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Work Health and Safety
Management Systems and Auditing Guidelines

5th edition, September 2013

(Updated December 2013)

# APPENDIX A

***Acceptability Review - Corporate WHS Management System***

***Pre-start Review – Project WHS Management Plan***

***Audit Tool – Project WHS Management Plan***

|  |  |  |
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|  | Introduction |  |
|  | **Principal Contractor** |  |  |
|  |  |  |  |
|  | **Reviewer/Auditor** |  |  |
|  |  |  |  |
|  | **Contract Name and Number (if applicable)** |  |  |
|  |  |  |  |
|  | **Reviewer/Auditor Signature** |  |  |
|  |  |  |  |
|  | **Date** |  |  |
|  |  |  |  |

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| **1. Acceptability Review****Contractor Accreditation Recommended**  | **Yes 🞏 / No 🞏** |
| **Acceptability Not Supported, Further Detail Required** | **Yes 🞏 / No 🞏** |
| **2. Pre-start Review -Project WHS Management Plan** | **Yes 🞏 / No 🞏** |
| **3. Audit Tool - Project WHS Management Plan**  | **Yes 🞏 / No 🞏** |

| **Recommendation / Non Conformances:** |
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| **A.** | **WHS Management System/Plan – General** |  |  |  |  |
|  | **Question** | **Is/Does the WHS Management System/Plan** |  |
| **No.** |  | **Page Number** |  |
|  |  |  |  |
| **1.** | Actively maintained and up to date? |  |  |
|  |  |  |  |
| **2.** | An easily understood document? |  |  |
|  |  |  |  |
| **3.** | Accessible to all workers? |  |  |
|  |  |  |  |
| **4.** | Clearly describe organisational responsibilities (in a chart)? |  |  |
|  |  |  |  |
| **5.** | Clearly describe the contractor’s WHS policies and objectives? |  |  |
|  |  |  |  |
| **6.** | Clearly describe training records and other documents that must be kept? |  |  |
|  |  |  |  |
| **7.** | Clearly describe position descriptions? |  |  |
|  |  |  |  |
| **8.** | Clearly describe WHS procedures? |  |  |
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| **Findings:** |
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| **1** | **Senior Management Commitment**  |  |
|  | **Question** | **Does this element of the WHS Management System/Project WHS Management Plan *(hereafter System/Plan)* clearly describe:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | Specific senior management responsibilities and commitment to continual improvement? |  |  |
|  |  |  |  |
| **2.** | Specific responsibilities of management and other personnel responsible, their qualifications and accountabilities to deal with WHS matters, including the names of staff in the Project WHS Management Plan? |  |  |
|  |  |  |  |
| * **3.**
 | Responsibilities, including names and positions, for: |  |  |
|  |  |  |  |
| **a).** | Allocating adequate resources to deal with WHS matters? |  |  |
|  |  |  |  |
| **b)** | Ensuring that WHS policies, Management Systems and Plans are communicated to workers? |  |  |
|  |  |  |  |
| **c)** | Managing compliance with WHS legislation, regulations, standards and codes? |  |  |
|  |  |  |  |
| **d)** | The injury management and rehabilitation of injured workers and others? |  |  |
|  |  |  |  |
| **e)** | Ensuring WHS workplace consultation is operating? |  |  |
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| **Findings:** |
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| **2** | **Communication and Consultation** |  |  |  |  |
|  | **Question** | **Does the System/Plan clearly describe how the contractor plans to:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | Facilitate the establishment of WHS Committee or HSR or WHS Representative or other arrangements for WHS consultation agreed by management, workers and service providers. |  |  |
|  |  |  |  |
| **2.** | Review site consultation arrangements with workers and service providers. |  |  |
|  |  |  |  |
| **3.** | Ensure that all workgroups will be represented by either the WHS Committee or Representative or are involved in the site specific other agreed arrangements |  |  |
|  |  |  |  |
| **4.** | Elect the WHS Committee or HSR or WHS Representative, if applicable to the agreed site communication and consultation arrangements |  |  |
|  |  |  |  |
| **5.** | Ensure that each member of the WHS Committee, HSR or WHS Representative undertakes WHS consultation training  |  |  |
|  |  |  |  |
| **6.** | Record, publicise and encourage workers representatives to participate in the work on a regular basis |  |  |
|  |  |  |  |
| **7.** | Consult on the job through daily communication between site managers, workers and service providers  |  |  |
|  |  |  |  |
| **8.** | Provide access to relevant WHS information through notice boards, toolbox meetings, circulars and safety alerts |  |  |
|  |  |  |  |
| **9.** | Liaise with their service providers to coordinate WHS consultation and communication on work sites, and regularly communicate with unions |  |  |
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| **Findings:** |
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| **3** | **Managing Subcontractors and Consultants** |  |  |
|  | **Question** | **Does the System/Plan procedure clearly describe how the contractor plans to:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | Assess and select its subcontractors, consultants and other service providers in the supply chain on their ability to comply with WHS requirements?  |  |  |
|  |  |  |  |
| **2.** | Specify appropriate WHS requirements in all contracts entered into, including the subcontractors’ providing the principal contractor with a copy of SWMS for high risk construction work activities?  |  |  |
|  |  |  |  |
| **3.** | Provide its subcontractors and other service providers with access to the WHS Management Plan and inform services providers of the content of the WHS Management Plan? |  |  |
|  |  |  |  |
| **4.** | Monitor its subcontractors’ and other service providers’ compliance with safe working methods? |  |  |
|  |  |  |  |
| **5.** | Manage any of its subcontractors’ and other service providers’ poor performance? |  |  |
|  |  |  |  |

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| **Findings** |
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| **4** | **Design** |  |
|  | **Question** | Does this System/Plan clearly describe how the contractor plans to: |  |
| **No.** |  | **Page Number** |  |
| **1.** | Consult with the Client and designer(s) about:* health and safety risks arising from the design during construction work are eliminated or minimised?
* any information they have in relation to hazards and risks at or in the vicinity of the workplace where the construction work is to be carried out?
 |  |  |
|  |  |  |  |
| **2.** | Describe how safe design information will be obtained from the Client or Designer? |  |  |
|  |  |  |  |
| **3.** | Require a review of the safe design information adopting a hazard identification and WHS risk assessment approach? |  |  |
|  |  |  |  |
| **4.** | Apply the hierarchy of hazard controls to design out or otherwise manage hazards? |  |  |
|  |  |  |  |
| **5.** | Include the process for consultation with subcontractors’ and consultants’ end users about hazards and WHS risk management? |  |  |
|  |  |  |  |
| **6.** | Describe the communication and consultation process for discussing with workers and service providers WHS design issues and risk control measures?  |  |  |
|  |  |  |  |
| **7.** | Aim to achieve reasonable and safe constructability; safety with use; longevity of ‘product’; reduced, simplified and safe maintenance; and safe disposal? |  |  |
|  |  |  |  |
| **8.** | Specify how the safe design information, including outcomes from the review of this information will be incorporated into the Project WHS Management Plan or WHS Management Plan? |  |  |
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| **Findings** |
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| **5** | **Risk Management** |  |
|  | **Question** | **Are procedures clearly described for the following activities:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | For identifying WHS hazards, assessing risks and devising risk controls that eliminate risks where reasonably practicable or minimise risks according to the Hierarchy of Controls? |  |  |
|  |  |  |  |
| **2.** | For selection of the most effective risk control measures? |  |  |
|  |  |  |  |
| **3.** | For systematically reviewing the adequacy of the risk assessment and the effectiveness of the control measures and making improvements? |  |  |
|  |  |  |  |
| **4.** | For dealing with WHS hazards and related risks in the event of an incident or illness/injury? |  |  |
|  |  |  |  |
| **5.** | For developing and implementing Safe Work Method Statements?? |  |  |
|  |  |  |  |
| **6.** | For reviewing subcontractors’ Safe Work Method Statements? |  |  |
|  |  |  |  |
| **7.** | To enable compliance with relevant WHS, workplace injury management and workers’ compensation legislation, standards and codes |  |  |
|  |  |  |  |
| **8** | For preparing and communicating Site Safety Rules? |  |  |
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| **Findings** |
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| **6** | **Training** |  |
|  | **Question** | **Are procedures clearly described for the following activities:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | Identifying the training needs of management, supervisors, workers, subcontractors and visitors? |  |  |
|  |  |  |  |
| **2.** | Providing site WHS induction training, task training and refresher training? |  |  |
|  |  |  |  |
| **3.** | Providing WHS Committee/WHS or HSR representative with consultative training? |  |  |
|  |  |  |  |
| **4.** | Providing specific training necessary to conform with WHS requirements? |  |  |
|  |  |  |  |
| **5.** | Providing training in emergency procedures? |  |  |
|  |  |  |  |
| **6.** | Keeping appropriate records of WHS training?  |  |  |
|  |  |  |  |
| **7.** | Making sure all workers working on site have who will be on the project have completed general construction induction training? |  |  |
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| **Findings** |
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| **7** | **Inspection, Testing and Servicing** |  |
|  | Question | Does the System/Plan clearly describe the contractor’s procedures for: |  |
| **No.** |  | **Page Number** |  |
| **1.** | Developing and maintaining a schedule of inspection, testing and servicing for all projects (prior to commencement of work) based on the level of risk involved? |  |  |
|  |  |  |  |
| **2.** | Maintaining records of inspection, testing and servicing? |  |  |
|  |  |  |  |
|  | **Question** | **Does the System/Plan clearly describe procedures covering inspection, and where relevant, testing and servicing of:** |  |
| **No.** |  |  |  |
| **1.** | Incoming products, such as materials, plan and equipment? |  |  |
|  |  |  |  |
| **2.** | Work site environment? |  |  |
|  |  |  |  |
| **3.** | Work methods generally? |  |  |
|  |  |  |  |
| **4.** | Access and exits? |  |  |
|  |  |  |  |
| **5.** | Hazard and risk control measures? |  |  |
|  |  |  |  |
| **6.** | Adherence to Site Safety Rules? |  |  |
|  |  |  |  |
| **7.** | Electrical safety? |  |  |
|  |  |  |  |
| **8.** | Plant and equipment? |  |  |
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| **Findings** |
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| **7** | Inspection, Testing and Servicing - Continued |  |
|  | **Question** | Do inspection plans: |  |
| **No.** |  | **Page Number** |  |
| **1.** | Specify the standards against which inspection, testing and servicing will be conducted? |  |  |
|  |  |  |  |
| **2.** | Specify particulars of the inspection, testing and servicing programs? |  |  |
|  |  |  |  |
| **3.** | Assign responsibility for inspection, testing and servicing? |  |  |
|  |  |  |  |
| **4.** | Specify the competencies required by persons conducting inspection, testing and servicing? |  |  |
|  |  |  |  |
| **5.** | Specify arrangements for identifying the test status of plant, equipment and materials? |  |  |
|  |  |  |  |
| **6.** | Specify the requirements for the accuracy and calibration of testing equipment? |  |  |
|  |  |  |  |
| **7.** | Specify that the records are readily available and will be kept according to the legislative requirements? |  |  |
|  | **Question Health surveillance and monitoring** |   |  |
|  |  |  |  |
| **1.** | Describe the process for identifying the work activities were workers exposure to hazards require health surveillance and monitoring |  |  |
|  |  |  |  |
| **2.** | Specify the requirements specified in legislation regarding the nature and frequency for health surveillance and monitoring |  |  |
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| **Findings** |
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| **8** | **Incident Management and Corrective Action** |
|  | **Question** | **Are procedures clearly described for the following activities:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | Detecting and documenting issues and incidences of non-compliance and non-conformance? |  |  |
|  |  |  |  |
| **2** | Quarantining and disposal of non-conforming materials and substances? |  |  |
|  | **Question** | **Is it clearly shown how the contractor will communicate information about issues and corrective action:** |  |
| **No.** |  | **Page Number.** |  |
| **1.** | Throughout the organisation? |  |  |
|  |  |  |  |
| **2.** | To clients? |  |  |
|  |  |  |  |
| **3.** | To subcontractors and other service providers? |  |  |
|  |  |  |  |
| **4.** | To the relevant authorities, including incident notification to WorkCover NSW |  |  |
|  | **Question** | **Does the System/Plan clearly describe the contractor’s procedures for:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | Incident / illness/injury reporting and investigation, including identification of the root cause? |  |  |
|  |  |  |  |
| **2.** | Implementing corrective action? |  |  |
|  |  |  |  |
| **3.** | Monitoring the effectiveness of corrective actions, including keeping records? |  |  |
|  |  |  |  |
| **4.** | Implementing injury management and return to work plans? |  |  |
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| **Findings** |
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| **9** | Purchasing, Handling, Storage, Packaging and Delivery |  |
|  | **Question** | Does the System/Plan clearly describe the contractor’s procedures for: |  |
| **No.** |  | **Page Number** |  |
| **1.** | Pre-purchase identification of potential WHS risks that may be introduced to the work site from supplied plant and materials? |  |  |
|  |  |  |  |
| **2.** | Assessing suppliers’ ability to comply with the organisation’s WHS specifications for the provision of plant, materials and services? |  |  |
|  |  |  |  |
| **3.** | Verifying that client-supplied plant and materials meet WHS specifications? |  |  |
|  |  |  |  |
| **4.** | Checking that suppliers provide all relevant WHS information for their plant and materials? |  |  |
|  |  |  |  |
| **5.** | Maintaining records of supplied plant and materials identified as having potential WHS risks? |  |  |
|  |  |  |  |
| **6.** | Appropriate licensing, certification and qualification of anyone who will be engaged in hazardous processes? |  |  |
|  |  |  |  |
| **7.** | Safe handling and storage of products, including hazardous substances and dangerous goods? |  |  |
|  |  |  |  |
| **8.** | Assessment and control of manual handling risks? |  |  |
|  |  |  |  |
| **9.** | Assessment and control of materials handling risks? |  |  |
|  |  |  |  |
| **10.** | Identification of hazardous chemicals and dangerous goods through appropriate labeling? |  |  |
|  |  |  |  |
| **11.** | Provision of information on hazardous chemicals (such as through Safety Data Sheets)? |  |  |
|  |  |  |  |
| **12** | Maintenance of a register of hazardous chemicals and dangerous goods and associated records of risk assessments? |  |  |
|  |  |  |  |
| **13.** | Checking compliance with registration requirements of plant and plant design? |  |  |
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| **9** | Purchasing, Handling, Storage, Packaging and Delivery continued |  |

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| **Findings** |
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| **10** | Client Reporting and Project performance measurement  |  |
|  | **Question** | Does the System/Plan clearly describe the contractor’s procedures for: |  |
| **No.** |  | **Page Number** |  |
| **1.** | Establishing, monitoring and reviewing WHS objectives and targets for corporate and project level? |  |  |
|  |  |  |  |
| **2.** | Require objectives and targets to be incorporated into the Project WHS Management Plan? |  |  |
|  |  |  |  |
| **3.** | Specify how requirements in regards to preparing regular WHS performance reports/records, eg monthly? |  |  |
|  |  |  |  |
| **4.** | Describe the process for collating WHS performance reports from all projects and benchmarking performance across the contractor’s operations? |  |  |
|  |  |  |  |
| **5.** | Require the review of the performance reports by Senior Management, to consider and provide feedback to the Project Team? |  |  |
|  | **Question Does the System/Plan clearly describe the contractor’s procedures for:** |
| **No.** |  | **Page Number** |  |
| **1.** | The timely reporting of WHS issues to the Client including:* Worksite incidents, including such things as near misses, contact with hidden services
* WorkCover NSW site visit
* WorkCover NSW Notices issued
* Visits by Unions, FSC or similar to the site
* Results of internal reviews, site inspections and implementation of inspection and testing plans
* Results of audits, including non-conformances and the implementation of corrective actions
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| **Findings** |  |
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| **11.** | **Internal Review** |  |
|  | **Question** | **Does the System/Plan clearly describe procedures for systematically reviewing (including auditing) WHS activities and Management Plans, including:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | Carrying out reviews at regular intervals? |  |  |
|  |  |  |  |
| **2.** | Identifying deficiencies in the WHS Management System and Plans? |  |  |
|  |  |  |  |
| **3.** | Specifying the responsibilities and competency of those carrying out the review? |  |  |
|  |  |  |  |
| **4.** | Documenting reviews? |  |  |
|  |  |  |  |
| **5.** | Conducting regular audits of implementation and compliance with the WHS Management System and Plans? |  |  |
|  |  |  |  |
| **6.** | Identifying the root cause of any breaches/non-conformances and implementing corrective actions? |  |  |
|  |  |  |  |
| **7.** | Implementing follow-up procedures to assess the effectiveness of any corrective action? |  |  |
|  |  |  |  |
| **8.** | Communicating the results of reviews to Senior Management and the status of corrective actions. |  |  |
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| **Findings** |
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| **12.** | **Documentation and Records** |
|  | **Question** | **Does the System/Plan include procedures for and detail the following records for maintenance:** |  |
| **No.** |  | **Page Number** |  |
| **1.** | Document control procedures for WHS documents and data, including their identification, approval, maintenance, dissemination, retention, withdrawal and disposal? |  |  |
|  |  |  |  |
| **2.** | Records management procedures for maintaining WHS records, including their identification, filing, retrieval and retention? |  |  |
|  | **Question** | **Does the System / Plan clearly describe record-keeping requirements for:** |
| **No.** |  | **Page Number** |  |
| **1.** | Induction and training records? |  |  |
|  |  |  |  |
| **2.** | Skills, competency and license register? |  |  |
|  |  |  |  |
| **3.** | Hazard identification, risk assessments and associated safe working procedures? |  |  |
|  |  |  |  |
| **4.** | Reports of incidents and illness/injury? |  |  |
|  |  |  |  |
| **5.** | Illness/injury and incident investigation reports? |  |  |
|  |  |  |  |
| **6.** | Illness/injury statistics, such as lost time frequency rates and duration rates? |  |  |
|  |  |  |  |
| **7.** | Maintenance, testing, servicing and repair of plant and equipment? |  |  |
|  |  |  |  |
| **8.** | Use of hazardous substances and associated monitoring? |  |  |
|  |  |  |  |
| **9.** | Inspection and test reports? |  |  |
|  |  |  |  |
| **10.** | Particulars of qualifications held by individuals? |  |  |
|  |  |  |  |
| **11.** | Internal review reports? |  |  |
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| **12.** | **Documentation and Records - continued** |  |
| **No.** |  | **Page Number** |  |
| **12** | WHS design reviews? |  |  |
|  |  |  |  |
| **13.** | Minutes of WHS meetings? |  |  |
|  |  |  |  |
| **14.** | WHS audit reports? |  |  |
|  |  |  |  |
| **15.** | Worker injury management records? |  |  |
|  |  |  |  |
| **16.** | Evidence of actions taken as a result of WHS meetings? |  |  |
|  |  |  |  |
| **17.** | Corrective action records? |  |  |
|  |  |  |  |
| **18.** | Work safety records generally? |  |  |
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| **Findings** |
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