



AUDIT TOOL

AUDIT OF: _____

DATE OF AUDIT: _____

AUDITORS:

1. _____

2. _____

3. _____

Audit Participants:

Name	Position

LIST OF DOCUMENTS REVIEWED:

Assessment and Rating Methodology

This report provides an overview of the WHS Management System specifying whether the system conforms to the standards objectives. Should there be an element that does not conform; the degree of non-compliance is stated.

Result	Performance
Conformance	An element is deemed to have met conformance when it can be demonstrated that the element requirements have been addressed.
Minor Non-conformance	Nonconformity that does not affect the capability of the management system to achieve the intended results
Major non-conformance -	<p>Major nonconformity is nonconformity that affects the capability of a management system to achieve the intended results. Nonconformities could be classified as major in the following circumstances:</p> <ul style="list-style-type: none"> • If there is significant doubt that effective process control is in place, or that products or services will meet specified requirements. • A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.
<i>Opportunity for improvement</i>	Identifies areas for improvement

For a more in depth review the identification of shortcomings are presented within the “Comments” section of Part B of this report. It is intended that this information will assist CSCS in the continuous improvement of its WHS system.



PART A -Assessment and Rating Table – Summary of Findings

Element	Documentation Reviewed (Yes/No)	Conformance (Yes/No)	Major/Minor Non-Conformance
4.2 WHS Policy			
4.3.1 Planning Identification of hazards, assessment & control of risks.			
4.3.2 Legal & other Requirements			
4.3.3 Objectives & Targets			
4.3.4 WHS Management Plans			
4.4.11 Resources			
4.4.1.2 Responsibility & Accountability			
4.4.2 Training & Competency			
4.4.3.1 Consultation			
4.4.3.2 Communication			
4.4.3.3 Reporting			
4.4.4 Documentation			
4.4.5 Document and Data Control			
4.4.6 Hazard Identification, Risk Assessment and Control of Risks			
4.4.6.2 Hazard Identification			
4.4.6.3 Risk Assessment			
4.4.6.4 Control of Risks			
4.4.6.5 Evaluation			
4.4.7 Emergency Preparedness & Response			
4.5.1.1 Monitoring and Measurement			
4.5.1.2 Health Surveillance			
4.5.2 Incident Investigation, Corrective & Preventative Action			
4.5.3 Records & Records Management			
4.5.4 WHS Management System Audit			
4.6 Management Review			



Part B – As 4801 Work Health and Safety Management Systems Audit

4.2 WHS Policy	AS/NZS 4801:2001	Rating
<p>Does CSCS have a Work Health and Safety Policy?</p> <p>Does the WHS Policy comply to the following:</p> <ul style="list-style-type: none"> • appropriate to the nature and scale of CSCS's WHS risks; • demonstrates a commitment to establish measurable objectives and targets to ensure continued improvement aimed at eliminating work-related injury and illness; • includes a commitment to comply with relevant WHS legislation and other requirements to which CSCS subscribes; • documented, implemented, communicated to all employees and maintained; • accessible to all interested parties; and • Reviewed periodically. 	4.2	
Comments:		
4.3.1: Planning Identification of hazards, assessment and control of risks	AS/NZS 4801:2001	Rating
<p>Has CSCS established, implemented and maintained documented procedures for hazard identification, hazard/risk assessment and control of hazards/risks of activities, products and services over which an organisation has control or influence, including activities, products or services of contractors and suppliers?</p> <p>Has CSCS developed its methodology for hazard identification, risk assessment and control of risks, based on its operational experience and its commitment to eliminate workplace illness and injury? The methodology shall be kept up-to-date.</p>	4.3.1	
Comments:		



4.3.2 Legal and other Requirements	AS/NZS 4801:2001	Rating
<p>Has CSCS established, implemented and maintained procedures to identify and have access to all legal and other requirements that are directly applicable to the WHS issues related to its activities, products or services, including relevant relationships with contractors or suppliers?</p> <p>Has CSCS communicated relevant legal and other requirements to its employees?</p>	4.3.2	
Comments:		
4.3.3 Objectives and Targets	AS/NZS 4801:2001	Rating
<p>CSCS has established implemented and maintained documented WHS objectives and targets, at each relevant function and level within CSCS.</p> <p>When establishing and reviewing its objectives, CSCS has consider its legal and other requirements, its hazards and risks, its technological options, its operational and business requirements, and the views of interested parties. The objectives and targets shall be consistent with the WHS policy, including the commitment to measuring and improving WHS performance.</p>	4.3.3	
Comments:		



4.3.4 WHS Management Plans	AS/NZS 4801:2001	Rating
Have WHS management plans been established and maintained that include the following: <ul style="list-style-type: none"> Plans for achieving WHS objectives and targets; Designation of responsibility for objectives and targets at relevant functions and levels of CSCS; and The means and time frame by which objectives and targets are to be achieved. 	4.3.4	
Comments:		
4.4.1.1 Resources	AS/NZS 4801:2001	Rating
Have management identified and provided resources to implement, maintain and improve the WHSMS, as required? <ul style="list-style-type: none"> <i>Resources include human resources and specialised skills, technology and financial resources.</i> 	4.4.1	
Comments:		



4.4.1.2 Responsibility and Accountability	AS/NZS 4801:2001	Rating
<p>Has CSCS defined, documented and communicated the areas of accountability and responsibility (including those imposed by WHS legislation) of all personnel involved in the WHSMS's operation?</p> <p>Where contractors are involved, these areas of accountability and responsibility shall be clarified with respect to those contractors.</p> <p>CSCS's top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have defined roles, responsibilities and authority for:</p> <ul style="list-style-type: none"> ensuring that the WHSMS requirements are established, implemented and maintained in accordance with this Standard; Reporting on the performance of the WHSMS to top management for review and as a basis for improvement of the WHSMS. 	4.4.1	
<p>Comments:</p>		
Empty space for comments		



4.4.2 Training and Competency	AS/NZS 4801:2001	Rating
<p>CSCS has, in consultation with employees, identified training needs in relation to performing work activities competently, including WHS training.</p> <p>Procedures are in place to ensure that WHS competencies are developed and maintained. Personnel are assessed as competent, on the basis of skills achieved through education, training or experience, to perform assigned tasks taking into account the WHS obligations, hazards and risks associated with the work activities.</p> <p>Procedures are developed for providing WHS training. These procedures take into account:</p> <ul style="list-style-type: none"> • The characteristics and composition of the workforce which impact on Work health and safety management and • Responsibilities, hazards and risks. • CSCS ensures that all personnel (including contractors and visitors) have undertaken training appropriate to the identified needs. • Training shall be carried out by persons with appropriate knowledge, skills and experience in WHS and training. <p><i>Note: Personnel should be taken to include employees, contractors, non-employees such as unpaid work-experience staff and visitors.</i></p>	4.4.2	
Comments:		



4.4.3.1 Consultation	AS/NZS 4801:2001	Rating
<p>Are there documented procedures, agreed to by the employees, for employee involvement and consultation in WHS issues?</p> <p>Are employee involvement and consultation arrangements documented and made available to interested parties?</p> <p>Are employees:</p> <ul style="list-style-type: none"> • Involved in the development of policies and procedures to manage risks? • Consulted where there are any changes that affect workplace health and safety? • Represented on health and safety matters? • Informed of who their employee WHS representative(s) is/are • Aware of whom their WHS representative and management representatives are? 	4.4.3	
Comments:		
4.4.4 Documentation	AS/NZS 4801:2001	Rating
<p>Has CSCS established, implemented and maintained information to:</p> <ul style="list-style-type: none"> • Describe the core elements of the management system and their interactions; • Provide direction to related documentation. 	4.4.5	
Comments:		



4.4.5 Documentation and Data Control	AS/NZS 4801:2001	Rating
<p>Has CSCS established, implemented and maintained procedures for controlling all relevant documents and data required by this standard to ensure that:</p> <ul style="list-style-type: none"> • they can be readily located; • periodically reviewed; • current versions are accessible at all locations • obsolete documents and data are promptly removed; and • Archival documents and data are retained for legal or knowledge preservation. 	4.4.5	
Comments:		
4.4.6 Hazard Identification, risk assessment and control of risks	AS/NZS 4801:2001	Rating
<p>CSCS has established, implemented and maintained documented procedures to ensure that the following are conducted:</p> <ul style="list-style-type: none"> • hazard identification; • hazard/risk assessment; • control of hazards/risks; and then • evaluation of steps a – c. 	4.4.6	
Comments:		



4.4.6.2 Hazard Identification	AS/NZS 4801:2001	Rating
<p>When identifying hazards, has CSCS taken into account;</p> <ul style="list-style-type: none"> • the situation or events or combination of circumstances that has the potential to give rise to injury or illness; • the nature of potential injury or illness relevant to the hazard; • past injuries, incidents and illnesses; • Further consideration has been given to: <ul style="list-style-type: none"> ○ work organisation; ○ work design; ○ work systems; ○ the purchase of goods and services; ○ Hazard associated with contractual arrangements. • The inspection, maintenance, testing repair and replacement of plant and equipment. 	4.4.6	
Comments:		
4.4.6.3 Risk assessment	AS/NZS 4801:2001	Rating
<p>Has CSCSs hazards/risks been assessed and have control priorities been assigned, based on the established level of risk.</p>	4.4.6	
Comments:		



4.4.6.4 Control of risks	AS/NZS 4801:2001	Rating
Have the hazards identified through the assessment process as requiring control, controlled through the hierarchy of controls – elimination being the first control of consideration? Note. <i>Elimination, Substitution, Engineering, Administration and PPE.</i>	4.4.6	
Comments:		
4.4.6.5 Evaluation	AS/NZS 4801:2001	Rating
Is there a process of evaluation of hazard/risk identification, assessment and control?	4.4.6	
Comments:		



4.4.7 Emergency preparedness and response	AS/NZS 4801:2001	Rating
Has CSCS identified potential emergency situations and developed implemented and practiced emergency preparedness and response procedures?	4.4.7	
Comments:		
4.5.1.1 Monitoring and measurement	AS/NZS 4801:2001	Rating
<p>Has CSCS established, implemented and maintained documented procedures to monitor and measure on a regular basis the activities that may cause injury or illness, using the appropriate equipment for monitoring and measuring that is calibrated, maintained and stored appropriately:</p> <p>Has equipment for monitoring and measuring health and safety risks been identified, calibrated, maintained and stored as necessary?</p> <p>Have records of such monitoring and measuring procedures.</p> <ul style="list-style-type: none"> • With regard to WHSMS CSCS has established implemented and maintained procedures for measuring: • Performance effectiveness of relevant controls conformance with organisations targets and objectives; and • Compliance with relevant WHS legislation. 	4.5.1	
Comments:		



4.5.1.2 Health surveillance	AS/NZS 4801:2001	Rating
<p>Has CSCS identified those situations where employee health surveillance should occur?</p> <p>Is the health of employees exposed to specific hazards monitored, where required by legislation?</p>	4.5.1	
Comments:		

4.5.2 Incident investigation, corrective and preventative action	AS/NZS 4801:2001	Rating
<p>Has CSCS implemented and recorded any changes in the WHSMS procedures resulting from incident investigations and corrective and preventative actions for:</p> <ul style="list-style-type: none"> • responding to and taking action to minimise any harm caused from incidents; (PTSD) • investigation and responding to system failures; and • Initiating and completing appropriate corrective and preventative action. <p>Has CSCS established a system of implementation and recording changes in WHSMS procedures resulting from incident investigations, preventative and corrective action?</p>	4.5.2-3	
Comments:		



4.5.3 Records and records management	AS/NZS 4801:2001	Rating
<p>The organization shall establish, implement and maintain procedures for the identification, maintenance and disposition of WHS records, as well as the results of audits and reviews.</p> <p>WHS records shall be legible, identifiable and traceable to the activity, product or service involved. WHS records shall be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times shall be established and recorded.</p> <p>Records shall be maintained, as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this Standard.</p>	4.5.2-3	
<p>Comments:</p>		
Empty space for comments		



4.5.4 WHSMS Audit	AS/NZS 4801:2001	Rating
<p>Has CSCS established, implemented and maintained an audit program and procedures for periodic WHSMS Audits – carried out by a competent person.</p> <p>Determine whether the WHSMS:</p> <ul style="list-style-type: none"> • Conforms to planned arrangements for WHS management including the requirements of this Standard; • has been properly implemented and maintained; and • is effective in meeting CSCS’s policy as well as objectives and targets for continual WHS improvement; and • provide information on the results of audits to management, and employees 	4.5.4	
Comments:		



4.6 Management Review	AS/NZS 4801:2001	Rating
Do CSCS's senior management perform management reviews of the WHSMS, to ensure its suitability, adequacy and effectiveness? Does the management review process ensure that the necessary information is collected to allow management to carry out the above evaluation?	4.6	
Comments:		