Customer-supplied goods and services</b> | <i>Customer-supplied goods and services are those which are supplied to the organisation by a customer. The organisation then performs work on that product or uses that service as part of another task.</i>   |
| <b>Dispute</b>                              | <p><i>A dispute may arise in relation to:</i></p> <ul style="list-style-type: none"><li><i>• the identification of a workplace hazard;</i></li><li><i>• the assessment of the level of risk of a workplace hazard;</i></li><li><i>• control of a workplace hazard;</i></li><li><i>• statutory duty; or</i></li><li><i>• workplace changes.</i></li></ul> <p><i>A dispute means a difference of opinion between two or more parties on a health and safety issue and which remains unresolved.</i></p> |
| <b>Employees</b>                            | <i>The term 'employees' covers all those who work for the organisation, including casuals, part-time workers, volunteers and contractors.</i>   |
| <b>Facilities</b>                           | <i>Facilities refer to washrooms, showers, lockers, dining areas, drinking water etc. There may be specific legislative requirements and details in building regulations and codes.</i>   |
| <b>Hazard</b>                               | <i>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.</i>   |
| <b>Hazard identification</b>                | <i>The process of recognizing that a hazard exists and defining its characteristics.</i>  |
| <b>Hazardous substance</b>                  | <i>A substance possessing toxic, reactive, flammable or explosive properties, or is otherwise harmful to persons or the environment. Where there are legislative references to hazardous substances the definition may vary from the definition given here.</i>   |
| <b>Health and safety management system</b>  | <i>That 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 so managing the health and safety risks associated with the business of the organisation.</i>  |

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| <b>Health and safety objectives</b>          | <i>Overall OHS goal in terms of OHS performance, arising from the occupational health and safety policy that an organisation sets itself to achieve, and which are quantified where practicable.</i>   |
| <b>Health and safety policy</b>              | <i>Statement by the organisation 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.</i>  |
| <b>Health and safety target</b>              | <i>A detailed performance requirement, quantified wherever practicable and pertaining to the organisation, that arises from the health and safety objectives, and that needs to be met in order to achieve those objectives.</i>   |
| <b>Hierarchy of controls</b>                 | <i>Hazard control or risk reduction whereby options are considered in the following order (from most to least preferred):<br/>1. elimination;<br/>2. substitution;<br/>3. engineering controls;<br/>4. administrative controls; and<br/>5. personal protective equipment and clothing.<br/>Variations to this hierarchy to meet local legislative or other requirements are acceptable where the variations do not alter the intent of the hierarchy.</i>  |
| <b>Incident</b>                              | <i>An unplanned event resulting in, or having the potential for injury, ill health, damage or other loss.</i>  |
| <b>Interested parties</b>                    | <i>Interested parties, may, depending on circumstances, include health and safety representatives, health and safety committees, contractors, regulatory authorities, community groups, non-government organisations, special interest groups and others.</i>  |
| <b>Non-conformance</b>                       | <i>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.</i>   |
| <b>Not able to be verified</b>               | <i>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.</i>   |
| <b>Not Applicable</b>                        | <i>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 organisation's operations.</i>  |
| <b>Objective Evidence</b>                    | <i>Qualitative or quantitative information that can verify the existence and effective operation of an aspect of an occupational health and safety management system. The information may be in the form of documents, electronic information, documented records, visual observations and discussion with employees 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 3 months is required to verify conformance to an audit criterion.</i> |
| <b>Observation</b>                           | <i>A system deficiency of a minor nature that, in the auditor's opinion, does not warrant the issue of a Non-conformance report.</i>   |
| <b>Occupational health and safety policy</b> | <i>Statement by the organisation of its commitment, intentions and principles in relation to its overall occupational health and safety performance which provides a framework for action and for the setting of its occupational health and safety objectives and targets.</i>  |



|                          |  |
|--------------------------|--|
| <b>Organisation</b>      | <i>Company, corporation, firm, enterprise or institution, or other legal entity or part thereof, whether incorporated or not, public or private, that has its own function(s) and administration.</i>  |
| <b>Personnel</b>         | <i>A broad term that includes employees, contractors, labour hire employees and non-employees such as volunteers, unpaid work-experience staff and visitors.</i>   |
| <b>Procedure</b>         | <i>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.</i> |
| <b>Process</b>           | <i>A set of inter-related resources and activities that transform inputs into outputs.</i>   |
| <b>Record</b>            | <i>Document that furnishes objective evidence of activities performed or results achieved.</i>   |
| <b>Resources</b>         | <i>Resources include financial (e.g. money and time), physical (e.g. equipment, reference library) and human resources (e.g. health and safety coordinator, health and safety representative, health and safety consultant).</i>                       |
| <b>Risk</b>              | <i>The combination of the frequency, or probability of occurrence, and consequence of a specified hazardous event.</i>   |
| <b>Risk assessment</b>   | <i>The overall process of estimating the magnitude of risk and deciding whether the risk is tolerable.</i>   |
| <b>Senior management</b> | <i>May consist of an individual, or a group of individuals, with executive responsibility for the organisation.</i>  |
| <b>Verification</b>      | <i>Confirmation by examination and provision of objective evidence that the specified requirements of the audit criteria have been met.</i>  |