

## Benchmark OHS Consulting Pty Ltd – Self Assessment WHS Audit Tool

**This WHS Auditing System Tool is to be used as a self-assessment of YOUR COMPANY compliance with AS 4801 and the Work Health and Safety Act 2011.** This tool is to be used internally for its own compliance purposes. Each core elements that makes up COMPANY WHS Management System shall be included for assessment. These elements are the Management Responsibility, Purchasing, Process Control, Inspection/Testing, Control of WHS Issues, Corrective Action, Training, Records Management and so on.

Office.....  
Date of Audit .....

Person Responsible For Implementation .....

### Element 1 - Management Responsibility

Item	Requirement	Yes / No	Comment / Action Required	Action Date
1	YOUR COMPANY has policies that document WHS&E commitment and responsibilities?			
2	Has Managing Director completed their responsibilities and authorities of management and personnel in relation to WHS?			
3	Have all personnel been introduced to their Position Description?			
4	Does the business unit have a management plan incorporating WHS and is their evidence of it being monitored and reviewed?			
5	What agreed consultation measures are in place and is their evidence of this taking place?			
6	Has Managing Director identified what legislation applies to their area of operation after having first identified the types of processes and their associated hazards/risks?			
7	Are resources provided to support WHS policy provisions assessed and reviewed regularly to evaluate adequacy?			
8	Is their evidence of periodic review of the adequacy of the system as a measure of the efficiency of the management responsibility function? Note -			

**Call Benchmark OHS Consulting Pty Ltd to develop policies and procedures against WHS Act 2011 – 1300 651 913 [www.benchmarkohs.com.au](http://www.benchmarkohs.com.au)**

Item	Requirement	Yes / No	Comment / Action Required	Action Date
	The results of the review processes must be analysed and be used to modify responsibilities and policies			
9	Is there assigned responsibility for the verification of WHS activities?			
10	Do site emergency procedures outline responsibility, authority and accountabilities of first aid officers and fire wardens??			
11	Does the Managing Director review the WHSMS?			
12	Are records maintained as evidence of the review and evaluation			
13	Are reviews conducted regularly and at appropriate intervals?			
14	Is the continuing suitability and effectiveness of the WHS system evaluated for all areas of business activity?			
15	Are outcomes of the review process utilised to modify and amend system criteria such as policy, objectives, and responsibilities, planning arrangements, procedures and instruments (tools and forms)?			
16	Do outcomes of the review process ensure WHS system relevance, currency and continuous improvements?			

## Element 2 – Process Control

Item	Requirement	Yes / No	Comment / Action Required	Action Date
17	Are process related procedures, documented, implemented and maintained through?			

Item	Requirement	Yes / No	Comment / Action Required	Action Date
	Process maps Risk management activities, including hazard identification, risk assessments, risk control, monitoring and review of control measures Internal and external audits, including systems and legislative audit programs Safe work procedures for core and non core processes. Emergency Response Plans and or Procedures Purchasing checklists Training needs analysis Incident management system Inspection and Testing Schedules Sub-contractor management database Master Records List Hazardous Substances Registers			
18	Are Safe work procedures documented and contain the following Description of the activity or process The person or position with supervisory responsibility Clear explanation in sequential order of the steps comprising the procedure Potential hazards Safety controls to minimise potential risks Health and safety precautions to be exercised			
19	That process registers are generated electronically along with review dates in the details page appearing in the WHS System in line with the following document types?			

Item	Requirement	Yes / No	Comment / Action Required	Action Date
	Audit Reports (AUD) Elements Forms Management and Business Unit Plans Manuals Minutes Organisational Charts and Company Information Policies Position Descriptions Procedures Registers Reviews Risk Assessment and Analysis Training Documents Work Instruction			
20	That position descriptions, procedures, work instructions, system elements, risk assessments and other aggregated tools that define the accountability and authority of staff?			
21	Are process control documentation reviewed? Through: Internal and External Audits Adopted Local Consultation arrangements			

### Element 3 – Purchasing

Item	Requirement	Yes / No	Comment / Action Required	Action Date
22	Have WHS considerations of goods and services been defined prior to the purchase?			
23	Have all goods and services received met WHS specifications?			
24	Have checklists been used in the selection of service providers?			
25	Has the local WHS consultation group, Managing Director and or delegated representatives obtained all relevant publications prior to purchasing any hazardous substances?  (e.g., MSDS, Plant Item Handling Booklets and or Specifications)  Has a risk assessment been conducted for all of the hazardous substances in the workplace?			
26	Has any tender been assessed taking into account identified WHS requirements? Have those requirements been clearly stated in the contractual documentation?			
27	Has a risk assessment been undertaken prior to introducing goods and services into the workplace?			
28	Tools, instruments and aggregates used to ensure contractors meet the WHS requirements.			
29	Are records (including verification) kept of WHS conformance of the goods and services that have been purchased to the specifications set?			
30	Has any equipment been trialled to evaluate it from a WHS perspective prior to purchase?			

Item	Requirement	Yes / No	Comment / Action Required	Action Date
31	<p>Have additional provisions been established by the Managing Director to ensure that contractors and suppliers engaged in works have been provided with relevant induction and or awareness of site rules that are consistent with WHS&amp;E legislative requirements and any contractual arrangement?</p> <p>Completion of Risk Assessments/SWMS</p> <p>Obtainment and review of certificates of currencies through the Sub-Contractor Management System.</p> <p>Adherence of contractual requirements and organisational requirements.</p>			
32	<p>Has a responsible person been nominated to conduct WHS control dependent upon WHS risk factors and evidence of the suppliers previously demonstrated capacity and performance?</p> <p>Has ongoing verification activities on contractors/labour hire providers been undertaken by Managing Director to ensure the OH&amp;S/E requirements of the contract are complied with?</p>			
33	<p>Has any audit of major/long term contractors/suppliers to verify they meet the OH&amp;S requirements outlined in the contract and/or terms of agreement been conducted?</p>			
34	<p>Have provisions been made for ensuring that new plant, vehicles, and other relevant materials are inspected and checked for quantity, and for defects on arrival at the receiving depot for the first time, to ensure that they conform to specified requirements?</p>			
35	<p>Has any non-conformances been noted, reported to the appropriate manager and been logged into the incident management system?</p>			
36	<p>Are records generated during purchasing processes are maintained, monitored and reviewed?</p> <p>Contractor Induction Records</p> <p>Certificates of Currencies</p> <p>WHS Management Plans</p>			

Item	Requirement	Yes / No	Comment / Action Required	Action Date
	<p>Management Reviews regarding purchasing</p> <p>Publications issued by the Suppliers</p> <p>Pre-selection Checklists</p> <p>Has the Managing Director established a Preferred Supplier List which outlines the suppliers' contact details and activities?</p>			
37	<p>Are purchasing procedures reviewed and monitored as part of the overall management of goods and services received by the organisations to ensure relevance and currency of WHS specifications, system requirements and procedures for identifying the conformance of goods and services to predetermined WHS&amp;E specifications?</p>			

#### Element 4 – Auditing

Item	Requirement	Yes / No	Comment / Action Required	Action Date
38	<p>Has the Managing Director assessed all documentation is relevant to the site operations against practice?</p>			
39	<p>Has the Managing Director communicated the WHS internal audit findings to the personnel including employees of the area where the audit was undertaken as per site consultation process?</p>			
40	<p>Have WHS Internal Audit Hard copies been maintained by the Managing Director to sign off on closed findings when evidence is demonstrated?</p> <p>Have all action items been assigned accordingly to champion personnel within each given division and or site?</p> <p>Have WHS Internal Audit findings been analysed to identify and address system deficiencies?</p> <p>Has the performance improvement strategies been monitored through the following up process in terms of WHS Internal Audit findings?</p>			

Item	Requirement	Yes / No	Comment / Action Required	Action Date
41	Does the procedure highlight provisions and guidelines for the preparation of internal audits that may be used as reference by external auditors for example for Work Cover requirements?			
42	Have all divisions, sites and or satellite depots in been the subject of an internal audit?			
43	Has a 6 monthly review of WHS System Performance been presented by the Site Manager to identify the outstanding WHS Internal Audits findings of the past 6 months or as required?			
44	Has any audit Site major/long term contractors/suppliers been conducted to verify they meet the OH&S requirements outlined in the contract and/or terms of agreement?			
45	Is the auditing process of the Systems been undertaken by suitably qualified personnel that are deemed competently trained in WHS and/or Quality systems by an approved training body			
46	Has an Audit procedure as well as the tools to undertake internal audits been reviewed at least once per year by the, AS 4801: 2001 'Occupational Health and Safety Management Systems'.			

## Element 5 – Inspection and Testing

Item	Requirement	Yes / No	Comment / Action Required	Action Date
47	Has Managing Director identified all the legal requirements needed for plant and equipment items within their premises?			
48	Are IT responsibilities defined in position description or other aggregated tools?			



Item	Requirement	Yes / No	Comment / Action Required	Action Date
49	Have contractors and employees who conduct tests of equipment and services demonstrated (training records, certificates, licences etc...) that they have the required certification and competency for the inspection and testing they perform using suitable testing equipment and procedures?			
50	<p>To comply with this program has the Managing Director:</p> <ul style="list-style-type: none"> <li>Identified the items/equipment which required being tested/inspected as per processes undertaken within the sites.</li> <li>Nominated the responsible person/s for overseeing these activities.</li> <li>Selected competent employees and/or contractors to carry out IT functions. Agreements or other arrangements will be drawn up with suppliers to ensure that the skill, training and qualification of personnel performing such activities are defined and verified.</li> <li>Ascertained the testing and inspection monitoring requirements specified by legislation and standards by activities undertaken.</li> <li>Developed a schedule for Inspection and Testing activities and to ensure that items are captured during the commissioning and installation of purchased plant/equipment.</li> <li>Logged in the relevant equipment details into the File Inspection and Testing Database.</li> <li>Verified that test results conform to specified standards/legislative needs and taken corrective action when non-conformances arise as a result of inspection and testing activities.</li> </ul>			
51	Has Managing Director established, maintained, implemented and reviewed a site Inspection/Testing schedule and monitoring that is required for the sites as per this program?			
52	<p>Has Managing Director complied with the types of Inspection and Testing and Monitoring Required by legislation and standard:</p> <ul style="list-style-type: none"> <li>Confined Space Entry</li> <li>Dangerous Goods Storage</li> </ul>			

Item	Requirement	Yes / No	Comment / Action Required	Action Date
	Electrical Equipment Emergency Evacuation Alarms Evacuation test Drills Exit Lights in Buildings Fire Extinguishers and Hose Reels First Aid Kits Fume Cupboards Gas Detectors Harness restraints and Lines Health Surveillance Hoists Internal/External Auditing Plant and Equipment Pressure vessels and boilers Pressures Gauges Scaffolding Workplace Inspection			
53	Are persons responsible for coordinating inspections and testing also responsible for maintenance and security of test records?			
54	Has this program been reviewed to ensure relevance, currency and corrective action of non-conformances and to review the effectiveness of the program?			

## Element 6 – Training

Item	Requirement	Yes / No	Comment / Action Required	Action Date
55	Does the site comply with the legal obligations (including duty of care) and WHS knowledge requirements for training across its operations?  (e.g. All Employees & contractors; Consultation members; High Risk Positions for Trade Practices Purposes; First Aid Officers; Operators; Plant operators; Drivers; Relevant employees – construction sites)			
56	Has a training needs analysis been undertaken to ensure that competent persons safely conduct the duties they perform and to identify:  WHS&R Legislative requirements with regard to competency levels, certification and the provision of specific types of services, e.g. first aid;  Hazards and the level of risk presented by specific hazards, e.g. hazardous substances or asbestos removal;  Training requirements, e.g. the induction of new employees or subcontractors; and  Emergency response situations.			
57	Has a training plan based on the outcomes of the training needs analysis been developed at a site level in the form of a training matrix?			
58	Has Managing Director or delegated representatives developed site specific training programs that acknowledge the information and training necessary to close the skill gap?			
59	Have all employees undergone an induction program?			
60	Have the following areas been considered when formulating training programs?  Consultation members should be trained to fulfil their duties and obligations of their position,  All employees who operate transport or materials handling vehicles should be fully trained and on going refresher courses may be provided,			

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	Manual handling, The use of protective equipment, Requirements of state legislation.			
61	Have training and assessment responsibilities (e.g. training delivery, supervision, assessment and / or verification tasks) been designated to competent persons as defined in position descriptions or other aggregated formats?			
62	Have competence requirements to perform WHS training and assessment been evaluated and documented through one or more of the following methods?  Questionnaires  Competency based testing of the knowledge or skill  Demonstration of skills learnt  Follow up assessment of the workplace layout / posture / work practices  Audit of work practices  Investigation of incidents  Feedback sheets completed by participates at completion of training sessions			
63	Has the competence of employees including any contractors, or labour hire employees, been assessed prior to their being expected to carry out the tasks associated with their position responsibilities?			
64	Has the site been inducting and supervising visitors at all times while on the site?			
65	Have records of all relevant training undergone been maintained using a Training Attendance List?			
66	Has the training procedure/program been reviewed at least over the past 12 months?			

## Element 7 – Records and Document Control

Item	Requirement	Yes / No	Comment / Action Required	Action Date
67	Does the site have a master records list?			
68	Are there people responsible for ensuring systems are put in place to keep, maintain and dispose WHS records in accordance with standards and legislation?  Who are they?			
69	Does the Managing Director review the requirements to keep records? (e.g., Legal requirements appearing in legislation).			
70	Note for the following WHS Records:  Design review  Equipment Information (Manufacturers instructions, safe operating procedures)  Hazard Identification and Risk Assessments  Hazardous substances and dangerous goods  Incident reports/accident reports and investigation/follow up action  Induction and training (records and plans)  Information of emergency preparedness and response  Inspection, maintenance and test reports  Internal Reviews reports  Management WHS management system review  Minutes of Management Review  Minutes of WHS meetings, including WHS executive meetings relating to WHS management system reviews			

Item	Requirement	Yes / No	Comment / Action Required	Action Date
	Monitoring Data (Health surveillance, Work environment monitoring test results) WHS Action plans WHS Internal and external Audit results Permit to work, Qualification, skills, knowledge, competency and certifications Plans for continuous improvement including audit action plans Process Control information such as Standard Operating Procedures Product information (Composition and hazards of plant and substances) Records of review of WHS performance eg audits Records pertaining to the WHS requirements subcontractors as well as suppliers of goods and services Requirements for records of disposal of substances and equipment Risk Management documentation Safety equipment records Statistical analysis of WHS data			
71	Are confidential documents identified/ stored in a secure manner and accessed only by authorised personnel?			
72	Have consent forms been generated as a verification of confidential documentation being released?			
73	Those having access to records are clearly defined in position descriptions? (In the case of accident reports, workers compensation claims and health surveillance reports).			
74	Is there verification of WHS records ensuring safe operation of the system			

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75	Company to identify the nature of their operation and then review what areas of documentation apply to their areas of responsibility.			
76	Document owners and approvers need to be established as per the requirements of System.			
77	The document owners are also responsible for communicating changes to documents, to nominated personnel who would:  Ensure changes to documents are communicated to relevant personnel through consultative arrangements such as tool box meetings etc.  Ensure the validity and currency of printed documents in use at sites.			
78	Review and Evaluation of document control procedures are documented.			
79	Documentation is electronically stored on file in line with the corporate model National Integrated Management System – SYSTEM			

## Element 7 – Corrective Action

Item	Requirement	Yes / No	Comment / Action Required	Action Date
80	Have corrective actions ensured that the outcomes of inspection and testing, audits, accidents, incidents and hazard reporting procedures are reviewed and appropriate procedures implemented to rectify non-conformance and prevent its recurrence?			
81	Does the procedure define how COMPANY will rectify any deficiencies detected in the WHS system, which have caused or could cause unsafe work practises, through instrument, tools and other aggregated formats?			
82	Does the procedure ensure that the outcomes of all hazard identifying activities are reviewed, non-conformance rectified through the implementation of			

	appropriate corrective action, preventing recurrences?			
83	Does the procedure ensure that the outcomes of all hazard identifying activities are reviewed, non-conformance rectified through the implementation of appropriate corrective action, preventing recurrences			
84	When choosing the appropriate method of control to address the non-conformance, is there reference made to the hierarchy of control?			
85	Are corrective actions raised addressed according to priorities associated with the level of risk within an appropriate time frame?			
86	Have corrective action responsibilities been assigned to personnel having competency to implement the corrective action, and are further defined in position descriptions, responsibility matrices and other aggregated formats.			
87	Has Managing Director ensured through implemented systems of review, that corrective action responsibilities are met and that procedural outcomes are properly actioned and followed through?			
88	Has the Managing Director ensured that they either utilise the Incident Management System or that they establish equivalent local systems for the recording of complaints, non-conformances, supplier difficulties, contract reviews, commendations. Any local systems that are established should be compatible with the national system so that comparison of data and analysis can be conducted?			
89	Have implemented corrective action control measures been reviewed for their effectiveness and action undertaken in accordance with system requirements.  Have corrective action procedure been reviewed to ensure relevance and compliance to system requirements. Conformance requirements and procedures for controlling non-conformance are reviewed and modified to meet ongoing needs, changes in workplace conditions and system, and to promote continuous improvement.			



## Element 8 – Risk Management

Item	Requirement	Yes / No	Comment / Action Required	Action Date
90	Are workers /sub-contractors aware there is a Risk Management Program developed?			
91	Does the site use any of the following methodologies for hazards identification?  If so, list them e.g., (compulsory in line with risk management program) Hazard identification assessment Incident management system Audits Near miss reporting Pre-purchasing checklists WHS consultative arrangements Workplace inspection Other methods identified at a site level as required			
92	Are control measures implemented in accordance with risk priorities by where risks are controlled immediately? Schedule plan of control for all risk in line with the Risk Management program			
93	Are processes documented and implemented to review and evaluate Risk Assessments to measure the effectiveness of control measures? Plan schedule of review in line with the Risk Management program. E.g., statistical data,  Inspection and testing regimes.			
94	Have risk assessments been undertaken at the workplace? Hazard identification reports.  If so, how many are there?			
95	Are site emergency procedures developed, implemented and maintained? Are they on display?			
96	Have mock evacuation drills been performed onsite, at least annually?			

Item	Requirement	Yes / No	Comment / Action Required	Action Date
97	Is training provided to all personnel in line with their job requirements? E.g. Fire wardens, first aiders			
98	Are workplace activities and the processes and tools required to conduct such activities reviewed to determine compliance with legislation, national standards and industry codes of practice?			
99	Have all risk management activities been conducted in consultation with employees?			
100	Are all applicable legislation and advisory material such as codes of practice and national standards appropriately referred to in risk assessments and procedures?			
101	Are you aware of your responsibility for WHS legislative compliance, incorporating risk management?			
102	Are records kept of identified hazards, RA and the measures implemented to control such hazards? E.g. RAs, incident management system			
103	Is responsibility and accountability for WHS risk management defined in position descriptions or other aggregated formats			
104	Is there a documented procedure to review and evaluate the risk management program? E.g. internal reviews When is this review undertaken? EG. Purchasing and commissioning of new plant and equipment Changes to work processes Incidents / accidents / investigations			

## Element 9 – Design

Item	Requirement	Yes / No	Comment / Action Required	Action Date
105	Are WHS Risks identified in the design phase? If this is applicable.			
106	Are design risks assessed in accordance with the legislative requirements, relevant codes and practices and or standards?			
107	Are appropriate controls are selected and implemented to ensure that the level of design risk is adequately addressed?			
108	Is the effectiveness of design controls reviewed and inspected? E.g. maintenance requirements			
109	Are Workers/Contractors engaged in the design work and control possess necessary training and Competency?			
110	Are personnel responsible for reviewing design suitably skilled and experienced?			
111	Are verifiers appropriately skilled and/or qualified to identify risk associated with the design process?			
112	Records of design control to be maintained for design of new facilities, plant/equipment or processes?  (e.g. WHS&E Management Plans, Safe Work Method Statements, Risk Assessments, and Design Registration/verification of plant records etc...).			
113	Is all design control documentation/Design process reviewed at least once annually?			

## Element 10 – Management System

Item	Requirement	Yes / No	Comment / Action Required	Action Date
114	That Managers and Staff are aware of the WHS, components of the System – SYS-01.			
115	The WHS System including its planning arrangements, procedures and instruments (tools and forms) are documented through a manual and made available to all employees.			
116	That responsibilities of employees and or delegated representatives are defined within Position Descriptions or other aggregated formats (e.g., Procedures).			
117	Training has been provided or verified for workers, contractors, labour hire employees and visitors to carry out WHS activities in line with SYS-01 and or Procedures.			
118	Records of system review shall be maintained through one or more of the following methodologies:  Internal Audit against Practice Form – i.e, This Audit Tool.			
119	That state and local objectives are assessed and reviewed.			