



New South Wales
Government

Guidelines for

**Auditing
Project OHS
Management
Plans**

4th Edition, June 2004

Guidelines for Auditing Project Occupational Health and Safety Management Plans

These Guidelines have been developed for to assist in reviewing contractors' Project OHS Management Plans, establishing audit teams, scheduling and conducting audits.

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The Construction Agency Coordination Committee in collaboration with WorkCover NSW, has developed the NSW Government OHS Management Systems Guidelines.

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Contents

1.	Summary: General Principles for Auditing	2
	Definitions	2
2.	Responsibilities of the parties	4
	Government Agency	4
	Audit teams	4
3.	Auditing Project OHS Management Plans	5
	1. Reviewing the Project OHS Management Plan	5
	2. Planning the audit schedule	5
	3. Preparing for an audit	5
	4. Conducting the audit	5
	5. Following up	6
	6. Recording	6
	Appendix A - Tasks and responsibilities for auditing	7
	Appendix B - Project OHS Management Plan Review Checklist	11
	Appendix C - Audit Checklist	14
	Appendix D - Sample Corrective Action Request	34

1. General Principles for Auditing

General principles

There must be a clear understanding between the audit team and the contractor about the scope and terms of the audit.

The audit team should have a right of access at all reasonable times to the service provider's OHS records, and be entitled to get from the contractor any information and explanations the audit team needs for the audit.

The audit team must bear in mind that a contractor is required to make sure that:

- the health, safety and welfare of all its project personnel on the work site are protected; and
- people not employed by the contractor on the work site are protected against risks to their health or safety.

However, if any dangerous or life-threatening situation is observed by the audit team in the course of an audit, the issue must be raised immediately with the contractor's local supervisor to enable corrective action to take place as a matter of urgency.

A consistent approach

These Guidelines have been developed to facilitate a consistent approach to audits of Project OHS Management Plans by Government agencies. They may also be used by contractors with their reviews and audits.

Audits should be carried out at least twice in the life of a project or as otherwise determined by a Government agency to suit the level of risk in the course of a project. At least one audit should be carried out within three months of the start of site work.

The audit results will be included by agencies, with other matters, in the Contractor or Consultant Performance Reports and used in other responses for the project.

The objective of an audit

The objective of an audit is to formally verify that the documented procedures in a Plan are being followed.

The audit process should focus on checking whether the contractor's personnel are implementing the Project OHS Management Plan effectively.

Accreditation may be withdrawn

Where non-conformances are detected in an audit, the agency should schedule an additional audit. If a follow-up audit does not show satisfactory progress in rectifying unsatisfactory implementation of the Project OHS Management Plan, the contractor's continued accreditation of its Corporate OHS Management System would be in jeopardy.

The contractor's senior management would then be advised in writing of the impact the failure to implement their Corporate OHS Management System and Project OHS Management Plan in a satisfactory manner would have on the accreditation.

Refer to section 2 of the *OHS Management Systems Guidelines*.

Definitions

clients

Organisation inviting and receiving tenders and letting contracts.

consultant

Professional party that contracts with a client to provide design, management or other professional services related to construction.

construction industry

Includes all organised activities concerned with construction, including demolition, building, landscaping, maintenance, civil engineering work, process engineering work, heavy engineering work and mining.

Construction Agency Coordination Committee

The Construction Agency Coordination Committee consists of representatives of key agencies involved in construction procurement and assists the Government in the development of consistent and effective construction procurement practices, and in promoting the application of these practices by agencies.

Contractor

Organisation that contracts with a client to carry out construction and related services.

Government agency

NSW Government department, authority, corporation or entity established by an Act of the NSW Parliament.

The terms 'Government agencies', 'agency' or 'agencies' are used interchangeably in these Guidelines.

NSW Government Construction Agencies

Government agencies responsible for construction procurement projects and represented on the Construction Agency Coordination Committee (CACC).

principal contractor

Contractor that contracts with an agency as the client, and is appointed as principal contractor (as defined in the OHS Regulation 2001) for nominated work.

project

An undertaking with a defined beginning and objective by which completion is defined. A project may be completed using one contract or a number of contracts.

service providers

Includes principal contractors, contractors, subcontractors, consultants and suppliers.

subcontractor

Organisation that contracts with a contractor as the client to carry out construction and related services.

supplier

Organisation that contracts with a client to provide a product and/or service.

2. Responsibilities of the parties

Government agency

Reviewing the plan

The Government agency will review the contractor's Project OHS Management Plan to determine whether the 12 key elements detailed in the *OHS Management Systems Guidelines* are clearly addressed.

Scheduling audits

The Government agency will schedule, arrange and participate in Project OHS Management Plan audits with the contractor to be audited.

Following up

The Government agency will following up to confirm that the contractor has completed all the necessary corrective and preventive actions within the required timeframes

Audit teams

The audit team will conduct the audits scheduled by the Government agency with the contractor.

The audit team must carry out a Project OHS Management Plan audit:

- with fairness and honesty
- with full regard to confidentiality
- with reasonable skill and care, and
- in a timely manner.

When carrying out an audit the audit team must have regard for the fact that contractor's have a responsibility to protect the health, safety and welfare of their employees and service providers in the supply chain from any OHS risks arising out of the work.

A member of the audit team must not participate in a Project OHS Management Plan audit if he or she:

- is not registered with the relevant agency as an OHS auditor
- is in debt to the contractor or its service provider
- is a partner or other business associate of the contractor or its service providers
- is an employee, agent or consultant of the contractor or its service provider
- is a relative of one of the contractor's or its service providers employees, or
- has any other conflict of interest.

(See Appendix A for a summary of tasks and responsibilities in relation to auditing Project OHS Project Plans)

Qualifications

The audit team must collectively have the following qualifications:

- 1 Successful completion of a 5 day (40 hour) management system audit course
- 2 Pass in the industry level OHS Management Systems Guidelines training course
- 3 Demonstrated knowledge of the OHS, workplace injury management and workers compensation acts and regulations as amended. Demonstrated knowledge can be either formal OHS qualifications or the accepted equivalent; such criteria must be acceptable to senior management in the accrediting authority
- 4 Knowledge of the contract, project work site, and site OHS requirements.

3. Auditing Project OHS Management Plans

1. Reviewing the Project OHS Management Plan

A Project OHS Management Plan identifies the OHS hazards and assesses the risks associated with the project and identifies the risk controls proposed. The document also sets out the specific OHS resources, consultation and risk management processes, responsibilities and procedures or practices for a particular contract or project. The Plan must address and provide all 12 key elements required by the *OHS Management Systems Guidelines*.

The contractor will submit the Project OHS Management Plan to the Government agency for review before site work begins.

The 12 key elements detailed in the *Guidelines* must be clearly addressed in the Plan before site work commences.

Appendix B provides a checklist to assist the reviewing of a Project OHS Management Plan. The completed checklists should be retained with other OHS records.

2. Planning the audit schedule

As soon as possible after reviewing the contractor's Project OHS Management Plan, the Government agency and contractor should identify the audit requirements for the project and develop an audit program. A schedule of audits should be planned for the duration of the project. The first audit would normally occur soon after, generally within three months of, site work starting. It is expected that by the completion of the project all relevant key elements of the Plan will have been audited.

The Government agency will:

- engage the audit leader who will manage and establish the audit team and liaise with the service provider and
- advise the contractor of the upcoming audit.

3. Preparing for an audit

In preparation for an audit, the Government agency will discuss with the contractor and audit leader the scope and objective of the audit.

The audit team will:

- develop a program for the audit in consultation with the contractor, which will include the scope and elements to be audited, start and finish times and the date of the audit
- review the contractor's Project OHS Management Plan and
- review for consistency other relevant documentation, such as previous audit reports, contractor's accredited Corporate OHS Management System documents.

The first meeting between the audit leader and audit team should confirm the scope and objective of the audit and approach to the audit. The audit leader should assign members of the audit team their responsibilities.

4. Conducting the audit

Entry meeting

An entry meeting will be held involving the Government agency, contractor and audit team. The audit leader will explain the process of the audit and the approach the team will take to the audit, and the OHS matters to be audited.

Audit methodology

The audit team will review and assess the implementation and effectiveness of the Project OHS Management Plan. In doing this the audit team will:

- interview the contractor's personnel and service providers in the supply chain
- review documentation
- sight and record evidence of compliance and
- record specific details of non-compliance.

See appendix C for Project OHS Management Plan Audit Checklist.

Verification activities may require not only a review of documentation but also an inspection of the work site to verify compliance with and sight Safe Work Method Statements and Site Safety Rules.

Where a non-conformance is observed, the audit team will advise the contractor's representative, who will be requested to confirm the non-conformance by signing a corrective action request (CAR). See Appendix D for a sample CAR.

Final audit team meeting

Following the audit, the audit team will meet to clarify and discuss any areas of concern. The audit team will then prepare the audit report, including any corrective action requests with proposed dates by which corrective actions should be completed.

Where possible, the audit report should be written and provided on the day of the audit. Otherwise, the report should be submitted to the Government agency within one week of the audit completion, and then immediately forwarded to the service provider.

Having completed the audit report, the audit team should arrange an exit meeting with the contractor and the Government agency.

Exit meeting

The purpose of an exit meeting is to enable the audit team to explain the audit outcomes step by step to the Government agency and the contractor. During this meeting, the parties will discuss any corrective or preventive actions required, including agreeing timeframes for their completion by the contractor.

The contractor must have the opportunity to comment on the audit and the audit report. The audit team will properly consider the comment and may adjust the report to suit.

5. Following up

The contractor is responsible for making sure that all the corrective and preventive actions to be carried out are completed within the agreed timeframes.

Should an action not be carried out within the agreed timeframe, the Government agency should immediately address this with the contractor.

6. Recording

Each agency is responsible for managing all reports and comments by contractor on audits of Project OHS Management Plans for its projects.

Audit reports will be made available to other NSW Government agencies on request, subject to the provision on exchange of information between agencies on contractor performance reporting. See the *Contractor Performance Reporting and Consultant Performance Reporting and Exchange of Reports between Government Agencies Guidelines*.

Audit results should also be allowed for in Contractor Performance Report assessments.

Appendix A - Tasks and responsibilities for auditing

This table provides an overview of the tasks and responsibilities of the Government agency, contractor audited and audit team members in relation to auditing Project OHS Management Plans.

A Project OHS Management Plan Review Checklist is also included as Appendix B.

An Audit Checklists and a Sample Corrective Action Request have also been developed to assist the audit teams, and are included as Appendix C and Appendix D.

	Tasks	Responsibility	Description
Reviewing & Planning	1. Review the Project OHS Management Plan to establish whether it satisfies the requirements for the 12 key elements	Government agency	<ul style="list-style-type: none"> The Project OHS Management Plan is submitted by the contractor and must be reviewed by the Government agency to verify that it addresses all 12 key elements of the OHS Management Systems Guidelines.
	2. Plan the audit schedule	Government agency and contractor	<ul style="list-style-type: none"> Prepare the audit schedule and consider the order in which the key elements will be audited. For example, the first audit may assess compliance with requirements pertaining to the key elements of Management Responsibility, Risk Management and Incident Management and Corrective Action. The first audit should occur soon after the commencement of site work – generally within the first three months.
	Engage the audit team	Government	<ul style="list-style-type: none"> Engage audit leader to manage audit, and form audit team
	Notify the contractor of the audit	Government	<ul style="list-style-type: none"> Discuss audit schedule with contractor and agree on date for the audit.

	Tasks	Responsibility	Description
Preparation & conducting the audit	Conduct the Audit (continued) Hold final audit team meeting	Audit leader and audit team	<ul style="list-style-type: none"> Meet to review audit findings. Identify and discuss areas where the contractor is performing well. Clarify and discuss issues and areas of concern. Discuss and agree on any Corrective Action Requests that are to be raised. Prepare an audit report containing corrective/preventative actions to be taken and proposed completion dates for these actions. <p>The audit report should be written and provided on the day of the audit and explained to the contractor at the exit meeting. If this is not possible then the report should be submitted within one week of the audit to the Government agency, who should then immediately forward it to the contractor.</p>
	Hold exit meeting	Audit leader, audit team, Government agency, contractor	<ul style="list-style-type: none"> Meet with Government agency and contractor to discuss the audit report, corrective/preventative actions required and agreed timeframes for completion by the contractor. If the audit report is available, the Government agency will provide the contractor with a copy. If not, the audit report will be provided as soon as possible thereafter. The contractor will be given the chance to comment on the audit, and the comment will be properly considered.
Follow up actions	5. Follow up on implementation of corrective and preventive actions	Government agency and contractor	<ul style="list-style-type: none"> Make sure the required corrective action and preventive actions are carried out within the agreed timeframes.
	6. Record	Government agency and contractor	<ul style="list-style-type: none"> Audit reports and comments by the contractor will be managed within each agency for its projects. The results of audits and contractor performance will be included, with other matters, in Contractor Performance Reports.

Appendix B

Project OHS Management Plan Review Checklist

This checklist may be used by Government agencies when reviewing a contractor's Project OHS Management Plan. Contractors and others may also use the checklist as a guide when preparing their Project OHS Management Plans.

Identified hazards

Assessment of the work site and project during the planning stage identified the following site-specific hazards. For example, peculiarities of access and egress, protecting the public from the work site activities, ensuring design addresses OHS and the like.

1
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3
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5

General

Does the Project OHS Management Plan:

- recognise the principal contractor?
- contain the contractor's OHS policy (signed by the CEO)?
- outline the specific OHS resources, responsibilities and procedures for the particular project?
- require the contractor's service providers in the supply chain to develop and implement compatible Site-specific Safety Management Plans and Safe Work Method Statements?
- describe the work to be undertaken for the project?
- include documented risk assessments and control plans and procedures?
- include safe work procedures relevant to the contractor's operations and the project?
- include public safety procedures relevant to the project?
- include induction and training procedures relevant to the project?
- include processes for OHS issue resolution and consultation mechanisms?
- incorporate Site-specific Safety Management Plans (as appropriate)?
- include Safe Work Method Statements relevant to the project?
- include Site Safety Rules.

Management responsibility

Does the Project OHS Management Plan state the name of the contractor's representative responsible for:

- managing OHS compliance on the work site?
- monitoring the contractor's service providers compliance with Site-specific Safety Management Plans?
- acquiring and communicating OHS information on the work site?
- providing OHS training?
- undertaking risk assessments and implementing appropriate risk controls?
- managing illness/injury and emergency procedures and facilities on the work site?
- developing and implementing project Inspection and Testing Plans?
- reporting and investigating OHS illness/injury and incidents?
- implementing corrective actions?

Communication and consultation

Does the OHS Management Plan show:

- that the contractor has established consultation arrangements to share OHS information on the project?
- the OHS arrangements are agreed between management and employees?
- appropriate OHS representation has been determined for the workgroups? representatives elected and trained?
- arrangements for OHS consultations are recorded and publicised?

Does the Plan contain procedures for:

- communicating Site Safety Rules and OHS training and induction requirements on the work site?
- communicating emergency procedures?
- conducting regular tool box meetings/talks?

Service Providers

Does the Plan clearly define procedures for:

- identifying and addressing the requirements for a principal contractor?
- selection of the contractor's service providers in the supply chain on their ability to comply with OHS requirements?
- providing the contractor's service providers with the Project OHS Management Plan, applicable Site-specific Safety Management Plans and Safe Work Statements?
- making sure the service providers prepare and implement compatible Site-specific Safety Management Plans and Safe Work Method Statements, and verifying compliance with these?
- monitoring work undertaken by the service providers?
- managing any of the service providers poor performance?

Purchasing

Does the Plan clearly define procedures for:

- monitoring purchase and delivery of plant, equipment and materials to check that they comply with OHS specifications?
- obtaining appropriate OHS information from suppliers of plant, equipment and materials?

Design

Does the Plan clearly define procedures for:

- verifying design compliance with legislative requirements?
- designing and reviewing design to identify, assess and control OHS risks?
- reviewing and approving design changes?

Risk management

Does the Plan clearly define procedures for:

- identifying OHS hazards, assessing risks and developing/implementing appropriate risk controls?
- managing OHS incidents, illness/injury and emergencies?
- developing and communicating Site Safety Rules?
- developing and implementing Safe Work Method Statements for activities and areas identified as having OHS risks?

Do Safe Work Method Statements for the project include information about:

- the manner of providing or completing a process?
- the potential hazards and relevant risk controls associated with the activity, job or task?
- use of suitable equipment?
- compliance with OHS legislation, standards, codes and procedures?
- keeping of records?
- qualifications and training of personnel?
- inspection and maintenance checks required?

Are the following hazardous work activities (where relevant to the project) covered by Safe Work Method Statements:

- work with hazardous substances, such as spray painting
- asbestos work
- abrasive blasting
- welding or other hot work
- electroplating and work with molten metal
- gas installations and compressed air work
- processes involving lead work
- electrical work
- traffic control or other work near traffic and mobile plant
- excavations and tunnelling
- work in confined spaces
- scaffolding or other temporary supports
- formwork
- work at heights
- work with dangerous goods/explosives
- lifting, handling, loading and unloading
- demolition and work with drowning risks

Training

Does the Plan clearly define procedures for:

- identifying the training needs of management, supervisors, employees, service providers and visitors?
- providing OHS induction training, task training and refresher training?
- providing OHS committee and OHS representative consultative training?
- providing specific training necessary to conform with OHS requirements?
- providing training in emergency procedures?
- keeping appropriate records of OHS training?
- making sure all personnel who will be on the project work site have been inducted in accordance with the requirements of the *NSW Code of Practice: OHS Induction Training for Construction Work*?

Inspection, testing and servicing

Does the Plan include:

- inspection, test and servicing plans for the project, with provision for those to be provided by the contractor's service providers?

Does the Plan clearly define procedures for:

- maintaining records of inspections, tests and servicing for the project?

Does the Plan clearly define procedures for planning and conducting OHS inspections and testing (and, where relevant, servicing) for:

- incoming products such as materials, plant and equipment?
- Work site environments?
- hazard and risk control measures?
- access and exits?
- protective measures?
- electricity safety?
- plant and equipment?
- work methods generally?

Incident management and corrective action

Does the Plan clearly define procedures for:

- reporting and investigating incidents and illness/injury?
- managing incidences of non-compliance and non-conformance?
- quarantining and disposal of non-conforming materials and substances?
- implementing injury management and return to work plans?
- implementing corrective action?
- monitoring the status and keeping records of corrective actions?

Handling, storage, packaging and delivery

Does the Plan clearly define procedures for:

- verifying that everyone engaged in hazardous processes is appropriately licensed and competent?
- checking that hazardous substances are appropriately labelled and accompanied by Material Safety Data Sheets?
- safe handling, storage, use and disposal of products, including hazardous materials and dangerous substances?
- assessment and control of manual handling risks?

Internal reviews

Does the Plan clearly define procedures for:

- carrying out reviews at regular intervals of the Plan and its implementation?
- identifying and communicating Plan and implementation deficiencies to appropriate people?
- effective implementation of corrective actions?

Documentation and records

Does the Plan include procedures for:

- controlling, approving, disseminating, withdrawing, storing and disposing of OHS documents, data and records for the project?

Does the Plan include record keeping requirements and procedures for:

Management records and documentation such as:

- training register and records?
- skills, competency and licence register?
- OHS Committee minutes?
- OHS audit reports?
- internal review reports?
- illness/injury statistics, such as lost time frequency rates and duration rates?
- OHS design review reports?

Work safety records and documentation such as:

- Site Safety Rules?
- induction register?
- first aid officers list?
- emergency procedures?
- Safe Work Method Statements?
- hazard identification and risk assessment reports?
- incident notifications?
- injury register?
- incident and illness/injury investigation reports?
- corrective action records?
- records of tool box meetings/talks?
- personal protective equipment register?
- register of plant and electrical equipment?
- work permits (such as confined space entry and hot work permits)?
- Material Safety Data Sheets?
- hazardous substances register?
- inspection and test reports?
- servicing records?

Appendix C - Audit Checklist

The audit team can use this checklist when auditing Project OHS Management Plans. It lists what must be documented for the **entry meeting**, the **audit** and the **exit meeting**.

At the beginning of each Project OHS Management Plan audit, the audit leader prepares a written record of the proposed audit, for presentation at a meeting of the Government agency, contractor and audit team (the 'entry meeting'). The entry meeting record should detail the following

Project being audited	Contractor name
Name and contact details of the contractor's representative	Name and contact details of the agency's representative for the contract
Name and contact details of the audit team leader	Names and contact details of the members of the audit team

❖ **The scope of the audit (which of the key elements are to be audited) and the process to be used.**

KEY ELEMENTS please tick ✓

- Management responsibility
 Communication and consultation
 Service providers
 Purchasing
 Design
 Risk management
 Training
 Inspection, testing and servicing
 Incident management and corrective action
 Handling, storage, packaging and delivery
 Internal reviews
 Documentation and records

- ❖ Date of the audit:
 ❖ Time started
 ❖ Time completed

1. Management responsibility

Can the contractor provide evidence that responsibilities and authorities have been defined for:

Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> Ensuring overall compliance on the work site to OHS requirements. <input type="checkbox"/> Monitoring service providers in the supply chain compliance with Site-specific safety Management Plans. <input type="checkbox"/> Acquiring and communicating OHS information on site. <input type="checkbox"/> Providing OHS training. <input type="checkbox"/> Undertaking risk assessments and implementing appropriate controls on site. <input type="checkbox"/> Maintaining illness/injury and emergency procedures and facilities on site. <input type="checkbox"/> Implementing the project's inspection and test plan. <input type="checkbox"/> Reporting and investigating OHS incidents. <input type="checkbox"/> Implementing corrective actions. 		

2. Communication and consultation

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> The contractor has established consultation arrangements to share OHS information with service providers in the supply chain. <input type="checkbox"/> The arrangements are agreed between management and employees? <input type="checkbox"/> Appropriate representation has been determined for the workgroups and representatives elected? <input type="checkbox"/> Employees and service providers in the supply chain are consulted prior to a decision being taken effecting their health and safety. <input type="checkbox"/> Consultation arrangements, site safety rules and OHS training requirements are communicated to people on the site. 		

3. Service providers

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> The regulatory requirements for principal contractors are addressed? <input type="checkbox"/> Service providers in the supply chain working on site have been selected on their ability to comply with OHS requirements. <input type="checkbox"/> Service providers in the supply chain have been provided with a copy of the Project OHS Management Plan. <input type="checkbox"/> Service providers in the supply chain have been required to prepare and implement compatible Site-specific Safety Management Plans and/or Safe Work Method Statements. <input type="checkbox"/> Service providers in the supply chain compliance with Safe Work Method Statements are being monitored. <input type="checkbox"/> Service providers in the supply chain OHS performance is being evaluated and reported on. 		

4. Purchasing

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> Purchasing documents, including contracts, clearly state what OHS requirements must be met <input type="checkbox"/> Materials delivered to and plant used on site complies with OHS specifications. <input type="checkbox"/> Service providers in the supply chain provide appropriate OHS information with their plant or materials. 		

5. Design (This element may not always apply to a Project OHS Management Plan)

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> Designs comply with legislative requirements. <input type="checkbox"/> OHS risks and controls associated with the design have been identified and assessed on this project. <input type="checkbox"/> Design reviews include consideration of OHS risks in relation to construction, use and maintenance of facility as well as its eventual demolition/disposal. <input type="checkbox"/> Changes to the design have been reviewed and approved. 		

6. Risk management

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> OHS hazards have been identified, risks assessed, and appropriate controls developed and implemented for this project. <input type="checkbox"/> Incident, illness/injury and emergency management plans exist on site. <input type="checkbox"/> Site safety rules exist and have been communicated to people on site. <input type="checkbox"/> Safe Work Method Statements have been prepared for work activities having an OHS risk. <input type="checkbox"/> The adequacy of Safe Work Method Statements submitted by service providers in the supply chain is being reviewed. 		

6. Risk management (continued)

Do Safe Work Method Statements include as a minimum:

Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"><li data-bbox="136 363 712 427"><input type="checkbox"/> A description of the work to be undertaken.<li data-bbox="136 491 712 555"><input type="checkbox"/> The step-by-step sequence involved in doing the work.<li data-bbox="136 619 712 683"><input type="checkbox"/> The potential hazards associated with the work and with each step of the work.<li data-bbox="136 746 712 810"><input type="checkbox"/> The safety controls that will be in place to minimise these risks.<li data-bbox="136 874 712 938"><input type="checkbox"/> All precautions to be taken to protect health and safety.<li data-bbox="136 1002 712 1066"><input type="checkbox"/> All health and safety instructions to be given to persons involved with the work.<li data-bbox="136 1129 712 1225"><input type="checkbox"/> Identification of health and safety legislation, codes or standards applicable to the work, and where these are kept.		

6. Risk management (continued)

Do Safe Work Method Statements include as a minimum:

Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <li data-bbox="136 411 651 475">❑ The names and qualifications of those who will: <ul style="list-style-type: none"> <li data-bbox="136 539 651 635">➤ inspect and approve work areas, work methods, protective measures, plant, equipment and power tools. <li data-bbox="136 699 427 730">➤ supervise the work. <li data-bbox="136 794 651 858">❑ A description of what training is given to people involved with the work. <li data-bbox="136 922 651 1114">❑ The names of those who will be or have been trained in the work activities described in the Safe Work Method Statement, and the names and qualifications of those responsible for training them. <li data-bbox="136 1145 651 1289">❑ Identification of OHS, workplace injury management and workers compensation legislation, regulations, standards and codes applicable to the work, and where they are kept. 		

6. Risk management (continued)

Do Safe Work Method Statements include as a minimum:

Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"><li data-bbox="136 347 696 507"><input type="checkbox"/> Identification of the plant and equipment that will most likely be used on site e.g. ladders, scaffolds, grinders, electrical leads, welding machines and fire extinguishers.<li data-bbox="136 539 696 603"><input type="checkbox"/> Details of any WorkCover permits required to complete the work.<li data-bbox="136 619 696 703"><input type="checkbox"/> Details of the inspection and maintenance checks that will be or have been carried out on the equipment listed.		

6. Risk management (continued)

Can the contractor provide examples of Safe Work Method Statements prepared for hazardous work activities relevant to this project, such as (note that this is not a complete list):

Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"><input type="checkbox"/> Spray painting<input type="checkbox"/> Asbestos work and dust control<input type="checkbox"/> Abrasive blasting<input type="checkbox"/> Welding<input type="checkbox"/> Electroplating<input type="checkbox"/> Work with molten metal<input type="checkbox"/> Lead processes and lead risk work<input type="checkbox"/> Electrical work<input type="checkbox"/> Traffic control<input type="checkbox"/> Excavations and tunnelling<input type="checkbox"/> Work in confined spaces<input type="checkbox"/> Scaffolding<input type="checkbox"/> Formwork<input type="checkbox"/> Working at heights<input type="checkbox"/> Work with dangerous goods		

7. Training

Can the contractor provide evidence that:

Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> The training needs of management, supervisors, employees, service providers in the supply chain and visitors have been identified. <input type="checkbox"/> OHS induction training, task training and refresher training has been undertaken. <input type="checkbox"/> Specific training necessary to comply with OHS standards has been provided to relevant site personnel. <input type="checkbox"/> Emergency procedures are included in site induction. <input type="checkbox"/> Records of OHS training are kept and available. <input type="checkbox"/> Before any person carries out construction work on site, they have been provided with induction training in the health and safety aspects of: <ul style="list-style-type: none"> ➤ general construction work ➤ the specific work site ➤ the specific work activity to be undertaken. 		

8. Inspection, testing and servicing

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> An inspection, test and servicing plan has been established for the project. <input type="checkbox"/> Records of inspections, tests and servicing are available on site. 		
Can the contractor provide evidence that inspections, testing and where relevant servicing are being conducted for:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> incoming materials <input type="checkbox"/> the work environment <input type="checkbox"/> access and exit <input type="checkbox"/> protective measures <input type="checkbox"/> electrical safety <input type="checkbox"/> plant and equipment <input type="checkbox"/> work methods <input type="checkbox"/> The inspection, testing and servicing plan or program specifies: <ul style="list-style-type: none"> ➤ particulars of inspections and tests ➤ details and qualifications of personnel carrying out inspection, testing and where relevant servicing ➤ details of records to be produced and kept. 		

9. Incident management and corrective action

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> Work-related incidents, injuries and illnesses, on site are being reported and investigated, and actions are being taken to prevent recurrences. <input type="checkbox"/> Incidents of non-compliance are being investigated and action taken to prevent recurrences. <input type="checkbox"/> Unsafe work practices and areas are being identified. <input type="checkbox"/> Non-conforming materials and substances are being segregated and disposed of. <input type="checkbox"/> An injury management and return to work program exists for the project. <input type="checkbox"/> Corrective actions are being developed in consultation with the site personnel affected. <input type="checkbox"/> Corrective actions are being implemented to address OHS non-conformances. <input type="checkbox"/> The effectiveness of corrective actions implemented on this project is monitored. 		

10. Handling, storage, packaging and delivery

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> All people engaged in hazardous processes are appropriately licensed and competent. <input type="checkbox"/> All hazardous substances used on site are appropriately labelled and accompanied by Material Safety Data Sheets. <input type="checkbox"/> All hazardous substances and dangerous substances used on site are handled stored used and disposed of in accordance with legislative requirements. <input type="checkbox"/> Risk assessments are being undertaken for all work activities involving manual handling. <input type="checkbox"/> A register of hazardous substances used is maintained on site. 		

11. Internal reviews

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<ul style="list-style-type: none"> <input type="checkbox"/> Internal reviews of OHS activities are being carried out at regular intervals. <input type="checkbox"/> Deficiencies identified are being communicated to appropriate people. <input type="checkbox"/> Corrective actions are implemented. 		

12. Documentation and records

Can the contractor provide evidence that:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<input type="checkbox"/> Procedures exist for controlling, approving, disseminating, withdrawing, storing and disposing of OHS documents, data and records for the project.		
Can the contractor provide evidence that the following records are maintained for this project:		
Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
Management records & documentation <ul style="list-style-type: none"> <input type="checkbox"/> Training register and records. <input type="checkbox"/> Register of skills, competency, licence assessment. <input type="checkbox"/> OHS Committee minutes. <input type="checkbox"/> Audit reports. <input type="checkbox"/> Internal review reports. <input type="checkbox"/> Illness/injury statistics: lost time, frequency rates and duration rates. <input type="checkbox"/> Design review records. 		

Can the contractor provide evidence that the following records are maintained for this project:

Audit criteria	Evidence presented	Comments, observations, suggestions for improvement
<p>Work safety records and documentation</p> <ul style="list-style-type: none"> <input type="checkbox"/> Site Safety Rules <input type="checkbox"/> Induction register <input type="checkbox"/> First aid officers list <input type="checkbox"/> Emergency procedures <input type="checkbox"/> Safe work method statements <input type="checkbox"/> Hazard identification and risk assessment reports <input type="checkbox"/> Incident notifications <input type="checkbox"/> Injury register <input type="checkbox"/> Incident and illness/injury investigations and reports <input type="checkbox"/> Corrective action records <input type="checkbox"/> Records of toolbox talks <input type="checkbox"/> Personal protective equipment register <input type="checkbox"/> Register of plant, electrical equipment, etc. <input type="checkbox"/> Work permits (e.g. confined space entry permits) <input type="checkbox"/> Material Safety Data Sheets <input type="checkbox"/> Hazardous substances register <input type="checkbox"/> Inspection and test reports <input type="checkbox"/> Servicing records 		

Exit meeting

At the conclusion of each Project OHS Management Plan audit, the audit leader is responsible for making a written record of the completed audit, for presentation at a meeting of the Government agency, the contractor and the audit team (the 'exit meeting').

Which of the 12 key elements have been audited	Comments
<input type="checkbox"/> Management responsibility	
<input type="checkbox"/> Communication and consultation	
<input type="checkbox"/> Service providers	
<input type="checkbox"/> Purchasing	
<input type="checkbox"/> Design	
<input type="checkbox"/> Risk management	
<input type="checkbox"/> Training	
<input type="checkbox"/> Inspection, testing and servicing	
<input type="checkbox"/> Incident management and corrective action	
<input type="checkbox"/> Handling, storage, packaging and delivery	
<input type="checkbox"/> Internal reviews	
<input type="checkbox"/> Documentation and records	

A summary of the corrective action requests issued including completion dates

Corrective action

Action to be taken

Date to be completed

Corrective action	Action to be taken	Date to be completed

Signatures

Audit leader

Date

Government agency's representative

Date

Contractor's representative

Date

Appendix D - Sample Corrective Action Request

OHS Correction Action Request (CAR)

Name of contractor

Audit number

Project/contract/work site

Audit location or system element

CAR number

Non-conformance details

Response date

Signatures

Government agency's representative

Date

Contractor's representative

Date

Audit leader

Date
