
System Audit Criteria

Audit Methodology

Below is a list of criteria that aims to assess the quality of an organisation's safety management system. The audit will verify that the plans, procedures and records of the organisation are likely to be sufficient to satisfy a reasonable regulator that the organisation has considered all relevant Occupational Health and Safety Acts, Regulations, and relevant guidance material and action has been taken to meet their intent.

Objective repeatable measures have been defined for each criterion. The scores have been defined so that 0 indicates sub standard performance, 1 indicates that a basic level of compliance with the criteria has been achieved but improvement is possible and 2 indicates a high standard has been achieved.

The importance or priority of each criterion is nominated. This importance rating should be used to prioritise your program to fix up problems identified in the audit. The following table indicates the time frame for corrective action to be completed for those criteria where you **score zero**. Action to improve other criteria should be completed prior to the next audit.

Follow up audits will check that you have fixed the problems identified and that what you have done is working.

Critical	Must be fixed before further work is undertaken
High	Must be corrected within a week
Medium	Must be corrected within a month
Low	Must be corrected before next audit.

This audit will be conducted by inspecting documentation and records in the organisation's office or at another mutually agreed location.

Percentages will be calculated for each section and an overall percentage will be calculated. Observations of evidence gathered will be recorded.

- Where a high standard of performance has been achieved observations will be recorded in green coloured text.
- Where improvement is possible observations and suggestions for improvement will be recorded in blue coloured text.
- Where as basic level of compliance was not observed then the observations and suggestions for improvement will be recorded in red coloured text.

System Audit Criteria

Contractor Information

Contractor Name	
Type of Work	
Number of Employees	
Hours Worked Annually	To work out frequency rates
Serious Injuries in last 12 months	
LTI's in last 12 months	
MTI's in last 12 months	
Persons Interviewed	

System Audit Criteria

Section 1: System Documentation

1.1 Legislated Responsibilities			
Criteria	Indicator	Rating	Importance
1.1.1. Duty of Care	Is there evidence that senior managers in the organisation understand the duty of care to employees, deemed employees and other parties who may enter a workplace?	0 = No 1 = Verbal Evidence 2 = Written Evidence	High
1.1.2. Duty to Consult	Is there evidence that senior managers in the organisation understand the duty to consult with employees and deemed employees?	0 = No 1 = Verbal Evidence 2 = Written Evidence	High
1.1.3. OH&S Advise providers	Does someone in the organisation understand requirement to obtain advice from suitably qualified OH&S Advisors?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.1.4. Register of Injuries	Does someone in the organisation understand requirement to maintain a register of injuries and illness?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.1.5. Register of Hazards	Does someone in the organisation understand requirement to maintain registers of hazardous substances?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.1.6. Risk Assessments	Does someone in the organisation understand requirement to maintain risk assessments?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.1.7. Training Records	Does someone in the organisation understand requirement to maintain training records?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.1.8. Health Assessment Records	Does someone in the organisation understand requirement to maintain records of health assessments including audiometric assessments (hearing tests)?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.2. Report responsibility			
1.2.1. Work Safe	Does someone in organisation know what incidents need to be reported to Work Safe? Part 5 OH&S Act 1985	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.2.2. Insurer	Does someone in the organisation know what injuries to report to their Workers Compensation Insurer?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.2.3. RTL	Does someone in the organisation know what incidents need to be reported to RTL Management?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium

System Audit Criteria

1.3. Registers			
1.3.1. Employees	Is there a list with the name of all employees?	0 = No 1 = List available but incomplete 2 = List complete	Medium
1.3.2. Service Providers	Is there a list of service providers including subcontractors, providers of advice, insurers and rehabilitation service provider?	0 = No 1 = List available but incomplete 2 = List complete	Medium
1.3.3. Plant and Equipment	Is there a list of all plant and equipment which indicates plant with hazardous noise levels?	0 = No 1 = List available but incomplete 2 = List complete	Medium
1.3.4. Substances	Is there a list of all substances used in work place?	0 = No 1 = List available but incomplete 2 = List complete	Medium
1.3.5. Hazardous Tasks	Is there a list of all tasks which indicates those involving hazardous manual handling, working at heights, exposure to hazardous noise and high risk construction work?	0 = No 1 = List available but incomplete 2 = List complete	Medium
1.3.6. Injury register	Is there a complying register of injuries?	0 = No 1 = Only serious injuries listed 2 = All injuries listed	Medium
1.4. System Documents			
1.4.1. Policy	Is there an authorised and communicated Health and Safety Policy	0 = No 1 = Available 2 = Available and reviewed	Medium
1.4.2. Hazard management procedure	Is there a documented hazard management procedure which is clear and well integrated into the SMS?	0 = No 1 = Available 2 = Available, used and reviewed	Medium
1.4.3. Job Safety Analysis	Is there a documented procedure for identifying and controlling hazards that are not covered by Safe Work Procedures?	0 = No 1 = Available 2 = Available, used and reviewed	High
1.4.4. Incident reporting procedure	Is there a document incident reporting procedure which complies with relevant legislation?	0 = No 1 = Available 2 = Available, used and reviewed	Medium

System Audit Criteria

1.5. Safe Work Procedures			
1.5.1. Written Procedures	Do written procedures exist for work functions where failure to "follow the rules" will or has resulted in an injury?	0 = None 1 = Most work functions 2 = All work functions	High
1.5.2. Nature of Hazard	Do the written procedures state the nature of a hazard giving rise to a risk?	0 = None 1 = Most procedures 2 = All procedures	High
1.5.3. Risk controls	Do the written procedures explain the measures to control the risk?	0 = None 1 = Most procedures 2 = All procedures	High
1.5.4. Appropriate Language	Is the language of the written procedures appropriate to the workplace?	0 = None 1 = Most procedures 2 = All procedures	High
1.5.5. PPE	Do the written procedures identify the appropriate personal protective equipment?	0 = None 1 = Most procedures 2 = All procedures	High
1.5.6. Consultation	Were the written procedures developed in consultation?	0 = None 1 = Most procedures 2 = All procedures	High
1.5.7. Authorised	Are the written procedures authorised?	0 = None 1 = Most procedures 2 = All procedures	High
1.5.8. Current	Are the written procedures current?	0 = None 1 = Most procedures 2 = All procedures	High
1.5.9. Safe Work Method Statement	Is a safe work method statement available for all high risk construction activities which describe the manner in which risk control measures are to be implemented?	0 = None 1 = Most procedures 2 = All procedures	High

System Audit Criteria

1.6. Employee Induction Processes			
1.6.1. Written Induction Process	Is there an employee induction process supported by written instructions?	0 = No 1 = Compliant 2 = Better than average	High
1.6.2. Hazard Assessment	Do employee induction processes outline how hazard assessment is undertaken in this organisation?	0 = No 1 = Compliant 2 = Better than average	High
1.6.3. OH&S Information	Do employee induction processes explain how employees are to give and receive relevant OH&S information?	0 = No 1 = Compliant 2 = Better than average	High
1.6.4. Issue Resolution	Do employee induction processes explain the issue resolution procedure?	0 = No 1 = Compliant 2 = Better than average	High
1.6.5. Disciplinary Procedure	Do employee induction processes explain the s25 duty from the <i>OH&S Act 2004</i> and outline an appropriate disciplinary procedure?	0 = No 1 = Compliant 2 = Better than average	High
1.6.6. WorkCover Claims	Do employee induction processes explain the WorkCover claims procedure?	0 = No 1 = Compliant 2 = Better than average	High
1.6.7. Consultation Procedures	Do employee induction processes explain the toolbox or consultation process?	0 = No 1 = Compliant 2 = Better than average	High
1.6.8. Emergency Procedures	Do employee induction processes explain emergency procedures?	0 = No 1 = Compliant 2 = Better than average	High
1.6.9. Working Alone	Do employee induction processes explain working in isolation arrangements?	0 = No 1 = Compliant 2 = Better than average	High
1.6.10. Bullying	Do employee induction processes explain the company's bullying policy?	0 = No 1 = Compliant 2 = Better than average	Medium
1.6.11. Sexual Harassment	Do employee induction processes explain the company's sexual harassment policy?	0 = No 1 = Compliant 2 = Better than average	Medium

System Audit Criteria

Section 2: Documented Hazard Identification

2.1. Major Hazards			
Criteria	Indicator	Rating	Importance
2.1.1. Manual Handling	Have manual handling hazards been considered for each task on the register?	0 = No 1 = Compliant 2 = Better than average	High
2.1.2. Noise	Has hazardous noise exposure been considered for each task on the register?	0 = No 1 = Compliant 2 = Better than average	High
2.1.3. Prevention of Falls	Have working at height hazards been considered for each task on the register?	0 = No 1 = Compliant 2 = Better than average	High
2.1.4. Confined Spaces	Have confined spaces been considered for each task on the register?	0 = No 1 = Compliant 2 = Better than average	High
2.1.5. Plant and Equipment	Has hazard identification been undertaken for all pieces of mobile plant?	0 = No 1 = Compliant 2 = Better than average	High
2.1.6. High Risk Construction Work	Have the hazards related to high risk construction work been identified?	0 = No 1 = Compliant 2 = Better than average	High
2.1.7. Hazardous Substances	Has hazard identification been undertaken for all hazardous substances?	0 = No 1 = Compliant 2 = Better than average	High

Assessment Rubric for above criteria

Compliant	Hazard assessments present and current.
Better than average	Hazard assessments comprehensive, supported by risk assessment and show evidence of active hazard management by identifying how the results of this assessment has led to a change in the workplace.

System Audit Criteria

2.2. Other Hazards			
Criteria	Indicator	Rating	Importance
2.2.1. Working Alone	Have the risks involved with working alone been identified, risks assessed and control measures implemented?	0 = Nothing 1 = Identifiable Procedure 2 = Hierarchy of Control Used	High
2.2.2. Poor Visibility	Have the risks involved with working in poor seeing conditions been identified, risks assessed and control measures implemented?	0 = Nothing 1 = Identifiable Procedure 2 = Hierarchy of Control Used	High
2.2.3. Fatigue	Have the risks of workplace fatigue been identified, risks assessed and control measures implemented?	0 = Nothing 1 = Identifiable Procedure 2 = Hierarchy of Control Used	Medium
2.2.4. Exposure to sun	Have the risks of exposure to the sun been identified, risks assessed and control measures implemented?	0 = Nothing 1 = Identifiable Procedure 2 = Hierarchy of Control Used	Medium
2.2.5. Slips and Trips	Have the risks of slips and trips been identified, risks assessed and control measures implemented?	0 = Nothing 1 = Identifiable Procedure 2 = Hierarchy of Control Used	High
2.2.6. Neighbours and Public	Have risks to neighbours and the public been identified, risks assessed and control measures implemented?	0 = Nothing 1 = Identifiable Procedure 2 = Hierarchy of Control Used	Medium
2.2.7. Violence, harassment and workplace stress	Has the risk of violence, harassment and workplace stress associated with the organization's activities, processes, products or services been identified, risks assessed and control measures implemented?	0 = Nothing 1 = Identifiable Procedure 2 = Hierarchy of Control Used	Medium

System Audit Criteria

Section 3: Controls

3.1. Purchasing			
Criteria	Indicator	Rating	Importance
3.1.1 Plant and Machinery	Are hazards assessed prior to purchase?	0 = Nothing 1 = Obtain Hazard ID from supplier 2 = Operators consulted	Medium
3.1.2. Chemicals and materials	Are chemical hazards assessed prior to purchase?	0 = Nothing 1 = Obtain MSDS from supplier 2 = Evidence of less hazardous substance chosen	Medium
3.1.3. PPE	Is there a process to manage the purchase of PPE?	0 = Nothing 1 = Records of issue maintained 2 = Assessment made to ensure AS compliant prior to purchase.	Medium
3.2. Plant Maintenance			
Criteria	Indicator	Rating	Importance
3.2.1 Inspection Records	Are inspection records of plant available and appropriate?	0 = No 1 = Compliant 2 = Better than average	Medium
3.2.2 Maintenance Records	Are records of planned maintenance available and appropriate?	0 = No 1 = Compliant 2 = Better than average	Medium
3.2.3 Repairs and Alterations	Are records of repairs and alterations available and appropriate?	0 = No 1 = Compliant 2 = Better than average	Medium
3.2.4 Unsafe plant identification	Is there a process for unsafe plant and equipment to be identified and quarantined or withdrawn from service?	0 = No 1 = Compliant 2 = Better than average	Medium
3.2.5 Repairer Safety	Are appropriate controls used to ensure the safety of a person working on or near plant and equipment that is in the process of being cleaned, serviced, repaired or altered?	0 = No 1 = Compliant 2 = Better than average	Medium
3.2.6 Pre-use check	Do competent personnel verify that plant and equipment is safe before being returned to service after repair or alteration?	0 = No 1 = Compliant 2 = Better than average	Medium

System Audit Criteria

3.3. Sub-Contractors			
Criteria	Indicator	Rating	Importance
3.3.1. Written Contracts	Are all sub- contractors engaged using a written contract that specifies health and safety requirements?	0 = No 1 = Compliant 2 = Better than average	Medium
3.3.2. Workers Compensation Insurance	Do all sub-contractors provide evidence of current worker's compensation insurance?	0 = No 1 = Compliant 2 = Better than average	Medium
3.3.3. Public Liability Insurance	Do all sub-contractors provide evidence of current public liability insurance?	0 = No 1 = Compliant 2 = Better than average	Medium
3.3.4. Current Competencies	Do all sub-contractors provide evidence of current assessments of competency for all employees?	0 = No 1 = Compliant 2 = Better than average	Medium
3.3.5. Hazard Assessments	Do all sub-contractors provide evidence of current hazard assessment of equipment, including noise?	0 = No 1 = Compliant 2 = Better than average	Medium
3.3.6. SMS	Is there evidence that sub-contractors have a safety management system compliant with the requirements of this audit?	0 = No 1 = Compliant 2 = Better than average	Medium
3.3.7. Maintenance Checklists	Do all subcontractors provide evidence of current completed maintenance checklists?	0 = No 1 = Compliant 2 = Better than average	Medium
3.3.8. Working Hours	Do all subcontracted trucks provide evidence of current records of working hours?	0 = No 1 = Compliant 2 = Better than average	Medium
3.4. Fitness to Work			
Criteria	Indicator	Rating	Importance
3.4.1. Medical	Are medical assessments obtained prior to hiring new employees?	0 = No 1 = Compliant 2 = Better than average	Medium
3.4.2. Allergies	Is there are records of allergies maintained for all employees	0 = No 1 = Compliant 2 = Better than average	Medium

System Audit Criteria

3.5. Training and Awareness			
Criteria	Indicator	Rating	Importance
3.5.1. Licences	Are records maintained of all relevant Licences for all employees?	0 = Nothing 1 = Checked last 3 years 2 = checked within 12 months	Critical
3.5.2. Task based competencies	Assess records of all operators. Are records of attainment held for relevant National Competency Standards?	0 = Nothing 1 = Most employees 2 = All employees	Critical
3.5.3. First Aid	Are there enough first aiders with evidence of current training to deal with any foreseeable injury?	0 = Nothing 1 = At least one first aider per crew 2 = More than one first aider per crew	High
3.5.4. OH&S – general	Have all personnel had basic OH&S training, e.g. red card?	0 = Nothing 2 = Records held	Medium
3.5.5. OH&S – reps/managers	Have managers or health and safety representatives had formal training?	0 = Nothing 2 = Have attended training for managers or safety rep	Medium
3.5.6. Job Induction	Have all employees had the health and safety rules of the business explained to them?	0 = Nothing 1 = Most employees 2 = All employees	High
3.5.7. Safe Work Procedure	Have employees been formally shown their safe work procedures?	0 = Nothing 1 = Most employees 2 = All employees	High
3.5.8. Site Induction	Are visitors to the work place provided with adequate information to ensure they are not put at risk by your operations?	0 = Nothing 1 = Most visitors 2 = All visitors	High

System Audit Criteria

Section 4: Emergency Preparedness

Criteria	Indicator	Rating	Importance
4.1. First Aid	Are records maintained of the condition of first aid facilities?	0 = nothing 1 = at least annually 2 = each quarter	Low
4.3. Evacuation	Is there an identifiable procedure to evacuate an injured person?	0 = nothing 1 = Evidence of communication of written procedure to most employees 2 = Evidence of communication of written procedure to all employees	High
4.4. Fire	Is there an identifiable procedure to control any likely fire emergency?	0 = nothing 1 = Evidence of communication of written procedure to most employees 2 = Evidence of communication of written procedure to all employees	Medium
4.5. Spill	Is there an identifiable procedure to control a fuel or oil spill?	0 = nothing 1 = Evidence of communication of written procedure to most employees 2 = Evidence of communication of written procedure to all employees	Medium
4.6. Protest	Is there an identifiable procedure to deal with protesters?	0 = nothing 1 = Evidence of communication of written procedure to most employees 2 = Evidence of communication of written procedure to all employees	Medium

System Audit Criteria

Section 5: Self-Checking

Criteria	Indicator	Rating	Importance
5.1. Work Practice Check	Are documented checks of compliance with documented safe work procedures?	0 = nothing 1 = At least quarterly 2 = Monthly	High
5.2. Health Monitoring Records	Is the health of employees exposed to specific hazards monitored, recorded, reported and action is taken to address any adverse effects where specified by legislation?	0 = No 1 = Compliant 2 = Better than average	High
5.3. Working Hours	Are working hours recorded for all employees?	0 = nothing 1 = Records of working hours for some employees 2 = Records of working hours for all employees	High

System Audit Criteria

Section 6: Report and Review

6.1. Incidents			
Criteria	Indicator	Rating	Importance
6.1.1. Notification of authorities	Have all notifiable incidents during period since last audit been notified where appropriate?	0 = No 1 = Compliant 2 = Better than average	High
6.1.2. Investigation	Have root causes been identified for all incidents during period since last audit?	0 = No 1 = Compliant 2 = Better than average	High
6.1.3. Controls	Have appropriate controls been identified for each root cause?	0 = No 1 = Compliant 2 = Better than average	High
6.1.3. Preventative Action	Has action been undertaken following incidents to prevent similar occurrences?	0 = No 1 = Compliant 2 = Better than average	High
6.1.4. Control Effectiveness	Has action preventative action been evaluated for its effectiveness?	0 = No 1 = Compliant 2 = Better than average	High
6.1.5. Close Out	Have the appropriate parties been notified of this close out?	0 = No 1 = Compliant 2 = Better than average	High
6.2. Other Reports			
Criteria	Indicator	Rating	Importance
6.3.1 Toolbox Minutes	Is there a regular pattern of toolbox meetings?	0 = Nothing 1 = Tool box minutes kept 2 = Minutes shared amongst work groups	Medium
6.3.2 Safety Alerts	Is there evidence that RTL Safety Alerts are brought to the attention of employees?	0 = No 1 = Compliant 2 = Better than average	Medium
6.3. Audits			
Criteria	Indicator	Rating	Importance
6.2.1 Close Out	Have all audit recommendations been closed out within the nominated time?	0 = No 1 = Compliant 2 = Better than average	High

System Audit Criteria

Version Information

Original version was developed in December 2008 in consultation with RTL management and selected suppliers.
