Health and Safety Audit

DD/MMM/YYYY

In order to apply and qualify for the ACC’s Workplace Safety Management Practices (WSMP) program, a self­-assessed audit must be conducted using the ACC422 form[[1]](#footnote-1). The content of the ACC422 form has been transferred into this H&S Audit word document. Therefore, this document can also be used instead and is almost completed if you are using the Safety Hub H&S Manual (template) and Health and Safety Guide.

The aim is to answer every audit requirement with a ‘yes’, and provide evidence or a reference to a supporting document. Then this whole document can be provided to the auditor so in effect it is up to the auditor to disprove your qualification for the higher discounts. Completing this form thoroughly will therefore increase your chances of qualifying for the tertiary level discount (although Safety Hub cannot guarantee this result, as each auditor measures according to their own experience, expertise and bias). To reiterate, providing the completed ACC442 or this H&S audit to the auditor will demonstrate how thoroughly your company has prepared, and make the job of the auditor easier by providing all the evidence before the audit has even begun.

**Critical element one– Employer commitment to safety management practices**

**Objective**

*The employer is able to demonstrate an active, consultative commitment to all areas of health and safety management in the workplace.*

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|  | Achieved  Yes/No |
| 1. **There is a documented health and safety policy** | |
| 1. Policy document.   *Page 3 of the Health and Safety Manual.* | Yes |
| 1. **The policy is authorised by current CEO or other senior management representatives.** | |
| 1. Appropriate signature, position and date.   *Page 3 of the Health and Safety Manual.* | Yes |
| 1. Process for senior management to review policy document at least every two years.   *Under ‘Management Will’ bullet point 2, page 3 of the Health and Safety Manual. The requirement is also planned as the last item of the year as detailed in the Annual H&S Plan, Appendix B of the H&S Manual.* | Yes |
| 1. **The policy incorporates management commitment to comply with relevant legislation, regulations, codes of practice and safe operating procedures.** | |
| 1. Policy document includes statement of commitment to comply with relevant standards.   *Bullet point 13 under ‘Management Will’ on page 3 of the Health and Safety Manual.* | Yes |
| 1. **The policy includes specific understanding of management responsibilities for health and safety.** | |
| 1. Policy document includes management commitment to health and safety.   *The entire section under ‘Management Will’ on page 3 of the Health and Safety Manual.* | Yes |
| 1. Specific health and safety co-ordination roles are designated at senior management level.   Establishing responsibilities  It is important that you state clearly the levels of authority, the roles of managers and supervisors and the resources needed to achieve your health and safety goals. Write the responsibilities, along with the necessary authorities, into supervisors’ and managers’ job descriptions. Doing this:  • Removes any doubt about accountability  • Clearly states your expectations of your employees  • Allows you to determine whether you have covered all health and safety responsibilities  • Provides a way for you to measure your health and safety performance.  Supervisors’ and managers’ job specifications and performance objectives should also include statements of accountability, which aim to:  • Avoid exposing to unnecessary risk employees and contractors in, and visitors to, your workplace  • Maintain safe work systems  • Enforce safe work systems.  Action – Include this into Job Descriptions of those allocated H&S responsibilities. | No |
| 1. Management positions are reviewed against the performance of designated health and safety responsibilities.   Action – Haveing allocated the responsibility, show how you will or have assessed performance of H&S responsibilities against the job description requirement. | No |
| 1. Evidence that individual management performance has been reviewed against health and safety responsibilities.   Action – as above. | No |
| 1. **The policy includes an outline of individual employee responsibilities for health and safety.** | |
| 1. Policy document states individual responsibilities for health and safety in the workplace.   *The entire section under ‘Every employee is ...’ on page 3 of the Health and Safety Manual.* | Yes |
| 1. **There is commitment to consultation with union and other nominated employee representatives regarding participation in health and safety management.** | |
| 1. Policy document includes statement of support for employee consultation and participation.   *Bullet points 9 and 10 under ‘Management Will’ on page 3 of the Health and Safety Manual.* | Yes |
| 1. **There is specific management commitment to accurate reporting and recording of workplace incidents and injuries.** | |
| 1. Health and safety documents include a specific statement requiring accurate reporting and recording.   *Bullet points 3 and 4 under ‘Management Will’ on page 3 of the Health and Safety Manual.* | Yes |
| 1. Records of this requirement included in performance review of management roles.   Action – include in the performance review. | No |
| 1. **There is commitment to continuous improvement in health and safety.** | |
| 1. Indicative statement in policy document.   *Bullet point 12 under ‘Management Will’ on page 3 of the Health and Safety Manual.* | Yes |
| 1. Evidence that a system exists for the review of health and safety-related policies by senior management to ensure their ongoing effectiveness (for example records of reviews or a documented review procedure or checklist).   *Under ‘Management Will’ bullet point 2, page 3 of the Health and Safety Manual. The requirement is also planned as the last item of the year as detailed in the Annual H&S Plan, Appendix B of the H&S Manual.* | Yes |
| 1. Evidence that excellence in health and safety management and innovation by staff is formally recognised (e.g. recognition in staff newsletter, reward for innovative ideas).   *First paragraph under Employee Participation in the H&S Manual.* | Yes |
| 1. **There is specific commitment to ensure managers (including senior management) have an understanding of health and safety management relative to their positions.** | |
| 1. Evidence of this commitment in policy statement, position descriptions (or similar).   *Bullet point 2, 12 and 13 under ‘Management Will’ on page 3 of the H&S Manual.* | Yes |
| 1. Evidence that senior management have been involved in health and safety (e.g. seminars, briefings, conferences, and training sessions) within the previous two years.   *Action – Provide proof and references, including having viewed the H&S Training Videos etc.* | No |
| 1. **There is specific commitment by management to support the safe and early return to work of their injured employees.** | |
| 1. Health and safety documents that include a statement of commitment.   *Bullet point 6 under ‘Management Will’ on page 3 of the Health and Safety Manual.* | Yes |
| 1. Information provided to management staff on how to support safe and early return to work.   *Return to Work in the H&S Manual and more supporting detail in the H&S Guide.* | Yes |
| 1. Evidence of management involvement in supporting safe and early return to work (where applicable).   *Action – provide evidence if applicable.* | N/A? |

**Critical element two – Planning, review and evaluation**

**Objective**

*The employer is able to demonstrate a focus on continuous improvement through a systematic approach to occupational health and safety that includes setting specific objectives, establishing and supporting systems or programmes to achieve objectives, regular review of progress and evaluation of outcomes.*

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|  | Achieved  Y/N |
| **1. There is a process to ensure that health and safety management for the workplace is reviewed.** | |
| 1. Process to review health and safety management annually.   *The process is specified in the H&S policy statement as detailed bullet point 13 under ‘Management Will’ on page 3 of the Health and Safety Manual.*  *In addition, the H&S Committee are charged with a number of responsibilities and actions that include reviewing the policy statement and carrying out certain actions that support H&S. For example, the committee discuss and review reported accidents to identify particular trends. While management and partners are also on the H&S Committee, there is an additional requirement for any Committee findings to be reported quarterly to management as per the Annual H&S Plan, Appendix B in the H&S Manual.* | Yes |
| 1. Process to review health and safety management that occurs after a critical event and/or if there is a change in work procedures or health and safety policy.   *As above, the H&S Committee initiate the process and then report to senior management.* | Yes |
| **2.** **Health and safety objectives are set that are appropriate to the size and type of business, relevant to each level within the business and related to identified hazards (where relevant). NB: Objectives set should be ‘SMART’**   * **Specific** * **Measurable** * **Achievable** * **Realistic** * **Time-bound** | |
| 1. Documented objectives and management plan to achieve objectives.   *Review and Planning section and the Annual H&S Plan, Appendix B in the H&S Manual.* | Yes |
| 1. Procedure to review objectives annually.   *Last action step of the Annual H&S Plan, Appendix B in the H&S Manual.* | Yes |
| 1. Evidence that health and safety objectives have been reviewed.   *In preparation for the ACC audit the H&S Committee reviewed and confirmed all documentation, including the Annual H&S Plan. One objective included successfully applying for WSMP entry and the Annual H&S Plan details when the annual internal-audit should be conducted.* | Yes |
| 1. Evidence that senior management and union and other nominated employee representatives[[2]](#footnote-2) have been included in annual review and setting of objectives.   *The plan was discussed and developed by the H&S committee in the first instance. The committee considered the types of actions required to meet legislative obligations and then those actions considered ‘best practice’. Recorded incidents were reviewed and staff input was also requested. The H&S Committee then reported the findings and recommendations for endorsement by senior management. All Bell Gully staff has had the opportunity to review and recommend new H&S objective, which were included in the Annual H&S Plan, Appendix B in the H&S Manual.* | Yes |
| **3. There is an established consultative process to review and evaluate the effectiveness of hazard management.** | |
| 1. Process or planning documents (or similar).   *The H&S policy requires the H&S Committee to work with all staff to proactively identify hazards and then work together to mitigate the hazard. In general, the process is detailed in the Employee Participation chapter of the H&S Manual.*  *Similarly, the effectiveness (or not) of controls can also be determined from Accident Reports. All accidents and incidents are expected to be reported, as detailed under the Reporting and Investigation section of the H&S Manual.* | Yes |
| 1. Minutes, schedules (or similar) to show there is annual review of the effectiveness of hazard management processes.   *Provide proof to confirm that reviews are occuring.If you are just setting up this system, then annotate as N/A i.e. this element is not applicable.* | No |
| **4. The employer is able to demonstrate knowledge of current health and safety related information including legislation, regulations, current codes of practice, and other health and safety standards relevant to the particular workplace.** | |
| 1. Process to identify the health and safety information specific to the employer’s business.   *The H&S Manual has been tailored by the business employees for the business. An annual review of DOL and ACC websites is an action item of the Annual H&S Plan, in order to ensure currency with codes of practice etc.* | Yes |
| 1. Process in place to ensure compliance or conformance with relevant requirements.   *As above, the H&S Committee determine relevancy of changes and where appropriate discuss within the Committee, report to management and/or staff.* | Yes |
| 1. Evidence of regular review to identify and accommodate any changes to requirements.   *Part of Annual H&S plan, Appendix B in the H&S Manual.* | Yes |
| **5. A procedure to undertake an annual self-assessment to ensure the programme audit standards can be met and maintained. The procedure involves management, union and other nominated employee representatives.** | |
| 1. Self-assessment procedure.   *The Annual H&S plan, Appendix B in the H&S Manual details annual hazard identification, PPE checks, drills etc that all ensure standards are being met. In addition, a specific action requires an annual self­-assessment using the ACC366 guide.* | Yes |
| 1. Evidence that a self-assessment has been undertaken within the previous 12 months (may be immediately prior to initial entry audit).   *This document.* | Yes |

**Critical element three – Hazard identification, assessment and management**

**Objective**

*The employer has an active method that systematically identifies, assesses and manages the actual and potential hazards in the workplace, over which the employer has authority or influence.*

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|  | Achieved  Yes/No |
| 1. **There is a systematic procedure to identify and record actual and potential hazards in the workplace.** | |
| 1. A procedure that covers an understanding of the range of hazards including (for example) work organisation, job design and hazards facing employees working off-site.   *The H&S Guide has 3 chapters on the Hazard Management which detail the process. The H&S Manual also has a more condensed chapter and Appendix D includes the Hazard Register.* | Yes |
| 1. Review of hazard registers to support process in action.   *Appendix D of H&S Manual.* | Yes |
| 1. Records of regular review of the hazard identification and recording process.   *As a new system there are no historical records, however the review process is part of the ongoing system and is planned into the Annual H&S Plan.* | Yes |
| **2.** **There is a process to assess identified hazards to determine which hazards are significant according to the definition in the health and safety in employment legislation.** | |
| 1. Documented definition of significance.   *The Hazard Assessment chapter of the H&S Guide includes the definition of Significant and Serious Harm etc. Appendix B of the H&S Manual, the Annual H&S Plan, requires a regular review of the DoL/ACC definitions in case changes to the definitions occur.* | Yes |
| 1. Process to demonstrate the identification of significant hazards and evidence of implementation of this process.   *The H&S Guide details the process, the results of which are noted in Hazard Register, Appendix D of the H&S Manual.* | Yes |
| 1. The hazard register (or similar) identifies which hazards are significant.   *As noted in Hazard Register, Appendix D of the H&S Manual.* | Yes |
| **3.** **There are appropriate controls in place for each significant hazard based on the hierarchy in the health and safety in employment legislation to:**   * **Eliminate the hazard completely, or** * **Isolate the hazard to prevent the exposure to that particular hazard; or** * **Minimise the impact of the hazard.** | |
| 1. Procedure for developing appropriate controls.   *The H&S Guide details the process, which is also instructed in the H&S Training Videos. The results of apply this procedure resulted in the development of the Hazard Register, Appendix D of the H&S Manual.* | Yes |
| 1. Details of controls developed for significant hazards.   *Hazard Register, Appendix D of the H&S Manual noted where the controls can be found.* | Yes |
| 1. Process for the issue, renewal and maintenance of safety equipment related to significant hazards including personal protective equipment.   *As detailed in the controls developed for the hazards.* | Yes |
| 1. Evidence that controls developed for significant hazards are based on appropriate documentation or advice (where applicable).   *Controls were developed following the H&S Guide. The specific controls have references noting where the information was obtained e.g. DoL publications, MSDS, Safety Hub consultants etc.* | Yes |
| **4. There are appropriately trained and/or experienced people leading the identification and management of hazards.** | |
| 1. Records of training, and/or skills and experience for people leading hazard management.   *Personnel have been trained using the H&S Guide and Training Videos.* | Yes |
| 1. Evidence of ongoing training or increased experience for people leading hazard management that has occurred within the previous two years.   *New system being implemented.* | N/A |
| **5. There is a procedure for obtaining specialist advice for managing specific hazards, where this competency is not available through internal staff.** | |
| 1. Procedure to support the appropriate use of specialist advice (e.g. the management of hazardous substances, monitoring of noise levels or assessment of workstations).   *Page 43 of the H&S Guide recommends calling in consultants when all other sources of information e.g. DoL website, have been exhausted.* | Yes |
| 1. Accessibility of reference information for all staff (e.g. hard copy or electronic) that includes relevant legislation, regulations, codes of practice, safe operating procedures, MSDS etc.   *Electronic and hard copy information available, including the H&S System electronically, online, via DVD and printed when required.* | Yes |
| 1. List or information about availability of internal or external health and safety specialist advice (where applicable).   *Page 43 of the H&S Guide recommends calling in consultants when all other sources of information e.g. DoL website, have been exhausted.* | Yes |
| **6. There is a schedule documenting the minimum review timetable to monitor significant hazards that have been isolated or minimised.** | |
| 1. Hazard review timetable appropriate for particular identified hazards.   *The requirement is detailed on page 50 of the H&S Guide, step 5 of Hazard Controls. From this work, the controls were developed and the monitoring added to the Annual H&S Plan, Appendix B of the H&S Manual.* | Yes |
| 1. Responsibilities assigned for ensuring timetable is met and signed off at each period.   *The required completion date and person responsible are detailed in the Annual H&S Plan, Appendix B of the H&S Manual.* | Yes |
| **7. There is active management of hazards associated with any new or modified equipment, material, services or work processes introduced into the workplace.** | |
| 1. Hazard identification and management documents.   *The process in detailed under the Hazard Management chapters of both the H&S Guide and Manual.* | Yes |
| 1. A process for consultation with relevant health and safety personnel in the purchase or implementation of new or modified equipment, material, services or processes.   *H&S Committee’s roles under the Employee Participation chapter of the H&S Manual.* | Yes |
| 1. Evidence of health and safety issues incorporated into purchasing and design decisions (where applicable). | N/A |
| **8. There is an ongoing opportunity for the active involvement of union and other nominated employee representatives in identifying and managing hazards in the workplace.** | |
| 1. Evidence of employee consultation or active involvement in hazard management, or the provision of ongoing opportunities for involvement (process document accepted for new applications).   *H&S Committee’s roles under the Employee Participation chapter of the H&S Manual.* | Yes |
| **9. There is a process to identify and manage any areas of the workplace requiring specific health monitoring in relation to tasks being undertaken (where applicable).** | |
| 1. Process to identify tasks requiring monitoring and ongoing regular testing.   *If you have any controls then part of the monitoring may be health monitoring. This monitoring will need to documented and included in the Annual H&S Plan. See H&S Guide and Training Videos for details.* | No |
| 1. Process to undertake baseline monitoring of health related to identified tasks and to notify employees of results (e.g. hearing tests, lung function tests).   *As detailed in H&S Guide and Training Videos. Plan these tests as part of the Induction Plan for the new employee. Note specialists company will be required for these tests. Contact Safety Hub for recommendations.* | N/A |
| 1. Process for post-critical event testing and exit testing.   *As detailed in H&S Guide and Training Videos. Plan these tests as part of the Induction Plan for the new employee. Note specialists company will be required for these tests. Contact Safety Hub for recommendations.* | N/A |
| 1. Process to manage sub-optimal test results that includes consideration of individual medical and vocational needs.   *As detailed in H&S Guide and Training Videos. Note specialists company will be required for these tests. Contact Safety Hub for recommendations.* | N/A |
| 1. Process to feed back sub-optimal results into hazard management.   *The effectiveness of Hazard Controls is checked by formally including in the Annual H&S Plan, Appendix B of the H&S Manual. The Hazard Controls chapter of the H&S Guide also specifies that monitoring and failure of the controls to ensure they are working. If they are not, then the control measures are re-examined.* | Yes |
| **10. There is a process to identify tasks where significant hazards may make pre-employment health screening appropriate to ensure that the potential for work injury or work-related illness through exposure to those particular tasks is minimised.** | |
| 1. Process documents.   *Page 51 of the H&S Guide details the reason and how to consider pre-employment screening. In our case pre-employment screening was not required/is detailed ...* | ? |
| 1. Documented rationale and process for pre-employment health screening that is linked to specific significant hazards (where applicable).   *Or change and detail if applicable.* | N/A |
| 1. **Work areas over which the employer has control or influence are planned so that the exposure of visitors and the general public to workplace hazards is minimised.** | |
| 1. Clear marking of designated areas as appropriate.   *To confirm.* | No |
| 1. Signage, security log books or visitors’ registers available as appropriate to specific areas of the workplace or escorting restrictions and induction for site visitors.   *To confirm.* | N/A? |
| 1. Evidence that emergency procedures are covered with site visitors.   *Provide evidence of use of your induction (Appendix E of H&S Manual).* | No |
| 1. Provision of appropriate personal protective equipment for visitors to the site (e.g. goggles, ‘hi-viz.’ vests).   Is this required in your business? | N/A |

**Critical element four – Information, training and supervision**

**Objective**

*The employer will ensure that all employees are informed of their own responsibilities and the employer’s responsibilities for health and safety in the workplace. The employer will ensure that employees have specific knowledge concerning management of the hazards to which they are exposed through workplace procedures, environment, equipment and materials.*

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|  | Achieved  Yes/No |
| **1. There is appropriate health and safety induction training for new employees and employees transferring to a new environment, role or task.** | |
| 1. Evidence of staff health and safety induction training that includes consideration of the following needs (where appropriate):  * Emergency procedures * Incident and injury reporting * Hazard identification * Employer and employee responsibilities * The process for employee health and safety representation * Information about the health and safety forum/s * Designated roles for health and safety and rehabilitation * Work injury claims process * Rehabilitation responsibilities * Use and maintenance of relevant health and safety equipment, including personal protective equipment (e.g. checklist, training information).   *All new employees must read the H&S Manual. Specific hazards and their controls associated to the specific job are specified in the Hazard Register, Appendix D of the H&S Manual.* | Yes |
| 1. Signed employee induction training records (or similar individual verification).   *Show signed proof.* | No |
| **2. There is identification of health and safety training needs in relation to hazards associated with specific roles, tasks or areas of work.** |  |
| 1. Procedure to identify training needs for specific roles, tasks, or areas of work (e.g. training needs assessment or training plan linked to hazard management).   *Page 61 of the H&S Guide outlines the procedure to determine the training and supervision need.* | Yes |
| **3. All health and safety information and training is delivered so that the key messages are clearly understood, taking into account language, literacy, vision, hearing or other variables.** |  |
| 1. A process to determine that health and safety information and training have been understood.   *Page 61 of the H&S Guide outlines how to develop a plan to deliver appropriate training and supervision.* | Yes |
| 1. Signed employee training records (or similar individual verification).   *Show proof.* | No |
| 1. Evidence that task-specific training has occurred (e.g. certification, training records or similar where applicable).   *Show proof.* | No |
| 1. A process for ‘bring-up’ reminder facility for recurring training or certification requirements including assignment of responsibilities for this process.   *Have you included this bring up reminder in the record of training, or in the hazard register, or in some kind of computer program. Detail the ‘how’ here.* | No |
| 1. Evidence to demonstrate that competency has been achieved following specific health and safety training (e.g. written or oral tests, certifications, practical skill demonstrations including on-the job assessments).   *Page 63 of H&S Guide – how to you measure and check for competency. Detail here.* | Yes |
| **4. There is access to internal staff members with the relevant skills, experience or qualifications to undertake training.** | |
| 1. Guideline document (or similar) outlining health and safety trainer selection criteria.   *Page 62 of the H&S Guide details how a record of training should be built, and includes annotating the competency level of a particular person i.e. whether they are competent to supervise. You must complete this work, and detail how you determine when a person is competent to supervise.* | No |
| 1. Records of internal trainer’s skills, experience or qualifications.   From the work above. | No |
| **5. There is a process to determine the relevant skills, experience or qualifications of external trainers used for specific training requirements.** | |
| 1. Selection criteria or similar for use of external trainers (where applicable).   *Detail how you assess external trainers eg are they part of an industry recognised company, or are a certified member of a professional industry body?* | No |
| **6. There is a system for controlling health and safety-related documents and information including the dissemination of applicable information to staff and notification of outdated documents.** | |
| 1. Document control system (paper based or electronic).   *The H&S Manual is reviewed according to Appendix B, the Annual H&S Plan.* | Yes |
| 1. Dates on health and safety documents at operational sites.   All documents have dates. | Yes |
| 1. Role-specific responsibilities to review health and safety documentation control.   *As detailed in the H&S Manual, Appendix B - The Annual H&S Plan.* | Yes |
| **7. Health and safety information specific to the workplace is available to all employees.** | |
| 1. Access to further information is included in health and safety information available in the workplace (e.g. posters, signs, training, intranet, briefings, meeting schedules or similar).   *Ensure information is available.* | No |
| **8. Supervision for employees undergoing on-the-job training is provided by experienced and skilled staff to ensure the employee’s newness to the task or role does not endanger themselves, others or equipment.** | |
| 1. A process that requires assessment of relevant experience and skills for the supervision of employees undergoing on-the-job training.   *Page 61 of the H&S Guide outlines the procedure to determine the training and supervision need according to the hazard(s) within the job. .* | Yes |
| 1. A process for the clear designation of responsibility for supervision of new employees.   *Page 62 of the H&S Guide outlines the procedure to determine the training and supervision need. Ensure the Record of Training has assigned and approved supervisors.* | No |

**Critical element five –Incident and injury reporting, recording and investigation**

**Objective**

*The employer has an active reporting, recording and investigation system that ensures incidents and injuries are reported and recorded, and the appropriate investigation and corrective actions are taken. The terms incidents and injuries in this context include all ‘near miss’ or ‘near hit’ events, work-related illnesses and injury events that harmed or might have harmed any employee during the course of their work.*

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|  | Achieved  Yes/No |
| **1. There is a system for reporting, recording and analysing incidents, injuries and work-related illnesses.** | |
| 1. Documented procedure.   *H&S Manual.* | Yes |
| 1. Incident and injury (accident) reporting forms.   *Appendix A of the H&S Manual.* | Yes |
| 1. On-site incident and injury (accident) registers.   *Appendix A of the H&S Manual.* | Yes |
| 1. Procedures requiring early and prompt attention to all reported incidents and injuries.   *As detailed in the H&S Manual, including the flowchart process.* | Yes |
| 1. Collation of all injury and incident data into a central record for analysis.   *Provide evidence of H& Committee etc reviewing accident reports.* | No |
| **2. Employees understand their specific responsibilities to report incidents, injuries and workplace illnesses that have or might have harmed anyone in the workplace.** | |
| 1. Reporting systems available in all work areas (e.g. forms in hard copy or online).   *As detailed in the H&S Manual, including the flowchart process.* | Yes |
| 1. Staff communications, team briefings, health and safety meeting minutes.   *As detailed in the H&S Manual, including the flowchart process.* | Yes |
| 1. Examples of completed incident and injury reports (where applicable).   *If applicable i.e. you have had an accident, show completed report. Otherwise, annotate as N/A and inform the auditor this is a newly set-up H&S System.* | No |
| **3. When a serious harm occurs to an employee the Occupational Safety and Health Service (OSH) of the Department of Labour is notified as soon as possible and a written report is sent within seven days. (NB: There are other agencies that the employer may also need to notify to meet regulatory obligations, in the event of a serious harm injury.)** | |
| 1. Procedure to notify OSH including documented responsibility for notification.   *As detailed in the H&S Guide and Manual. The H&S Manual even visually depicts the process with a flowchart, which includes the DoL phone number.* | Yes |
| 1. Example(s) of notification within required timeframe when a serious harm injury has occurred (where applicable).   *If available.* | No |
| **4. The employer has a procedure to investigate incidents and injuries that harmed or might have harmed an employee.** | |
| 1. Incident and injury investigation procedure.   *As detailed in the H&S Manual, including the flowchart process.* | Yes |
| 1. Designated incident and injury (accident) investigators.   *As detailed in the H&S Manual, the H&S rep is the investigator.* | Yes |
| 1. Incident and injury (accident) investigation forms (forms in hard copy or online).   *Appendix A of the H&S Manual.* | Yes |
| 1. Incident and injury (accident) investigation example reports (where applicable).   *If available.* | No |
| **5. There is a procedure to ensure corrective action is undertaken in relation to any deficiencies identified during an investigation.** | |
| 1. Procedure for corrective action to be undertaken when deficiencies are identified in an investigation.   *As detailed in the H&S Guide. In particular, the Reporting and Investigations chapter and the actions of the H&S Committee under the Employee Participation chapter.* | Yes |
| 1. Feedback into hazard management included in the process.   *As detailed in the H&S Guide. In particular, the Reporting and Investigations chapter and the actions of the H&S Committee under the Employee Participation chapter.* | Yes |
| 1. Responsibility for corrective action is assigned, time-bound, signed and dated as part of an incident and injury investigation and includes training and injury prevention feedback (where applicable).   *Included in Appendix A of the H&S Manual.* | Yes |
| 1. Evidence of senior management involvement and follow-up (e.g. management minutes or communications).   *Provide evidence if available.* | No |
| **6. Injury and incident data is reviewed to identify trends and provide information to managers and employees that can be used in injury prevention initiatives.** | |
| 1. Process for at least annual review of collated data (e.g. minutes of meetings, distribution of findings to management and employees).   *As detailed in the H&S Guide. In particular, the actions required of the H&S Committee under the Employee Participation chapter.* | Yes |
| 1. Evidence of at least six monthly review of collated data (e.g. minutes of meetings, distribution of findings to management and employees).   *Provide evidence.* | No |
| 1. Evidence of injury prevention initiatives implemented where relevant (e.g. changes in work practices, specific training).   *Provide evidence.* | No |

**Critical element six – Employee participation in health and safety management**

**Objective**

*The employer will ensure that* all *employees have ongoing opportunities to be involved and to have their interests represented in the development, implementation and evaluation of safe workplace practices.*

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|  | Achieved  Yes/No |
| **1. There is a forum (or series of forums) to enable communication between the employer, employees and union and other nominated employee representatives on issues of interest and concern related to health and safety. (For a large or multi-site employer the number of forums should be appropriate to the size, type and geographic spread of the business, so that all employees have a ‘voice’ through to management.)** | |
| 1. Evidence of health and safety forum(s) that include the participation of management and employee representatives (e.g. minutes of meetings).   *Employee Participation of the H&S Manual.* | Yes |
| 1. Evidence of frequency of forum(s) at least quarterly (not applicable for new applications).   *New application.* | N/A |
| 1. Evidence of ongoing opportunity for joint involvement in injury prevention initiatives and, where applicable, injury management initiatives (e.g. planning notes, outcomes of joint initiatives)   *Provide evidence.* | No |
| 1. Evidence of consultative development, monitoring and review of health and safety policies, processes and performance at least annually (e.g. minutes of meetings, action plans, review documents).   *The Annual H&S Plan, Appendix B of the H&S Manual.* | Yes |
| **2. There is a process agreed to by employees, to support union and other nominated employee representative involvement in health and safety development, monitoring and review.** | |
| 1. Process for health and safety management that specifically supports employee involvement.   *Employee Participation of the H&S Manual.* | Yes |
| 1. Evidence of agreed process to elect or endorse union and other nominated employee representatives to support health and safety.   *Employee Participation of the H&S Manual.* | Yes |
| 1. Evidence that information on this process is readily available and communicated to all staff.   *Available in the Employee Participation chapter of the H&S Manual and the H&S Guide.* | Yes |
| **3. Health and safety training is provided to employees actively involved in health and safety management to assist in the development and establishment of safe workplace practices.** | |
| 1. Evidence that health and safety training has been undertaken within the last two years.   *H&S System which includes the Training Videos. Other evidence e.g. First aid courses etc* | No |

**Critical element seven – Emergency planning and readiness**

**Objective**

*The employer has an effective general emergency plan to manage emergencies likely to occur within any part of the organisation’s operation and to comply with legislative requirements.*

|  |  |
| --- | --- |
|  | Achieved  Yes/No |
| **1. There is a documented emergency plan that identifies potential emergency situations and meets relevant emergency service requirements.** | |
| 1. Evidence of identification of the range of potential emergency situations in the workplace that considers the type and location of the employer (e.g. chemical spills, earthquakes, management of emergency situations for employees working alone).   *As detailed in Emergency Planning and Readiness chapter of the H&S Manual.* | No |
| 1. Evidence of consideration of emergency service requirements.   *As detailed in Emergency Planning and Readiness chapter of the H&S Manual.* | No |
| 1. An emergency plan that includes the response required for the relevant identified emergency situations.   *As detailed in Emergency Planning and Readiness chapter of the H&S Manual.* | No |
| **2. Emergency procedures have been implemented and communicated with all employees and contract staff.** | |
| 1. Evidence that the emergency procedures have been implemented and communicated (e.g. signage, communications, training).   *As detailed in Emergency Planning and Readiness chapter of the H&S Manual.*  *Signage evident? Use page 67 of the H&S Guide to includes in the induction program.* | No |
| **3. Designated employee/s or warden/s for each work area trained to take control in an emergency.** |  |
| 1. List of designated employees known to all staff.   *As detailed in Appendix J of the H&s Manual (to be completed).* | No |
| 1. Training schedules and records.   *Provide records of Emergency drills, first aid training etc.* | No |
| 1. Evidence that review or refresher emergency training has been undertaken with designated employees within the previous year.   *Provide records of Emergency drills, first aid training etc.* | No |
| 1. Evidence of specific emergency training for designated staff according to identified potential emergencies in the workplace (eg. civil defence emergency training, advanced first aid certificates).   *Provide records of Emergency drills, first aid training etc.* | No |
| **4. There is periodic testing of emergency evacuation procedures at regular intervals – of no greater than six months apart.** | |
| 1. Record of emergency evacuation drills.   *Emergency drills are scheduled as part of the Annual H&S Plan (Appendix B of H&S Manual). Provide records of Emergency drills, first aid training etc.* | No |
| **5. There is a consultative review of emergency response procedures, after any practice drills and after any actual emergency event.** | |
| 1. Minutes of review meetings, particularly post critical event.   *Provide evidence e.g. H&S Committee minutes review the drill.* | No |
| 1. Evidence of update to procedures and plans (where applicable).   *The Annual H&S Manual is reviewed annually as part of the Annual H&S Plan.* | Yes |

**Critical element eight – Protection of employees from on-site work undertaken by contractors and subcontractors**

**Objective**

*The employer has a systematic approach to ensure that contractors, subcontractors and their employees do not cause harm to the employees of the principal while undertaking the work required by the contract. (NB: There are other specific duties required of the employer as a result of the health and safety in employment legislation that are not part of this programme’s requirements.)*

|  |  |
| --- | --- |
|  | Achieved  Yes/No |
| **1. Induction to on-site health and safety procedures is co-ordinated by a designated person/s for all contracted staff, including one off maintenance contractors or similar.** | |
| 1. Process for the induction of contractors and their staff, according to their level of involvement with employees in the workplace, and including sign-off by employer and contractor or subcontractor.   *The Contractors and Temporary Staff chapter of the H&S Manual details the process.* | Yes |
| 1. Designated person(s) to co-ordinate health and safety induction for contractors.   As detailed in the *Contractors and Temporary Staff chapter of the H&S Manual details the process.* | Yes |
| 1. Evidence of completed contractor induction (where applicable).   *Evidence if available.* | No |
| **2. Criteria to select and manage contractors include assessment of health and safety performance.** | |
| 1. Documented procedures (e.g. selection checklist or similar).   *Contractors and Temporary Staff chapter of the H&S Manual details the process. In particular, Appendix F, G, H and I include the forms use to pre-select, manage and review the Contractor’s performance.* | Yes |
| 1. Contractor plans include:  * Staff training and competencies * Current certification and permits * Declaration of the above signed by contractor.   *Contractors and Temporary Staff chapter of the H&S Manual details the process. In particular, Appendix F, G, H and I include the forms use to pre-select, manage and review the Contractor’s performance.* | Yes |
| **3. Health and safety expectations and responsibilities are written into contracts.** | |
| 1. Evidence that health and safety responsibilities are written into contracts (e.g. procedures, signed contracts).   *Appendix H of the H&S Manual.* | Yes |
| **4. There is a process to actively monitor the health and safety performance of the contractor at agreed regular intervals for the duration of the contract where relevant. (NB: Only applies to contract work undertaken on a site where there are employees of the principal present.)** | |
| 1. Evidence of review of worksite health and safety performance including dates and responsibilities.   *Appendix I of the H&S Manual.* | Yes |
| 1. Evidence of feedback from the contractor into hazard/identification and incident and injury reporting (where applicable).   *Provide evidence if able.* | N/A |
| **5. Post-contract evaluations include health and safety as part of the evaluation.** | |
| 1. Process for post-contract evaluation.   *Appendix I of the H&S Manual.* | Yes |
| 1. Evidence of completed post-contract evaluations (where applicable).   *Provide evidence if able.* | N/A |

**Critical element nine – Workplace observation**

**Objective**

*Under this section, there are a few systems-related requirements that need to be observed on each selected site that is visited as part of the independent audit. This will provide some indication of how the documented systems work in practice.(NB: This is NOT a detailed site inspection and should not be relied on to satisfy legal compliance. with other health and safety obligations.)*

|  |  |
| --- | --- |
|  | Achieved  Yes/No |
| **1. The auditor is able to observe some selected audit standard requirements in practice.** | |
| 1. Hazard registers.   *Complete Appendix D of the H&S Manual.* | No |
| 1. Evidence of assessment of hazards to determine their significance.   *As detailed in the H&S Register, Appendix D of the H&S Manual..* | Yes |
| 1. Current safety information on display.   *Yes, and online.* | Yes |
| 1. Incident and injury (accident) registers available in the workplace (hard copy or electronic).   *Appendix A of the H&S Manual.* | Yes |
| 1. Forms completed (where applicable).   *Provide copies if applicable.* | No |
| 1. Evidence of personal protective equipment in use according to what is appropriate to the area visited.   *If your hazard controls determined PPE was appropriate, then ensure it is in use!* | No |
| 1. Restricted areas of work are clearly marked.   *Confirm.* | No |
| 1. Escorting and signing requirements are in place for restricted areas of work.   *As detailed in the H&S Guide, one way to control a hazard is to restrict access to the hazard. If this is one of your controls, then the auditor will be looking for this in action.* | No |
| 1. Emergency evacuation procedures are clearly outlined (e.g. signs, posters, designated listed employees trained to take control in emergency e.g. wardens, first aiders).   *Confirm.* | No |
| 1. Emergency exits are clearly marked.   *Confirm.* | No |
| 1. Emergency equipment is clearly marked and current.   *Confirm.* | No |
| 1. Security log books, visitor registers (or similar) are provided.   *Required as in h. Above.* | No |
| 1. Personal protective equipment is available for site visitors (where applicable).   *If required.* | No |

**Critical element ten – focus group interview**

**Objective**

*The employer is able to confirm and validate hazard management systems through management and employee focus groups.*

|  |  |
| --- | --- |
|  | Achieved  Yes/No |
| 1. There is an understanding of what constitutes a hazard in the workplace.   *The answers to these questions can be easily taught and the information made available through the H&S System. Use the relevant video or chapters to instruct employees from the H&S Guide and Manual.* | ? |
| 1. There is an understanding of the process for hazard identification. | ? |
| 1. There is an awareness of respective responsibilities in the identification of hazards. | ? |
| 1. There is an understanding of the term ‘significant hazard’ and the hierarchy of controls in the management of these hazards. | ? |
| 1. There is an understanding of injury and incident reporting and recording requirements. | ? |
| 1. There is an understanding of injury or incident investigations including designated responsibilities and the role of the injured employee and the manager concerned. | ? |
| 1. There is an understanding of the responsibilities for corrective action resulting from an injury or incident investigation. | ? |
| 1. There is an understanding of how to initiate rehabilitation support and assistance for any injured employees. | ? |
| 1. There is an understanding of the process for union and other nominated employee representation and the way in which to raise health and safety issues. | ? |
| 1. There is an understanding of the emergency procedures in the workplace. | ? |
| 1. There is an understanding of how to initiate rehabilitation and of the support available from management for the early return to work of injured employees. | ? |

1. <http://www.acc.co.nz/PRD_EXT_CSMP/groups/external_communications/documents/guide/wcm000512.pdf> [↑](#footnote-ref-1)
2. The term ‘other nominated employee representative’ can refer to any non-union employee elected or endorsed by employees to represent employee interests. A non-union representative should not be a person selected by management to undertake this role unless employees also endorse the person in the role. [↑](#footnote-ref-2)