WHS MANAGEMENT SYSTEM AUDIT CHECKLIST

AUDIT DETAILS:	
AUDIT OF:	Charles Sturt Campus Services Limited Work Health and Safety (WHS) Management System
AUDIT DATE:	
AUDITOR(S):	
NEXT AUDIT DATE:	

AUDIT PARTICIPANTS:	
Name	**Position**

LIST OF REVIEWED DOCUMENTS:	
Document Name	**Name of Reviewer**

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Document Name	Name of Reviewer

Charles Sturt Campus Services Limited
ABN 37 063 446 864
Registered Office:
Division of Finance, Building 8
Charles Sturt University
Wagga Wagga NSW 2678

LIST OF REVIEWED DOCUMENTS:	
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WHS MANAGEMENT SYSTEM AUDIT OVERVIEW

A WHS audit is a systematic and periodic review of the complete WHS Management System, including the policies, procedures and programs used to promote WHS and to prevent workplace accidents and incidents.

Auditing is a management tool used to monitor the performance of the WHS Management System and to determine if WHS procedures are in place and working. The audit can be conducted over the whole organisation, certain sections of the organisation, or in relation to a particular aspect of risk control such as fire safety or electrical safety.

WHS audit findings should be reviewed at regular intervals and the information collected is to be used to improve the system. Each safety audit will build upon previous audits as hazards identified from previous audits can be further investigated and fine-tuned. The following list is generic to most businesses and you are encouraged to tailor the audit checklist to your business.

ASSESSMENT AND RATING METHODOLOGY

Legislation requires an assessment of a workplace every 12 months with results reported to the relevant WHS Committee within 30 days of the assessment. This report provides an overview of the WHS Management System specifying whether the system conforms to the standard's objectives. Should there be an element that does not conform; the degree of non-compliance should be stated as shown below:

Result	Performance
Conformance **YES**	An element is deemed to have met conformance when it can be demonstrated that the element requirements have been addressed.
Minor Non-Conformance **"NO - Minor"**	A minor non-conformance occurs if all requirements have only been partially implemented. Satisfies minimum requirements of the indicator only. Basic documentation can be produced if specified in the indicator.
Major Non-Conformance **"NO - Major"**	A major non-conformance is where many of the element requirements have not been met or are in the early stages of development. Areas of high risk that have not been effectively controlled would also constitute a major non-conformance.

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 the organisation in the continuous improvement of its WHS system.

Once WHS Management System audit review is completed, audit conformance findings should be entered in the *WHS Management System Audit Findings Register* by the Person Conducting a Business or Undertaking (PCBU). The PCBU is responsible for ensuring any non-compliance elements are actioned, changes implemented, recorded and reviewed.

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PART A - Assessment and Rating Table (Audit Summary)

AS/NZS 4801:2001 Reference	AS/NZS 4801:2001 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			
4.4.1.1	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			
4.4.6.1	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			

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PART B – WHS Management System Audit Elements

WHS Policy	AS/NZS 4801:2001	Rating
Does the organisation have a Work Health and Safety (WHS) Policy? Does the WHS Policy comply to the following: • appropriate to the nature and scale of the organisation's WHS risks; • demonstrates a commitment to establish measurable objectives and targets to ensure continued improvement aimed at eliminating work-related injury and illness; • documented, implemented, communicated to all employees and maintained; • accessible to all interested parties; and • Reviewed periodically.	4.2	

Comments:
☐ All workers have read the Policies, demonstrated they understand the content and signed the *Policy Agreement*;
☐ All workers have a copy or access to policies and procedures and signed *Policy Agreement*;
☐ New workers including contractors inducted into the organisation and understand their roles, responsibilities and the rules of the organisation;
☐ Company WHS Policy includes a commitment to comply with relevant WHS Legislation and other requirements to which the organisation subscribes.

Planning - Identification of Hazards, Assessment and Control of Risks	AS/NZS 4801:2001	Rating
Has the organisation 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? Has the organisation 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.	4.3.1	

Comments:
☐ Risk management process, procedures, risk matrix, methodology, evaluation and review implemented;
☐ Hazards have been identified and risks assessed;
☐ Risks are controlled in accordance with the hierarchy of controls and recorded in the risk register;
☐ Procedures are reviewed when work process or environment changes or when an incident or injury occurs;

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Legal and other Requirements	AS/NZS 4801:2001	Rating
Has the organisation 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? Has the organisation communicated relevant legal and other requirements to its employees?	**4.3.2**	

Comments:
☐ Organisation has implemented current Acts, Regulations and Codes Of Practice into company objectives, policy, procedures and risk management processes with access for all workers;
☐ Organisation keeps up to date with changes in legislation and legal obligations to workers;
☐ Workers compensation, rehabilitation and return to work programs are implemented;
☐ Are there Health and Safety Committee meeting minutes, workplace inspection records, safety newsletters and a WHS Manual?

Objectives and Targets	AS/NZS 4801:2001	Rating
The organisation has established implemented and maintained documented WHS objectives and targets, at each relevant function and level within the organisation. When establishing and reviewing its objectives, the organisation has considered 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 a commitment to measuring and improving WHS performance.	**4.3.3**	

Comments:
☐ The organisation has developed key performance targets defined and recorded in WHS Committee meeting minutes;
☐ The organisation conducts regular audits of its policies, procedures, risks, hazards and system processes;
☐ The organisation regularly records and reports audit findings to the WHS committee for review;
☐ The organisation has implemented a WHS Management System management review plan;
☐ The organisation has set safety targets for reducing injury and or illness to workers;
☐ The organisation regularly consults with the WHS Representative and WHS Committee.

WHS Management Plans	AS/NZS 4801:2001	Rating
Have WHS Management Plans been established and maintained that include the following: • Plans for achieving WHS objectives and targets; • Designation of responsibility for objectives and targets at relevant functions and levels of the organisation; and	**4.3.4**	

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• The means and time frame by which objectives and targets are to be achieved.		

Comments:

☐ Internal work sites/areas safety inspections conducted regularly by WHS representative/s and recorded evidence;

☐ Organisation regularly conducts reviews of WHS Management System processes and adjusts site or project specific WHS Management Plans;

☐ Check WHS Management Plans are documented and actually relate to the specific workplace being audited, i.e. WHS Committee minutes should address this for workplaces they oversee.

Resources	AS/NZS 4801:2001	Rating
Have management identified and provided resources to implement, maintain and improve the WHSMS, as required? • *Resources include human resources, specialised skills, technology and financial resources.*	**4.4.1.1**	

Comments:

☐ Are required technical resources available?

☐ Are a sufficient number of personnel allocated for the workplace? Sight roles and responsibilities register;

☐ Is there funding for any required specialised training?

☐ Are there records of allocated contingency funding for training?

☐ Are records completed for specialised training?

☐ Are sufficient funds made available to resource manual handling equipment? Sight physical evidence.

Responsibility and Accountability	AS/NZS 4801:2001	Rating
Has the organisation 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? Where contractors are involved, these areas of accountability and responsibility shall be clarified with respect to those contractors. The organisation's top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have defined roles, responsibilities and authority for: • 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.	**4.4.1.2**	

Comments:

☐ Organisation has designated persons, positions and resources for various roles and responsibilities to achieve WHS safety targets and objectives; *Refer Roles and Responsibility Register.*

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☐ Do the roles, responsibilities and accountabilities include those relating to the use of contractors; sight SWMS or risk assessments and contractor WHS Management Plans;

☐ Is there evidence of organisation representative managing the WHS Management System requirements and for reporting back on the WHS Management System performance? Sight documentation or WHS Committee meeting minutes.

Training and Competency	AS/NZS 4801:2001	Rating
The organisation has, in consultation with employees, identified training needs in relation to performing work activities competently, including WHS training. 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. Procedures are developed for providing WHS training. These procedures take into account: • The characteristics and composition of the workforce which impact on Work Health and Safety management; • Responsibilities, hazards and risks; • Ensuring 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. *Note: Personnel should be taken to include workers, contractors, non-employees such as unpaid work-experience staff and visitors.*	**4.4.2**	

Comments:

☐ Organisation has evidence of training plans and completed records of training/competency. This includes suppliers and contractors;

☐ Is the process effectively communicated to workers? Sight evidence that workers are informed;

☐ Sight induction records including both on-line and local induction regarding specific workplace information;

☐ Are there individuals who fill specific WHS management roles and responsibilities including emergency response and first aid? Sight records of training or lists contained in emergency, incident and injury forms;

☐ Is training carried out in-house or by an external provider? Sight recorded evidence of training/competency;

☐ Is there evidence that workers are made aware of an Employee Assistance Program (EAP)? Verbal confirmation that managers/supervisors are aware and encourage staff to make use of EAP as appropriate.

Consultation	AS/NZS 4801:2001	Rating
Are there documented procedures, agreed to by the workers, for worker involvement and consultation in WHS issues? Are worker involvement and consultation arrangements documented and made	**4.4.3.1**	

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available to interested parties?

Are workers:

- 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?
- Aware of whom their WHS representative and management representatives are?

Comments:

☐ Sight evidence that workers are informed. This is best achieved by an active committee, adequate health and safety representatives of the workplace and regular distribution of health and safety committee meeting minutes

☐ Are workers involved in development and implementation of procedures to manage risk? Sight evidence of collaboration between managers and workers;

☐ Are workers consulted on matters which effect workplace WHS? Sight health and safety committee meeting minutes or equivalent circulars, confirm appropriate number of WHS representative;

☐ Evidence WHS representative are involved in regular workplace inspections

Communication and Reporting	AS/NZS 4801:2001	Rating
Is there a workplace health and safety committee of which both senior officers/managers and WHS representatives are members?	**4.4.3.2**	
Are there processes or procedures for communicating issues related to aspects of WHS and the WHS Management System?		
Are internal business communications retained when they may affect the safety between this and other work areas?	**4.4.3.3**	

Comments:

☐ Does the process address WHS performance reporting including audits and reviews?

☐ Does the process address reporting incidents and systems failure?

☐ Sight written evidence of regular meetings (at least quarterly) via WHS meeting minutes, induction feedback and tool/box talks which are signed off by senior management.

☐ Sight evidence for WHS communication, safety newsletters, website information, WHS committee meeting minutes etc.

Documentation	AS/NZS 4801:2001	Rating
Has the organisation established, implemented and maintained information to: • Describe the core elements of the WHS Management System and their interactions; • Provide direction to related documentation.	**4.4.4**	

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Comments:
☐ Sight documents that describe the core elements of the WHS Management System and their interaction. Check they address core elements such as WHS procedures, local WHS policies etc.;
☐ Is there a formal process for storage and access of safety related documents including responsible persons? Confirm this process exists.

Document and Data Control	AS/NZS 4801:2001	Rating
Has the organisation established, implemented and maintained procedures for controlling all relevant documents and data required by this standard to ensure that: • 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:
☐ Sight evidence that documents can be readily located, reviewed periodically and approved as adequate by a competent and responsible person, obsolete documents removed promptly from points of use;
☐ Archival of documents for legal knowledge preservation purposes or both are suitably identified;
☐ Do local WHS documents incorporate document control information? Verify responsible person and sight version creation, version or revision numbers, publications and expiry dates.

Hazard Identification, Risk Assessment and Control of Risks	AS/NZS 4801:2001	Rating
The organisation has established, implemented and maintained documented procedures to ensure that the following are conducted: • hazard identification; • hazard/risk assessment; • control of hazards/risks; and then • evaluation of steps.	4.4.6.1	

Comments:
☐ Sight evidence of completed risk assessments;
☐ Sight evidence risks from identified hazards have been assessed;
☐ Sight evidence appropriate risk control measures have been implemented;
☐ Sight evidence ongoing arrangements for identifying hazards are implemented;
☐ Sight workplace inspection records.

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Hazard Identification	AS/NZS 4801:2001	Rating

When identifying hazards, has the organisation taken into account;
 	
• 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:
   o work organisation;
   o work design;
   o work systems;
   o the purchase of goods and services;
   o hazards associated with contractual arrangements.
• The inspection, maintenance, testing repair and replacement of plant and equipment.
	4.4.6.2	

Comments:

☐ Regular risk assessments conducted and procedures revised or implemented;

☐ Compliant and detailed Safe Work Method Statements (SWMS);

☐ Incident reports completed and investigated by responsible person including evidence of actions taken;

☐ Is there a policy and procedures for WHS and security breaches? Potential risks of violence and aggression constantly reviewed and recorded and training provided to workers;

☐ Is the plant, equipment and environment well designed to reduce manual handling? Sight that there are aids to help with manual handling, lifting devices etc.;

☐ Are purchases for goods and services assessed for hazards and risks to workers?

☐ Are there constant inspection, maintenance, testing, repair and replacement of equipment with safety in mind?

Risk Assessment	AS/NZS 4801:2001	Rating
Has the organisations hazards/risks been assessed and have control priorities been assigned, based on the established level of risk.	**4.4.6.3**	

Comments:

☐ Are all risks associated with each identified hazard adequately assessed and controlled? Sight hazard report forms, risk assessments, incident and injury reports (with action outcomes) and WHS committee records.

Control of Risks	AS/NZS 4801:2001	Rating

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Are the hazards, as identified through the assessment process as requiring control, controlled using the hierarchy of controls? Elimination being the first control of consideration? Note. *Elimination, Substitution, Engineering, Administration and PPE.*	**4.4.6.4**	

Comments:

☐ Examine whether the hierarchy of controls is applied when hazard controls are implemented. Properly prepared workplace risk assessments will provide suitable evidence.

Evaluation	**AS/NZS 4801:2001**	**Rating**
Is there a process of evaluation of hazard/risk identification, assessment and control?	**4.4.6.5**	

Comments:

☐ Examine the hierarchy of controls and frequency of monitoring of controls and that there is written evidence available.

Emergency Preparedness and Response	**AS/NZS 4801:2001**	**Rating**
Has the organisation identified potential emergency situations and are emergency preparedness and response procedures developed, implemented and practiced?	**4.4.7**	

Comments:

☐ Sight evidence of local procedures for managing accidents and emergencies whilst also accounting for particular, unusual workplace specific hazardous activities.

☐ Question workers to see if emergency evacuation procedures are displayed, understood and easy accessible for all workers;

☐ Is fire fighting equipment is adequate and appropriate for the size of the organisation and for the work carried out and listed in the *Fire Fighting Equipment Maintenance Register?*

☐ Are fire extinguishers and fire fighting equipment are installed and signs erected to indicate their location?

☐ Are emergency exit signs are installed?

☐ Is there an emergency plan specific to the workplace and each worksite in existence, tested and reviewed?

☐ Are there are trained fire warden(s)?

☐ Are fire drills conducted every 6 months and are new workers inducted in emergency procedures within 30 days of them commencing work?

☐ Do workers receive training and/or refresher training in the use of fire fighting equipment annually?

Monitoring and Measurement	**AS/NZS 4801:2001**	**Rating**
Has the organisation established, implemented and maintained documented procedures to monitor and measure on a regular basis the activities that may cause	**4.5.1.1**	

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injury or illness, using the appropriate equipment for monitoring and measuring that is calibrated, maintained and stored appropriately:

Has equipment for monitoring and measuring health and safety risks been identified, calibrated, maintained and stored as necessary?

Have records of such monitoring and measuring procedures.

- With regard to WHSMS the organisation 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.

Comments:

☐ Are there processes to monitor and measure on a regular basis, -sight WHS Committee meeting minutes;

☐ Sight calibration and maintenance records for equipment used to identify risks and workplace injury and illness;

Health Surveillance	AS/NZS 4801:2001	Rating
Has the organisation identified those situations where employee health surveillance should occur? Is the health of employees exposed to specific hazards monitored, where required by legislation?	**4.5.1.2**	

Comments:

☐ Sight health surveillance records and confirm their availability to those being monitored.

Incident Investigation, Corrective and Preventative Action	AS/NZS 4801:2001	Rating
Has the organisation implemented and recorded any changes in the WHSMS procedures resulting from incident investigations and corrective and preventative actions for: • 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. Has the organisation established a system of implementation and recording changes in WHSMS procedures resulting from incident investigations, preventative and corrective action?	**4.5.2**	

Comments:

☐ All incidents and injuries are recorded;

☐ All incidents and injuries are investigated;

☐ What remedial action has resulted from the investigation?

☐ Have unsafe situations been controlled so the incident will not occur again?

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☐ What statistics are compiled?

☐ What trends do the statistics reflect and how is this information used?

☐ Is the organisation's safety improving?

☐ Has the program reduced the cost of injuries?

☐ Are injured workers satisfied with the services provided?

Records and Records Management	AS/NZS 4801:2001	Rating
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. 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. Records shall be maintained, as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this Standard.	**4.5.3**	

Comments:		

☐ Does the workplace have arrangements for identifying and maintaining WHS records including, risk assessments, audits, outcomes of area workplace inspections, accident/incident reports, training records demonstrating competency, and standard operating procedures for hazardous equipment

☐ Sight multiple examples of each of the above record types to make sure that appropriate records are maintained to demonstrate conformance to this standard.

WHS Management System Audit	AS/NZS 4801:2001	Rating
Has the organisation established, implemented and maintained an audit program and procedures for periodic WHSMS Audits – carried out by a competent person. Determine whether the WHSMS: • has been properly implemented and maintained; and • is effective in meeting the organisation'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:		

☐ Conforms to planned arrangements for WHS management including the requirements of this Standard;

☐ Organisation continually reviews its procedures for recording, monitoring and reviewing safety systems

☐ Organisation engages external professional company to audit WHS Management Systems;

☐ Organisation engages competent person to audit and review WHS Management Systems;

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☐ Organisation implements management plan to continually improve safety systems ;

Management Review	AS/NZS 4801:2001	Rating
Do the organisation'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:		

☐ Organisation conducts audits and management reviews of audit findings through WHS Committee and its representatives;

☐ WHS audit review results, recommendations and management actions when required recorded;

SIGN OFF

Company Representative:

Signed: _____ **Date:** 20ᵗʰ September 2014

Name: Martin Dooner **Position:** General Manager

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