"TRISAFE" MANAGEMENT SYSTEMS AUDIT



Workplace Management Auditor Instructions

BACKGROUND

Government, industry and the wider community need to make a continued and significant commitment to further controlling death, injury and disease exposure in Queensland workplaces. Industry must take greater responsibility, in partnership with government, to drive improvement at the workplace level.

The goal of the Workplace Health and Safety Program is simple and outcome-focused: to reduce the risk of work-related death, injury and disease.

Objectives available to achieve this overall goal include assisting employers to establish and maintain effective systems to manage risks to the health and safety of workers and others arising from the nature of work performed, equipment, materials and substances used, and the work environment.

One fundamental strategy to achieve this objective is the use of Systems Management Audits. This type of audit is carried out by suitably qualified auditors at enterprise or workplace level and will measure the effectiveness of management systems by workplace outcomes. The auditor chosen should have studied or possess qualifications in OHAS or have extensive experience in the application of management systems and work processes used in the industry concerned.

OPERATIONAL REQUIREMENTS OF THE AUDIT

Overview

The audit program consists of 10 categories which form the health and safety management systems framework. Within each category are criteria which detail the standard applied by the auditor

The audit is conducted at three levels within the workplace: first the employer, second the line manager and lastly the worker. At the employer level a quantitative score is allocated to each criteria. This score must be supported by the auditor's written notes compiled during the three levels of investigation. No score is required for the line manager or worker audit. A qualitative assessment at these levels will confirm or otherwise the score allocated at the employer level.

Provision for recording notes is made at the end of the Employer questionnaire

How to conduct an audit and tools available for use



General Approach

Prior to the audit an opening meeting is held with workplace management. At this meeting the auditor explains how the audit is to be conducted, the aim of the audit and how the results will be communicated to management. At the conclusion of the audit a closing meeting is held to advise of preliminary findings and conclusions and provide a final opportunity for management to present additional evidence. The emphasis is on management methods and behaviour and not on individual personality, attitude or performance. The questions used to assess the organisation are based on the ten criteria looked for in a workplace health and safety 'best practice' organisation and the implementation and effectiveness of those criteria at the 3 different levels within the organisation.

A comments page is provided at the end of each of the three sections in the package



The Audit Process

► Employer Questionnaire

The ten criteria considered are:-

- 1. Health and Safety Policy Communication
- 2. Allocation of Responsibility/Accountability
- 3. Suppliers, Sub-contractors and Purchasing Controls
- 4. Health and Safety Consultation
- 5. Hazard Identification, Evaluation and Control
- 6. Provision of Information
- 7. Training
- 8. Workplace Specific Issues
- 9. Reporting and Investigation
- 10. Emergency Planning

Scoring

Within each of the ten criteria are 5 possible levels of achievement. The auditor must address each of the questions contained in each section and assess (from answers and evidence supplied by management) what level applies to that organisation for that criteria. It is possible to award half marks. The scoring is from 0 to 4 with level "\overline{\mathbb{E}}" attracting a score of zero and level "A" attracting a score of 4. To assist in assessing the score the auditor should consider the intent statements located at the commencement of each criteria. In addition the following table details the evidence required by the auditor to gain the various levels possible in the scoring scale:

Level No Within Each Category	Score	What the score means
E	0	Criterion has not been considered, or is non-existent
D	1	A strategy or control has been developed and a plan for
		implementation is in place.
С	2	Plan has been implemented in most areas and results or outcomes are
		being monitored
В	3	Strategy / control is in place in all relevant areas, achieving positive
		trends, and results of monitoring used to improve the strategy/ control
А	4	The control / strategy is reviewed using external benchmark
		comparisons and results/outcomes are amongst "best in class" in
		this field
	l	

To assist in arriving at a score the auditor should record comments using the 'note pages' provided for each of the categories. These note pages are located at the end of this audit package (see page 58). Scoring is possible in half mark increments.

► Line Manager Questionnaire

Having completed the employer questionnaire the auditor must now move on to the line manager questionnaire. This document contains questions relating to each of the ten criteria. The purpose of these questions is to validate the evidence collected during the employer interview and consequently verify the score allocated. Once again comments should be recorded in the appropriate section of the 'notes pages'.

▶ Worker Questionnaire

Having completed the line manager questionnaire the auditor must now move onto the worker questionnaire. This document contains questions relating to each of the ten criteria. The purpose of these questions is to validate the evidence collected during the employer interview and consequently verify the score allocated. Once again comments should be recorded in the appropriate section of the 'notes pages'.



Weighted Scoring

The following chart demonstrates how to calculate your total score

Category	Max Score	Weighting	Total Max Score
1	4	3	12
2	4	3	12
3	4	5	20
4	4	6	24
5	4	12	48
6	4	7	28
7	4	8	32
8	4	12	48
9	4	8	32
10	4	8	32

Total Maximum Score 288

In order to demonstrate that a minimum management standard exists an organisation must achieve a total score **equal to or exceeding 155 (53%).**

In order to demonstrate that a moderate management standard exists an organisation must achieve a total score **equal to or exceeding 176 (61%).**

In order to demonstrate that an excellent management standard exists an organisation must achieve a total score **equal to or exceeding 233 (81%).**

The following chart may be filled in to arrive at your total score:

Category	Your Score	Weighting	Total Max Score (multiply your score for each category by the weighting)
1		3	
2		3	
3		5	
4		6	
5		12	
6		7	
7		8	
8		12	
9		8	
10		8	

Your Total Score



Reporting Suggestions

The report should include:

- a) a total score
- b) a comparison graph across the ten categories
- c) assessment for each criteria highlighting any evidence collected during the line manager and worker audit which resulted in the auditor revising the initial score awarded after the employer audit.
- d) an overall assessment (executive summary) of the organisation's performance in relation to workplace health and safety management systems and areas requiring immediate improvement. In arriving at an over all assessment have regard to the importance of each category. The skilled and experienced auditor will consider that in certain circumstances a poor result with respect to category five (Hazard Identification, Evaluation and Control) for example may still result in a poor assessment even if many of the other categories receive a good score.
- e) allocation of the appropriate level depending on the score

TRI SAFE EMPLOYER EVALUATION

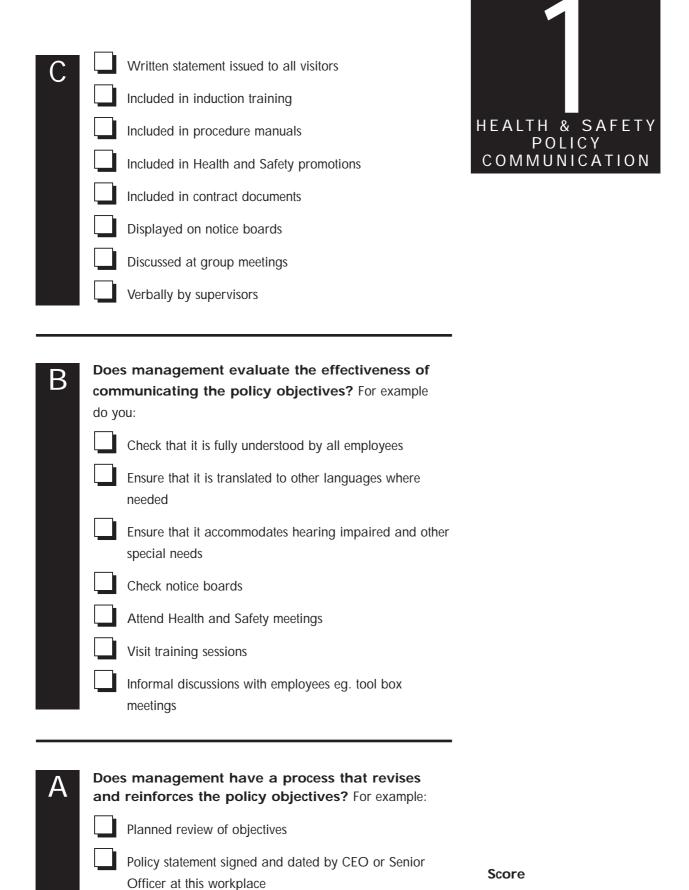
- The actual existence and communication of objectives in the area of Health and Safety as part of a company's operations.
- The actual existence of a written policy statement which deals with communicating an employer's goals and undertakings.
- Whether such undertakings are integrated with induction materials and incorporated in duty statements, procedure manuals or job descriptions.
- Whether such undertakings appear as a policy statement for posting around the workplace.
- Whether all such material is subject to review and if so how often
- Whether evidence of executive management commitment and effective communication of that health and safety policy exists, eg. specific policy statements referring to accident/incident reporting, contractor and purchasing controls, training etc

E	Has management identified a need for a company Health and Safety Policy? (A written policy is preferable but not essential.)	
D	Does the Policy include the following objectives? Protection of employees and others Expectations of managers and employees, and General statement of management's response to accidents/incidents in the workplace (Must have all three elements)	
С	Does management communicate the policy objectives to all employees and others at this workplace? For example: Written statement issued to all employees	Score 0 1 2 3 4

HEALTH & SAFETY

POLICY

COMMUNICATION



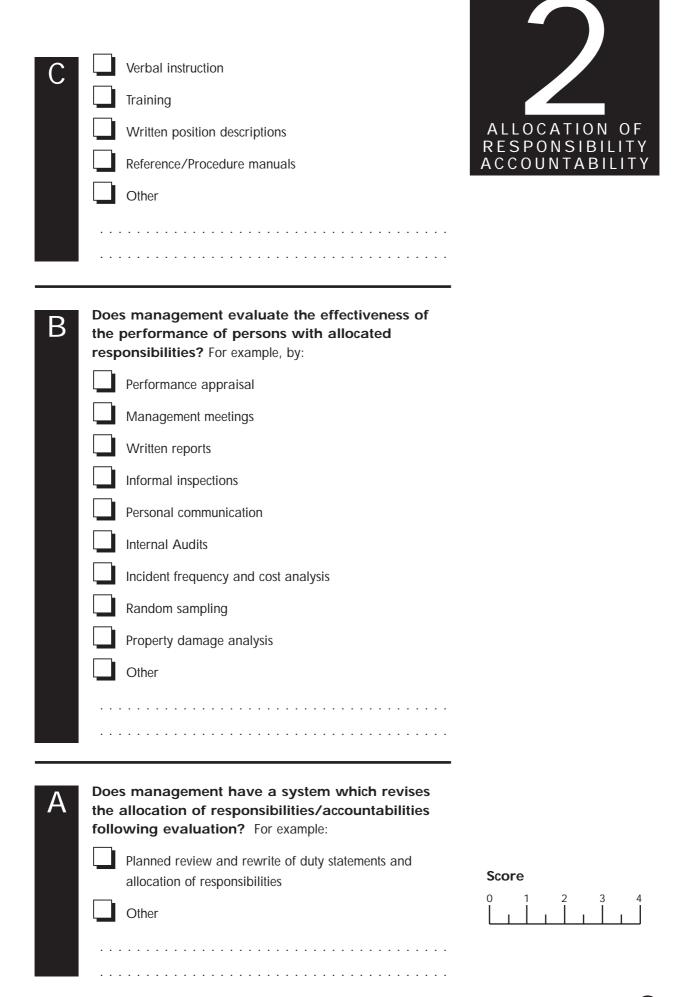
- Whether managers have been delegated specific responsibilities in the area of health and safety as part of their management function.
- Whether evidence of this delegation is supported by written documentation.
- Whether where managers have been delegated responsibility, their level of understanding and method/extent of accountability to executive management for discharge of these responsibilities is adequate.
- Whether the demonstration of a manager's ability to carry out these responsibilities is performance based and integrated with other measures of performance, eg. productive, lost time, damage minimisation.
- Whether evidence exists of regular reporting, preferable in written form and to a particular format.
- Whether key performance indicators have been established for health and safety performance in each area of responsibility.
- Whether Workplace Health and Safety Officer has been appointed, trained and resourced as required by legislation.

Ε	Has management identified the positions responsible for achieving specific Health and Safety objectives?	
	Yes No	
	If yes, indicate or refer to the "Responsibility Table"	
	And the second s	
D	Are there company standards for the allocation of responsibilities and accountabilities? For example:	
	Legislative requirements	
	Reporting requirements	
	Level of authority	
	Location and number of work sites	
	Resources available eg. staff and equipment	
	Assessing personal capabilities	
С	Does management communicate responsibilities/accountabilities to line management and others? For example, by:	Score 0 1 2 3 4
	Written duty statements	

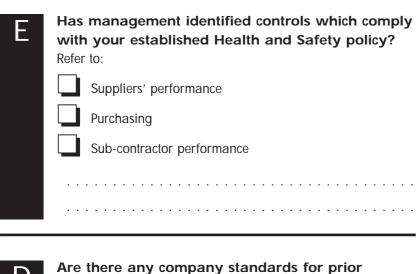
ALLOCATION OF

RESPONSIBILITY

ACCOUNTABILITY



- Whether the employer is aware of all obligations pursuant to the Workplace Health and Safety Act 1995 (the "Act")
- Whether in relation to specific obligations pursuant to the Act evidence (preferably in written form) exists of a system requiring contractors/suppliers to conform to the company's workplace health and safety standards and procedures
- Whether evidence (preferably in written form) exists that the purchasing system takes account of these standards and requires appropriate authorisation as a prerequisite to ordering goods and services.
- Whether in relation to specific obligations pursuant to the Act evidence (preferable in written form) exists that where the company is a designer, manufacturer, importer; or, supplier of plant or erector/installer of plant or high risk plant; or, a manufacturer, importer or supplier of substances for use at workplaces that account is taken of the company's workplace health and safety standards and procedures, eg. a company may import chair components and assemble (as original equipment manufacturers) the components as chairs. In this case the company may be deemed to be a designer (as well as a manufacturer) and employer and will be subject to the specific obligations of each of these areas of responsibility pursuant to the Act.





ر	evaluation and the control of suppliers, sub-contractors and purchasing? For example:	
	Legislative requirements eg. design standards	
	Nature of materials/equipment used and work performed	
	Risk assessment	Score
	Signed contracts	0 1 2
	Storage and disposal	
	Sub-contractor induction training	

С	Has management implemented measures to control new risks associated with products, suppliers or sub-contractors arriving at this workplace? For example:
	Training in the use of new materials and equipment
	Control (check) mechanisms
	Coordination of sub-contractors
	Selection of placarding and signage
	Sighting of maintenance certificates
	Review methods of work
	Delivery of goods
	Security and restricted entry
	Internal communication
	Other
	· · · · · · · · · · · · · · · · · · ·
В	Does management have a system which evaluates the effectiveness of these control measures and items purchased? For example, does this evaluation include the following:
	Supervision
	Periodic Reporting
	Compliance with contract
	Analyse reports/inspection outcomes
	Visual inspection
	Specific checking
	Specific checking Other
Α	

- Whether evidence exists (preferably in written form) of the ability of an
 employer to consult within its own workforce as part of its management
 of the health and safety aspects of its operations, eg. the adequacy of
 the method used to address the information and consultative needs of an
 employer will depend on the size, complexity or diversity of operations.
- Whether it is appropriate to consider the functions of a Health and Safety Officer, Health and Safety Representatives or Health and Safety Committees.
- Whether evidence (preferable in written form) exists that work
 processes are being carried out with full knowledge of current
 information as to health and safety effects of such processes, eg. the
 use of industry and government data may be appropriate.



Ε	Has management identified appropriate consultative processes to discuss Health and Safety issues at this workplace? Yes No	
D	Is there a company standard for Health and Safety consultation? For example, does it consider:	
	Legislative guidelines	
	Workplace specific needs	
	Employee requests	
	Industry standards	
	Award requirements	
	Organisation size and complexity	
	Frequency of meetings	
	Other	
С	Has management implemented consultative processes to address health and safety issues at this workplace? For example:	Score 0 1 2 3 4
	Health and Safety committees	
	Election/nomination of WHS representatives by employees	

Continued	Use of external consultation Toolbox meetings Other	HEALTH & SAFETY CONSULTATION
В	Does management evaluate the effectiveness of its health and safety consultative processes? For example, are checks made to ascertain whether the following occur: Employee participation is evident Meetings are held regularly Committee recommendations are implemented Senior management is represented on the committees Committee minutes circulated and posted Other	
A	Does management have a system for regularly revising its health and safety consultative processes? For example: Formal committee objectives Evidence of formal review systems Reports or direction from management Replacement process for committee members Other	Score 0 1 2 3 4

- Whether in addition to the delegation of the health and safety function to a coordinating position (as discussed at category 3) evidence (preferably in written form) exists of a system which will identify, evaluate and control hazards in and around the workplace.
- Whether identification methods include both proactive and reactive strategies.
- Whether use of planned inspections, hazard reports, job observation and job analysis outcomes are combined with an evaluation of the consequences of previous incidents and accidents and statistics from accident records.
- Whether having identified the hazards, assessment of any potential risk materialising is based on:
 - 1. Probability calculated from previous records and knowledge of the work process eg. a falling object risk occurs once per day or week or month;
 - Frequency occurrence or exposure of employees by the 'exposure' probability factor eg. 10 employees exposed for 1 week or day gives the frequency;
 - 3. Severity of outcome an objective evaluation of 'worst case' outcome eg. loss of life, permanent disablement, lost time or minor injury.
- Whether having carried out an assessment as to the extent of any risk that the identified hazard poses appropriate methods of controlling risks are in place (use the hierarchy listed in '4' below).

Ε	Has management identified an appropriate system which: Identifies hazards Evaluates risks	1
	Controls risks	
D	Are there company standards which address hazard IDENTIFICATION? Do they include any of the following criteria:	
	Planned inspections	
	Critical part inspections	
	Review of accident/incident outcomes	
	External consultants	
	Job analysis	
	Job observation	
	Internal audit	
	Random inspections	Score
	Hazard reporting eg. problem solving teams	0 1
	Group meetings	
	Other	



D	How do you EVALUATE risks associated with the	
Continued	hazards identified? For example, do you consider:	
	Frequency of incidents with respect to persons performing similar tasks	HAZARD
	Duration (the length of time a person may be exposed to the hazard)	IDENTIFICATION, EVALUATION &
	Outcome (the potential severity of injury or disease)	CONTROL
	Problem analysis	
	What are you preferred methods of	
	CONTROLLING risks?	
	Eliminate hazard at source	
	Reduce hazard at source	
	Remove person from exposure to hazard	
	Contain hazard by enclosure or isolation	
	Reduce a person's exposure to the hazard	
	Utilise protective equipment	
	Have systems for hazard identification, risk	
C	evaluation and control been implemented? Evidence	
	(preferably written) that implementation involves a process of: Identifying hazards	
	Evaluating risks	
	¬	
	Controlling risks according to the hierarchy of controls	
	(Must have all three elements)	
B	Does management evaluate the effectiveness of these systems? Evidence that management regularly reviews:	
	Hazard inspection reports	
	Risk assessments	
	Safety committee minutes	
	Accident/Incident reports	
	Maintenance reports	
	Remedial action	
	kemediai action	
Α	Does management have a process that corrects and revises the hazard identification, risk evaluation and control system? Can you quote an	
	example where changes have occurred to a work procedure as a result of a risk assessment highlighting a particular hazard?	Score
	a result of a risk assessment nighting titing a particular hazaru?	0 1 2 3 4

- Whether the employer is able to demonstrate knowledge of or the ability to acquire knowledge of current workplace health and safety legislative requirements.
- Whether the employer is able to demonstrate knowledge or the ability to acquire knowledge of current manufacturers' and distributors' standards and information pertinent to their processes.
- Whether demonstrated knowledge or the ability to acquire knowledge results from the existence of systems which ensure that the employer is informed of changes as they affect operations.
- Whether evidence (preferably in written form) exists of a system which allows
 dissemination of 'change' information through the company, eg. the system
 may include development of new or changed job specifications and duty
 statements, displays on notice boards or inclusion in training programs.
- Whether evidence (preferably in written form) exists of a system which allows dissemination of relevant information to workplace visitors and that appropriate restrictions are placed on the movement of visitors into and through the workplace.
- Whether evidence (preferably in written form) exists of a system which allows dissemination of relevant information to persons outside the boundaries of the workplace to ensure their health and safety as a result of workplace operations.

Е	this workplace? For example, does this information include:				
	Legislative requirements				
	Codes of Practice				
	Australian Standards				
	Similarly, is information obtained relating to: Plant				
	Work processes				
	Manufacturing standards				
	Workplace specific issues				
	Equipment				
	Hazardous substances				
	Placarding				
	Other				
		Score			
D	Are there company standards/procedures at this workpl the following:	o 1 ace for	2	3	4
	Collecting information				



PROVISION OF

INFORMATION

D Continued	Regularly updating information Literacy and language considerations Maintaining information Disseminating information to appropriate persons Source eg. Government Department & Industry Association	PROVISION OF INFORMATION
C	Does management provide relevant information at this workplace? For example: Procedure manuals Maintenance manuals Procedures for high risk jobs Notice boards Risk Management manuals MSDS Reference manuals Group meetings Personal communications Other	
В	Does management evaluate the effectiveness of the information provided? For example: Testing awareness Job observations Quality of information Informal inspections Records review eg. Training manuals, Procedure manuals Other	
A	Does management have a process for revising and correcting this system? Can you provide some examples of changes to work practices or manuals that have occurred following the collection of new information?	Score 0 1 2 3 4

- Whether evidence (preferably in written form) exists that new workers are trained as part of a program. This may include company conditions and standards and deal with specific workplace risk controls and contingency measures, eg. emergency evacuation.
- Whether the written evidence takes account of the health and safety training needs of workers as they carry out their day to day activities.
- Whether such training includes newly created or changed jobs and takes into account job analysis outcomes and control measures developed as a result of hazard identification and assessment.
- Whether evidence (preferably in written form) exists to demonstrate
 that persons with designated responsibilities in the health and safety
 program receive and successfully complete structured competency
 based training enabling them to discharge their responsibilities, eg.
 accident investigation strategies and supervisory techniques.
- Whether evidence (preferably in written form) exists to demonstrate that a system is in place to ensure that appropriate training is undertaken and recorded.
- Whether evidence (preferably in written form) exists to demonstrate that the employer evaluates the effectiveness of any training program.

Ε	Has management identified training needs of all persons within this workplace? The following must have been considered: Types of occupations Health and Safety issues Tasks within occupations
	Tasks within occupations
	Critical tasks within occupations

	Critical tasks within occupations	
D	Are there company standards for the training prograticular. Iraining requirements of particular occupations What tasks within occupations require training What critical tasks within occupations require training Selection of trainer/training Attendance records Documentation of training Sub-Contractor induction	am which Score 0 1 2 3 4

TRAINING

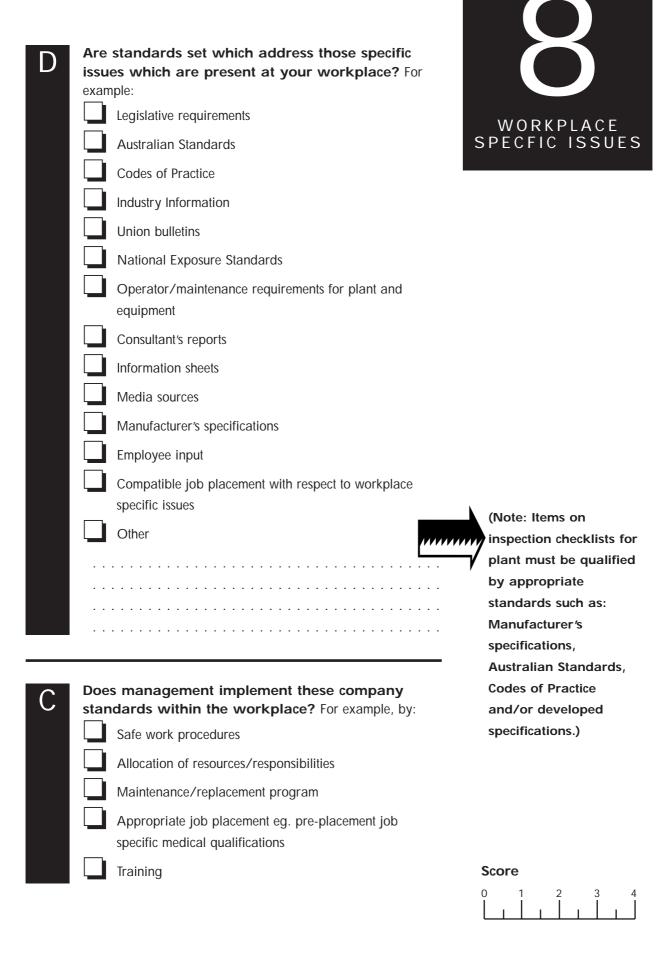
С	Does management ensure the implementation of the company training program? The auditor will look for evidence that the training is being implemented with reference to the following: Procedure manuals	TRAINING
	Maintenance manuals	TRATIVING
	Procedures for high risk jobs	
	Notice boards	
	Risk Management manuals	
	MSDS Reference manuals	
	Group meetings	
	Personal communications	
	Other	
В	Does management evaluate the effectiveness of the information provided? For example:	
В		
В	the information provided? For example:	
В	the information provided? For example: Testing awareness	
В	the information provided? For example: Testing awareness Job observations	
В	the information provided? For example: Testing awareness Job observations Quality of information	
В	the information provided? For example: Testing awareness Job observations Quality of information Informal inspections	
B A	the information provided? For example: Testing awareness Job observations Quality of information Informal inspections Records review eg. Training manuals, Procedure manuals	
B A	the information provided? For example: Testing awareness Job observations Quality of information Informal inspections Records review eg. Training manuals, Procedure manuals Other Does management have a process for revising and correcting this system? Can you provide some examples of changes to work practices or manuals that have occurred following the	Score

- Whether evidence (preferably in written form) exists that a system is in
 place to ensure that current legislative requirements as they impact on
 workplace specific operations are met, eg. a workplace where
 industrial lift trucks and cranes are used requires that the plant
 operators are duly certificated. Evidence is sought of a system which
 monitors the requirements and assures the necessary training and
 certificate are provided by and to the operator.
- Whether where plant is involved evidence (preferably in written form)
 exists of programmed maintenance, inspection and records of
 maintenance standards. Where contract maintenance is involved, the
 evidence must show that a system of verification of contract
 undertaking with defined standards is in place.
- Whether where personal protective equipment is utilised evidence (preferable in written form) exists to support the selection process. Such a process will take account of the risks associated with a particular job when selecting the appropriate personal protective equipment and must include training on correct wearing and maintenance requirements.
- In relation to hazardous substances whether the employer has evidence (preferably in written form) to support the existence of systems to ensure any or all of the following requirements where required by current legislation:
- risk assessment;
- competent staff, expert advice;
- register of hazardous substances and dangerous goods on site;
- storage;
- material safety data sheets (MSDS);
- appropriate signage.
- In addition to hazardous substances whether the employer has evidence (preferably in written form) of a system designed to identify and deal with health and safety risks associated with all other hazards listed in category 8.



Г	Has	s management identified the health and safety issue	s specific
	to t	his workplace, with reference to:	
		Certificates of Competency including prescribed	
		occupations	
		Design, installation and maintenance of plant and	
		equipment (as applicable)	
		Any of the specific issues listed below which may be	
		applicable at your workplaces	
	PH	SICAL HAZARDS	
		Noise	
		Electrical - shock, burns	Score
		Radiation - ultra violet, lasers, x-rays etc	0 1 2 3 4
		Thermal - heat, cold	
		Lighting - adequate illumination	

	Vibration - whole body and hand-arm	
	Gravity - falling objects, falls of people	
	Kinetic energy - projectiles, penetrating objects	WORKPLACE
	Mechanical energy - caught between, struck by or against	SPECFIC ISSUES
	STANCE/CHEMICAL HAZARDS porne	
	Dusts - eg. wood, asbestos, silica	
	Gases - eg. carbon monoxide	
	Fumes - eg. metal fume (welding, smelting)	
	Vapours - eg. solvents	
	Mists - eg. acid, solvent	
Skir	n Contact	
닏	Absorption - eg. pesticides	
닏	Corrosive - eg. acid, alkali	
닏	Defatting - eg. solvents	
	Photosensitisation - eg. Creosote affected skin exposed to sunlight	
	Allergic - eg. nickel, epoxy	
BIO	LOGICAL HAZARDS Bacterial	
ī	Fungal	
ī	Viral	
$\overline{\Box}$	Parasitic	
	IER HAZARDS	
	Ergonomics - fatigue, shiftwork, workplace design, stress, job variety	
	Manual handling - lifting	
	Alcohol and drug use	
	Environmental - effect of neighbour activities	
	Workplace violence and security	
	Other	Score
		0 1 2 3 4



С	Use of consultants Other	O
		WORKPLACE SPECFIC ISSUES
В	Does management evaluate the effectiveness of the systems? For example, have the following been provided:	
	Accident/illness data	
	First aid information	
	Local changed circumstances	
	Hygiene monitoring (environmental/air)	
	External consultants	
	Health and Safety Representatives/Officer	
	Formal surveys	
	Medical monitoring	
	Employee feedback	
	Workplace inspections	
	Health and Safety committees	
	Programmed inspections of plant, equipment and applicable records	
	Other	
Α	Does management have a system to revise and correct the process of controlling identified workplace specific issues?	
		Score
		0 1 2 3 4

- Whether evidence (preferably in written form) exists that any training and information systems include the requirements for reporting incidents and accidents by all workers to nominated persons.
- Whether evidence (preferably in written form) exists of a system to ensure that required records (Incident Record/Report) are maintained and investigation is undertaken in every case.
- Whether evidence (preferably in written form) exits to measure the
 employer's level of knowledge of activities in the business, eg. a review
 of the reporting responsibilities of managers or a sampling of incident
 investigation and corrective action taken may indicate the employer's
 ability to discharge their obligation.

а	Does management have a system for investigating and recording accidents/incidents, dangerous occurrences and work related illnesses?																									
ד																										
								•						•												
	Is there a company standard for investigating and																									
֡֟֝֝֟֝֟֝֝֟֩֟֝֩֟֩֟֩֟֩֟֩֟֩֟	reporting of accidents/incidents? Does this consider:																									

С	Does management implement these requirements for investigating and reporting accidents/incidents at this workplace? Do you consider any of the following: Positions nominated for recording/reporting Position/s nominated for investigation Other	REPORTING & INVESTIGATION
В	Does management evaluate the effectiveness of the investigation and reporting systems? For example: Report outcomes are analysed Random checks on compliance with systems	
	Safety committee feedback	
	Management checks the quality of information from investigations	
	Feedback received regarding corrective action	
	Other	
Α	Does management have a process which revises the investigation and reporting systems? Does this process consider: Conformity with current legislation	
	Changes made to company standards as a result of evaluation	
		Score 0 1 2 3 4

- Whether evidence (preferably in written form) exists that a formalised emergency evacuation plan has been developed taking into account the operational and geographical factors of each workplace.
- Whether evidence (preferably in written form) exists that any
 emergency evacuation plan contains procedures aimed at accounting
 for persons such as contractors and visitors to the workplace as well
 as workers.
- Whether evidence exists that appropriate equipment for emergency use is available, eg. fire extinguishers and special plant and equipment in case of toxic spills.

Has management identified the need for

First aid services/equipment

Emergency shutdown procedures

 Whether evidence (preferably in written form) exists of procedures which ensure review and upgrading of any emergency plan to accommodate changes in the workplace and surrounding environment.



E_	procedures to handle foreseeable emergencies	
	that may affect this workplace? For example:	
	Fire	
	Bomb threat/hold up	
	Chemical spill/leak	
	Flood	
	Cyclone	
	Medical emergency	
	Workplace specific emergency	
D	Have standard procedures been developed to	
D	handle these potential emergencies? For example, do they include provision for:	
	Any legislative requirements eg. fire services/placarding	
	Employees	
	Visitors on site	
	Neighbouring businesses	
	Surrounding community	Score 0 1 2 3 4
	Emergency services	

С	Has management implemented emergency procedures? For example, do the procedures include the following:	
	Appropriate persons have been nominated and their names and positions displayed and communicated	EMERGENCY PLANNING
	Training provided for nominated personnel	
	Appropriate equipment has been purchased and is available to emergency personnel	
	Employee awareness of emergency procedures	
	Relevant emergency authorities are part of the response plan	
	Regular maintenance of emergency equipment	
	Appropriate placarding, HAZCHEM, exits, fire extinguishers	
	Manifests are available	
В	Does management evaluate the effectiveness of its emergency procedures? For example:	
	Regular emergency drills for appropriate persons	
	Checking/testing of emergency equipment	
	Appraisal by appropriate emergency authorities	
	Performance appraisal of persons responsible for the	
	implementation of emergency procedures	
Α	Does management have a system which revises the appropriateness of current procedures? For	
	example, does it include:	
	Assessment of changing circumstances	
	Response to outcomes of the evaluation process eg.	
	unsatisfactory fire drill	
		Score
		0 1 2 3 4





TRI SAFE

LINE MANAGERS QUESTIONNAIRE





Organisation Name													
Workplace Description													
Auditors			 •				•	•	•	•			
Date of Audit													

Line Managers & Staff Positions

QUESTIONNAIRE

Line Management May Include:

- ▶ Department Head
- ▶ Person In Charge
- Construction Manager
- Project Manager
- ▶ Foreperson
- Supervisor

Staff Positions May Include:

- ► Health & Safety Officer
- Purchasing Officer
- ▶ Training Officer
- ► Emergency Co-ordinator
- ► Resource Officer

Note:
Persons In Positions
Similar To The
Above May Have
Other Titles
Or Perform Dual
Roles

Persons in line managers and/or staff positions are to be asked the questions which are appropriate to their responsibilities.

Depending on that persons responsibilities/accountability it may be necessary to ask questions from the specific sections of this document.

▶ Provision is made to record the responses of 10 persons in this questionnaire. If this is insufficient it will be necessary to use a second questionnaire or otherwise record the indivdual responses.

Line Managers And Staff Position



What is your position at the workplace?									
(record in columns)									
How long have you held this position?									
	Years								
110									
1.1.B. Can you tell me what is contained in the	company	He	alth						
& Safety policy?	Jan.,								
Satisfactory Respons	se Yes/no								
2.1.C.	.::::::	4	h	_					
When you were allocated your responsil	omities, we	ere i	ney	: 			l		
▶ included in written duty statement									
discussed verbally with you									
▶ clear & precise									
specific about your reporting requirements									
made know to employees									
226									
2.2.C. Have you been given additional training	to assist	vou	to						
undertake these responsibilities?	10 400.01	<i>,</i> • • •							
·	Yes/No								
					-				
2.3.C.									
In your opinion does management give your support and resources to comply with your support and resources to comply with your support and resources to comply with your support and resources.	-								
safety responsibilities?	a. nounn	<u>~</u>					<u> </u>		
	Voc /No								



2.4.B.

Is your performance regularly evaluated by management?

Satisfactory Response Yes/No											
3.0 Are you required to:											
purchase goods and services											
Yes/No											
► Organise and/or supervise sub-contractors and suppliers											
Yes/No											
If Yes, Complete Appropriate Part Of Section 3 If No, Go To Question 4.1											
SECTION 3A PURCHASE OF GOODS AND SERVICES											
3.1.C. Is a risk assessment carried out for goods and se before purchase?	rvices										
Satisfactory Response Yes/No											
3.2.C. When purchasing new items does your procedure you aware of any special requirements needed?	e make										
► chemicals, M.S.D.S., storage, signage.											
▶ plant & equipment (design standards)											
materials (manufacturer's information)											
personal protective equipment											
3.3.B. What is your procedure for advising management a of potential hazards created by new products? Satisfactory Response Yes/No	and others										



SECTION 3B SUB-CONTRACTORS AND SUPPLIERS	
3.4.C.	
Are sub-contractors required to adhere to your co	ompany
Health And Safety policy?	
Yes/No	
3.5.C.	
Before they commence work do you assess the 'r	methods
of work' provided by sub-contractors?	
Yes/No	
3.6.C.	
Do you have a procedure which controls the action	ons of
suppliers while they are visiting this workplace?	
Satisfactory Response Yes/No	
270	
3.7.C. What action do you take when a sub contractor of	or
supplier fails to meet your company Health and	
standards?	
Satisfactory Response Yes/No	
200	
3.8.B. Do sub-contractors attend meetings or receive ap	ppropriate
information on Health and Safety issues at this	, propriate
workplace?	
Yes/No	
3.9.B.	
Do you prepare reports for issues pertaining to:	
risk assessment	
consistency of contract documents	
maintaining a qualification register	
▶ maintenance register of plant/equipment	
evaluation of sub-contractor performance	



4.1.B.								
Are you required to prepare and submit reports to								
management which address Health & Safety issue	es at	this	6					
workplace?								
Yes/No								<u> </u>
Written	-						\vdash	
Verbal								
4.2.B.								
Are you required to participate in Health & Safety	1							
meetings?								
Yes/No								
4.3.B.								
How would you respond to any Health & Safety i	ssue	es.						
raised at this workplace?								
Satisfactory Response Yes/No								
5.0.								
Do you have a specific responsibility for identifying	haz	ards						
evaluating and controlling risks at this workplace?	IIaz	ai us	1					
Yes/No								
Tes/INO						 		
If Yes, Complete Section 5								
If No, Who has this responsibility								
Go To Question 6.1.C.								
SECTION 5 HAZARD IDENTIFICATION EVALUATION								
& CONTROL								
5.1.C.								
At this workplace, explain to me your procedure for	_							
 identifying hazards 								
evaluating risks associated with hazards	<u> </u>	1		_	_	—	\sqcup	<u> </u>

► controlling risks associated with hazards



5.2.C.										
How often are workplace inspections carried out?	?									
Daily										
Weekly										
Monthly										
5.3.B.										
Are you responsible for managing and reviewing:										
► hazard inspection & risk assessment reports										
safety committee reports										
▶ maintenace reports										
accident/incident reports										
► remedial action										
6.1.C.										
Satisfactory Response Yes/No 6.2.B. Do you discuss or provide Health & Safety inform	atio	n to								
employees or other persons under your control?										
Satisfactory Response Yes/No		<u> </u>			<u> </u>	<u> </u>			<u> </u>	
6.3.B. Have you any questions or concerns with regard to Health And Safety at this workplace, the Act, or any of the Advisory Standards and Industry Codes of Practice?										
7.1.C. Do you check whether employees/sub-contractors been adequately trained to do their work safely?		/e								
▶ induction										
new plant & equipment										



new materials/chemicals/hazardous sub.					
▶ new work procedures					
► hired equipment					
7.2.0					

_/	1 -
_//	 v

lave you specific responsibility for determining the training										
			_		_	Т				
				•						

If Yes, Complete Section 7 If No, Go To Question 8.1.C.

SECTION 7 TRAINING

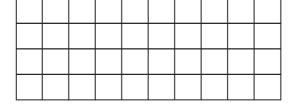
7.3.C.

Have you assessed the training needs of all persons at this workplace?

Yes/No

Seek evidence of:

- analysis of tasks within all occupations
- ▶ review of accident/incident records
- ► formal job observations
- ► critical tasks within occupations



7.4.C.

Do you address specific Health & Safety training?

For Example:

- ▶ induction training
- ▶ first aid
- emergency procedures
- ▶ accident investigation
- ► H & S officer training
- ► H & S resps training
- ► H & S for supervisors/managers



7.5.C. Can you show me documentation of training con	npleted										
by persons at this workplace?											
Document Produced Yes/No											
7.6.B.											
How do you assess the benefits of training?											
Satisfactory Response Yes/No											
8.1.C.											
Before you ask a person to undertake a particul	ar task										
do you consider that person's capacity to underta											
	are the										
task safely?											
Satisfactory Response Yes/No											
8.2.C. Do you check employee's/sub-contractor's certificates of competency/qualifications prior to commencing work at this workplace?											
Yes/No											
8.3.C. Are you required to complete a risk assessment following? (a) Personal Protective Equipment Yes/No If Yes, how do you ensure it is worn & maintained? Satisfactory response Yes/No (b) Manual handling Yes/No	for the										

8.4

Have you a specific responsibility for the hire or maintenance of plant and equipment at this workplace?

If Yes, Complete Section 8 **If No,** Go To Question 9.1



SECTION 8 PLANT & EQUIPMENT MAINTENANCE	AND HIRE
8.5.C.	
Is your plant & equipment inspected and mainta safety before use by employees or others?	nined for
If Yes, How?	
Satisfactory Response Yes/No	
8.6.C. Is there a planned time when your plant and equato be inspected?	uipment is
Satisfactory Response Yes/No	
8.7.C. Do you keep accurate maintenance records of place equipment, both owned and hired? Records Produced Yes/No	ant and
8.8.B. Do you monitor breakdowns and accidents to de the effectiveness of the maintenace program? If Yes, How?	etermine
Satisfactory Response Yes/No	
9.1.C. Are you involved in accident investigation at this	
workplace?Yes/No9.2.C.If Yes, have you received any training in accident	t
Yes/No	t

9.3.

Do you have a specific responsibility for the investigation of accidents/ incidents?

If Yes, Complete Section 9

If No, Go To Question 10



SECTION 9. ACCIDENT/INCIDENT INVESTIGATION

EVALUATION AND CONTROL									
9.4.C.									
Is there a formal accident/incident investigation procedure	at thi	S							
workplace?				Т					
Yes/No									
If Yes, seek evidence to support a knowledge of the following	g:								
>									
► When do you complete a Incident/Record Report Form									
► Who assists in accident investigations?									
▶ Who evaluates accidents/incidents?									
► Who receives all reports?									
► Who will ensure remedial action is carried out?									
9.5.B.									
Are accident/incident statistics analysed to determ	nine								
trends?		1		Т			<u> </u>		
Yes/No									
If Yes, is there a check of:		T		Т			Ι		
► Workers' Compensation records				<u> </u>					
► Incident/Record Report Form		-		_					
► First aid records		_	_						
property damage analyses									
▶ adherence to reporting procedures by all									
10.1									
Is information regarding emergency procedures of	liscu	ssec	ł						
with employees and/or displayed openly at this									
workplace?									
Satisfactory Response Yes/No			1	1	<u> </u>	<u> </u>	<u> </u>		
10.2.B.									
Do you ensure that emergency equipment is prop	erly								
maintained?		1	1		1	1	I		
Fire fighting equipment Yes/No									
First aid room/box etc. Yes/No		1	1						

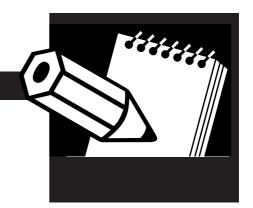




TRI SAFE

EMPLOYEE QUESTIONNAIRE

EMPLOYEE QUESTIONNAIRE



Organisation Name														
Workplace Description					•		٠	•			•			
Auditors				٠	•		•							
Date of Audit														

This questionnaire is confidential between the auditor and the persons interviewed. The specific information is not to be given to the employer.



What is your job?								
(record in columns)								
How long have you been employed at this workp	معداد	2						
Years	Пасс	<u>.</u>				Π	Π	
1.1-C								
Have you seen a written statement or been informed management of the Health and Safety policy at this w	-	laco	2					
yes/no	П	lace	: 					
1.2-C How did you become aware of the Health and Sa	ıfetv							
requirements at this workplace?								
► Induction training								
▶ Procedure manuals								
► Health and Safety Promotions								
► Group Meetings								
► Training Courses								
► Through your Supervisor								
► Through your Manager								
► Other								
1.3-B Can you tell me what the company Health and Sa	afoty.							
requirements are?	пету							
Satisfactory Response yes/no								
1.4-B					1			
Does management check as to whether you unde	rstar	nd						



3.1-C									
Are you told when and where sub-contractors working before their arrival?	will be)							
yes/n	0								
3.2-C									
Are you told about new materials, plant and e	quipm	ent							
before they are introduced into your workplac		_							
yes/n	o								
3.3-B									
Are subcontractors, suppliers and visitors supe	rvised	at							
this workplace?	_		Ι						
yes/n	0								
3.4-B	ma a da								
As a sub-contractor at this workplace, are you aware of your responsibility for keeping main									
records of plant and equipment?		-		1	<u> </u>	I	ı		
yes/n	o								
If yes, were these maintenance records checked by this of	ompany	1							
before you commenced work at this workplace?		_							
yes/n	o								
4.1-C									
Do the following positions exist at this workpla	ace?	$\overline{}$	Г	Π					
► Health and Safety Officer	-	+	\vdash						
► Health and Safety Representative	<u> </u>	+	-						
► Health and Safety Committee									
4.2-B									
Are you encouraged to provide input to Health	and S	afet	y						
meetings at this workplace?		_							
yes/n	o								
4.3-B									
If you raised a safety concern at this workplace	e, ho w	/							
would you rate the level of response?		Т	Г	Ι					
► Good	<u> </u>	+	_						
► Fair		+	_						
▶ Bad						<u> </u>			



	4 0
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Are you re	quired	to report	any	of	the	following	at	this
workplace	?							

workplace?						
► Injuries						
Unsafe conditions						
► Unsafe practices						
► Near misses						
To your knowledge are there any inspections carr to identify hazards and assess risks in any of the following areas?	ied (out				
► Your particular work area						
► The equipment you use						
► That you are doing your job safely						
 5.3-C If any inspections are carried out, how frequently they done? ▶ Daily ▶ Weekly ▶ Monthly ▶ Rarely 	/ are					
How would you rate this workplace in terms of controlling risks?						
► Good						
► Fair						
► Poor						
In your opinion are there any risks at this workpl which need to be addressed? yes/no Details of risks highlighted (to be passed on to management)	ace					
becaus of risks myringinied (to be passed on to management)						



If yes to 5.5, complete the following How would you rae the potential for injury from the risks? ▶ minor serious major How frequently are workers exposed to the risk? Rarely Occasionally ▶ Frequently Has it been reported? yes/no How long ago? ▶ 1 month ▶ 2 months ▶ 3 months 6.1-C If you are required to use chemicals/hazardous substances in your job, are you informed of any risks? yes/no Are Material Safety Data Sheets available? yes/no 6.2-C Is access to these chemicals/hazardous substances strictly controlled? yes/no 6.3-C Is there a notice board at this workplace which displays Health and Safety information? yes/no If no, are you aware of any other means to distribute Health and

yes/no

Safety information?



6.4-C Are you aware of any placarding/warning signs	that	are								
displayed at this workplace e.g. hearing protection										
be worn?	_									
yes/no										
6/5-B										
Do you believe these signs are complied with by										
employees and visitors?										
yes/no		_								
6.7-B										
Do you receive detailed information on how you perform specific tasks?	shou	ıld								
yes/no										
6.8-B										
Have you any questions or concerns with regard	l to									
Health and Safety at this workplace, the Act, or		of								
the Codes of Practice?										
	• • • • • • • •	• • • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •
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				• • • • • •		• • • • • •				
7.1-C	ro 1/0									
When you commenced work at this workplace we given induction training? (Including workplace spec	_		s)							
yes/no			ĺ							
7.2-C							<u> </u>	<u> </u>		
Were you given any training specific to your job	?									
► Formal training prior to doing job										
Supervised on the job training										
► Shown "The Ropes" by a workmate										
	L							L		



7.3-C		
Are you gi	ven additional	tra
following of	occur?	

Are you given additiona	I training when any o	f the						
following occur?				I	ı	1		
You are relocated								
► New equipment is introduce	ed							
► New work procedures are	introduced							
7.4-C								
Upon completion of any	• • •		_					
any documentation indicumentation indicumentation in an armonic and armonic armonic and armonic armonic and armonic armonic and armonic and armonic armonic and armonic armonic armonic and armonic armonic armonic armonic and armonic armonic armonic and armonic armoni		oated a	nd					
understood the training:	yes/ı	no						
7.5-B	yes/1	10		<u> </u>	l			
Has management talked	I with you about your	future						
training needs?								
	yes/ı	no L						
8.1-C								
Are you employed in an qualifications or a Certif	•	res						
For example:	icate of competency:							
► Crane Chaser	▶ Crane Operator							
▶ Demolisher	▶ Dogman							
► Explosive Tool Operator	Machinery Operator							
► Rigger	▶ Schaffolder							
► Welder	► Electrician							
► Plumber etc.								
riambor oto.								
	yes/ı							
If yes, has your employer as	ked you to produce your qu	alificatio	ns or					
a Certificate of Competency?	yes/i	, [
9.2.6	yes/1	10 <u> </u>		L	<u> </u>	<u> </u>		
8.2-C Have you ever been req	uired to perform work	in an						
occupation or which you	•		е					
qualifications or certifications	te of competency?					Π		
	yes/ı	no						



8.3-B Does you job require you to wear any Personal I	Prote	ctive	<u> </u>					
Equipment?								
yes/no								
If yes, does any one at this site ensure that:					 Ι	Ι	<u> </u>	
► Equipment is issued								
► Appropriate equipment is worn								
Appropriate equipment is maintained								
► Equipment is replaced when necessary								
8.4-B Have you been given any instructions in the corre	ect w	ays						
of lifting and moving objects?								
yes/no								
9.1-C In the event of an accident, work related illness of dangerous occurrence at this workplace, do you who to report to?		v						
who to report to? yes/no								
9.2-B If you have ever been involved in or witnessed a above at this workplace (9.1.C), indicate which of following took place?	_	f the	•					
•								
► The accident was investigated								
► Steps were taken to prevent it from happening again								
► The person was given more training								
► The employee was told to be more careful								
40.4.0								

yes no

procedure at this workplace?

Have you been told of any emergency evacuation



If yes, do you know what you are required to do following emergencies?	in any of the	Э									
following emergencies?	[
► Fire											
► Chemical spills											
▶ Bomb threats											
▶ Medical emergency											
➤ Site specific issues											
► Hold ups											
10.2-C											
Have you been advised of?	[_
▶ The sound of the evacuation alarm											
▶ The evacuation route											
▶ The assembly point											
► The use of fire extinguishers											
► Names of emergency officers											
10.4-B Have you been involved in an emergency at this workplace?	y evacuati	on	drill								
at this workplace.	yes/no										
If yes, when did this happen?											
	• • • • • • • • • • • • • • • • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •	• • • • • •		• • • • • •	• • • • • •
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Common States

NOTE PAGES

HEALTH AND SAFETY POLICY COMMUNICATION

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EMPLOYER				
INE MANAGER				
INE WAINAGER				
WORKER				





ALLOCATION	OF RES	PONSIBILI	тү/Ассои	NTABILITY	
EMPLOYER					
LINE MANAG	ER				
WORKER					





Suppliers, Sub-Contractors And Purchasing Controls

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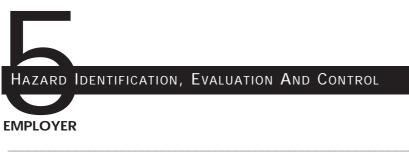
HEALTH

The intent of this category is to cover:

HEALTH AND SAFFTY CONSULTATIONS

HEALTH AND SAFETY CONSULTATIONS	
MPLOYER	
INE MANAGER	
VORKER	
VORKER	





Annual Control of the	
NOTES	

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INE MANAGER			
VORKER			
VORKER			

Provision Of	INFORMA	ATION _		
MPLOYER				
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NE MANAGER				
ORKER				
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TRAINING **EMPLOYER LINE MANAGER** WORKER



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Workplag

Workpl	ACE SPECFI	c Issues	5	
EMPLOYE	₹			
INE MAN	AGER			
VORKER				





REPORTING AND INVESTIGATION
MPLOYER
NE MANAGER
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Emergency Pla	NNING	
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DIVISION OF WORKPLACE HEALTH AND SAFETY