2021 WHS Self-Audit

User Guide

Safety&Wellbeing
WITH StateCover

Contents

Introduction

The StateCover Self-Audit provides councils with valuable information regarding their WHS performance, including benchmarking against previous performance and their peers. Results from the Self-Audit guide councils on where to focus their resources and assist StateCover to prioritise Member WHS initiatives.

Audit timeframe

Councils have 4 weeks to complete the audit. The online audit tool will open on **Monday 13 July 2021** and all audits must be submitted by the end of the day on **Friday 6th August 2021.**

A report summarising the findings of your audit will be sent out in **September 2021.**

Changes in 2021

As part of our continuous improvement approach, we have included additional guidance notes for each question. Section 2 responses will be similar but not directly comparable to last year's responses due to changes to the following questions:

- 5A and 5B (Psychosocial risks- client and public violence)
- 6B (Confined spaces)
- 8A and 8B (Managing the risk of falls).

The following questions in section 2 had minor wording changes, however there are no changes to the actual requirements they describe:

- 2A (Electrical safety)
- 16B (Management of traffic)
- 18C (Asbestos)
- 13A (Quarries).

Overview of StateCover WHS Self-Audit

This WHS audit consists of two sections:

Section 1 - WHS Management System: covers 14 elements of a WHS management system with a total of 30 questions to complete.

Section 2 - Specific Hazards/ Key Priority Areas: examines a range of hazards common to councils. This section contains 18 types of hazards and has 36 questions to complete.

Instructions for completing Section 1: WHS Management System

Questions in this section include two types of questions. **Procedure questions** refer to the existence and scope of documented procedures or other documentation. **Implementation questions** relate to how well the issue is being managed in practice.

For each question, a choice of four options is provided with an explanation given for each option. Additional guidance notes are provided in blue text after each question to assist you to select the response that best fits your council's situation.

Below each question you will find a checklist which identifies the type of documents that may support your answer. Please check all the applicable documents that are currently available at your council and list any additional documents or information in the "Other" free text field. Please note that these documents do not need to be submitted with the audit but may be requested if your audit is selected for verification.

Audit questions 2021: Section 1 WHS Management System

Element 1. WHS policy

1A (procedure question)

Is there an authorised WHS Policy that is readily available to all workers?

◯ Nothing/ minimal in place.	◯ Basic written policy but not authorised and/or posted on notice boards.	◯ Written policy authorised, but not posted or familiar to most staff.	◯ Authorised policy, posted, periodically reviewed and familiar to all staff.

Existing documents that support answer:

☐ WHS policy

☐ Other _____

Additional guidance notes:

Senior management commitment and a policy framework are critical to achieving legislative compliance, due diligence and fostering a safe work culture.

There should be a WHS policy authorised by top management, that:

- includes a commitment to continued improvement aimed at the prevention of work-related injury and illness
- includes a commitment to comply with relevant WHS legislation
- includes a commitment to consultation and participation of workers and their representatives
- provides a framework for setting the WHS objectives
- is relevant and appropriate to the size and context of the council, and the nature of its WHS risks
- is documented, maintained, and communicated to all employees
- is reviewed periodically to ensure it remains relevant and appropriate to the council.

Element 2. WHS planning

2A (procedure question)

Does council have documented procedures for WHS planning that outline the planning process and what must be taken into consideration when setting objectives and targets (such as identified risks, past performance, legal obligations, etc.)?

◯ Nothing/ minimal in place.	◯ Informal (not documented) procedure in place for WHS planning.	◯ Documented procedure developed which outline key planning inputs and process.	◯ Documented planning procedure that includes detailed requirements for identifying WHS needs and setting objectives and targets for all functional areas, as detailed in the additional guidance below.

Existing documents that support answer:

☐ Documented procedure on WHS planning

☐ WHS planning templates

☐ Other _____

Additional guidance notes:

Has council established procedures for identifying WHS needs and setting objectives and targets that relate to all functional areas?

These procedures should specify:

- the planning methodology
- responsibilities during the planning process
- the information required to be considered during the planning process (e.g. WHS risks and opportunities, council injury trends, audit reports, adequacy of the WHS management system, legal obligations, etc)
- how progress against the plan will be monitored and reviewed.

2B (Implementation question)

Has council established WHS objectives and targets for each relevant function and/or level within council?

◯ Nothing/ minimal in place.	◯ Generic WHS objectives and targets established for council.	◯ Specific WHS objectives and measurable targets established for some departments and/or some management positions.	◯ Specific WHS objectives and measurable targets established for all relevant functions and levels within council.

Existing documents that support answer:

☐ Documented council WHS objectives

☐ Documented WHS objectives and measurable targets by functional area and/or level

☐ Meeting minutes regarding the selection of WHS objectives and targets

☐ Other _____

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate that it has developed and implemented measurable targets that are:

- specific to each main department (in addition to the general WHS management system actions outlined in the Action Plan that accompanies the StateCover WHS Self-Audit Report)

- relevant to the context, hazards and risks, opportunities, and applicable legislative requirements

- measurable and include 'positive' or lead indicators such as number of inspections conducted, training provided, risk assessments conducted, etc as these demonstrate progress on preventive actions rather than just using targets such as injury rates which provide information after the event.

2C (Implementation question)

Has council established a management (implementation) plan to achieve its WHS objectives and targets including designating responsibilities, timeframes and resources?

◯ Nothing/ minimal in place.	◯ Basic management plan with general approach to achieve council's overall objectives and targets.	◯ Management plans that include responsibilities, timeframes and required resources to achieve council's overall objectives and targets.	◯ Detailed management plans developed *for all key council departments* that include responsibilities, timeframes, required resources and monitoring method.

Existing documents that support answer:

☐ WHS Management Plan to achieve objectives and targets for overall council

☐ WHS Management Plan to achieve objectives and targets for individual departments

☐ Other _____

Additional guidance notes:

Council should establish and maintain management (implementation) plans for achieving its objectives and targets that include:

- designation of responsibility for achieving objectives and targets at relevant functions and levels of council
- the means and timeframe by which objectives and targets are to be achieved
- how the plan will be monitored
- the resources required, including human resources, technology and financial resources.

Element 3. WHS risk management (hazard identification, assessment, and control)

3A (Procedure question)

Does council have documented procedures to identify, evaluate and control hazards in line with the SafeWork NSW Code of Practice "How to Manage Work Health & Safety Risks"?

◯ Nothing/ minimal in place.	◯ Informal (not documented) procedure in place for identifying, evaluating and controlling hazards.	◯ Documented procedure developed that includes basic requirements for identifying, evaluating and controlling hazards.	◯ Documented procedures that include detailed requirements for identifying, evaluating and controlling hazards including information on the methodology to be used, when it is applied, use of Hierarchy of Controls, review of controls, and specific responsibilities).

Existing documents that support answer:

☐ Documented procedure to identify, evaluate and control hazards using the hierarchy of control

☐ Other _____

Additional guidance notes:

Are there documented procedures that describe the methods to be used to identify and control WHS hazards within council?

These procedures should address specific risk management requirements for WHS (as opposed to general risks) for your council and include:

- specific details on how and when council will:
    - o   identify hazards
    - o   assess the risks (including specifying when risk assessments are mandatory)
    - o   determine and implement effective control measures using the hierarchy of control
    - o   review control measures after implementation to evaluate their effectiveness
    - o   consult with its workers when managing WHS risks
- related responsibilities for all levels of council, including the GM and directors.

3B (Implementation question)

Does council effectively identify hazards, including using a variety of methods such as routine workplace inspections, incident investigations, hazard reporting and formal risk assessments (e.g. for construction projects, changes in work process or new equipment)?

◯ Nothing/ minimal in place.	◯ Cursory hazard identification and/or limited use of different hazard identification methods.	◯ Moderately effective hazard identification that includes a variety of different hazard identification methods.	◯ Very effective hazard identification that includes the routine and systematic use of a variety of hazard identification methods.

Existing documents that support answer:

☐ Completed workplace inspections

☐ Completed incident investigations

☐ Hazard reports

☐ Risk assessments of construction projects, new work processes or equipment

☐ Other _____

Additional guidance notes:

Are hazards being identified effectively throughout council?

Council should utilise a range of hazard identification methods in an effective manner to identify and address hazards before they result in an incident.

To achieve the highest score, council should be able to demonstrate that hazard identification is implemented and documented consistently across all of council's operations through a variety of methods such as:

- risk assessments for all construction projects and high-risk activities
- routine site risk assessments
- regular workplace inspections
- job observations
- pre-purchase assessments for new plant
- incident and near miss investigations.

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3C (Implementation question)

Are identified risks controlled using the preferred order outlined in the Hierarchy of Controls?

◯ Nothing/ minimal in place.	◯ Hierarchy of controls infrequently used when developing risk controls.	◯ Hierarchy of controls generally followed when developing risk controls.	◯ Hierarchy of controls routinely followed when developing risk controls.

Existing documents that support answer:

☐ Health and safety risk registers that follow the hierarchy of controls

☐ Job safety analyses that follow the hierarchy of controls

☐ Meeting minutes regarding the development of risk controls using the hierarchy of controls

☐ Other _____

Additional guidance notes:

Are all identified risks routinely controlled using the Hierarchy of Control, based on reasonable practicability?

To achieve the highest score, council should be able to demonstrate that it routinely considers higher level controls (i.e. elimination, substitution and engineering controls) before considering less effective controls such administrative controls and PPE.

3D (Implementation question)

Does council formally review hazard controls for effectiveness and modify controls as required?

◯ Nothing/ minimal in place.	◯ Infrequent review of controls to check if effective.	◯ Selected controls are reviewed to check if effective and modified as required.	◯ Controls are routinely reviewed to check if effective and modified as required.

Existing documents that support answer:

☐ Documented reviews of implemented controls

☐ Meeting minutes regarding review of controls

☐ Control modifications/ action plans following review of controls

☐ Other _____

Additional guidance notes:

Does your council review control measures to ensure that they are effective in reducing the risk and that they do not introduce additional hazards?

To achieve the highest score, council should be able to demonstrate that a follow-up review is routinely conducted as part of the corrective action process (e.g. through observation of the controls in practice, consultation with relevant workers, etc) to assess the effectiveness of the controls and to modify the controls if necessary to reduce the risk to an acceptable level.

Element 4. Consultation and participation

4A (Procedure question)

Are there documented procedures, agreed to by workers, for worker consultation in WHS issues in accordance with SafeWork NSW Code of Practice, "Work Health & Safety Consultation, Coordination and Cooperation."

◯ Nothing/ minimal in place.	◯ Informal (not documented) consultation procedure in place.	◯ Documented procedure developed that includes basic requirements for worker consultation.	◯ Documented procedure that includes detailed requirements for worker consultation, and the requirements for consulting non-managerial workers on specific issues?

Existing documents that support answer:

☐ Documented procedure for consultation

☐ HSR election process

☐ WHS committee constitution

☐ Issue resolution procedure

☐ Other _____

Additional guidance notes:

There should be documented procedures that specify the consultation arrangements used at council to facilitate worker consultation.

The procedures should detail the issues on which non-managerial workers will be consulted, such as:

- determining the mechanisms for their consultation and participation, including:
    - the agreed consultation structure, and how council will consult with workers
    - designated workgroups, if used
    - details and processes around HSRs or committees, if used
    - details of other agreed consultation arrangement
- identifying hazards, and assessing risks and opportunities
- determining actions to eliminate hazards and reduce OH&S risks
- determining competence requirements, training needs, conducting, and evaluating training
- determining what needs to be communicated and how this will be done
- determining control measures and their effective implementation and use
- investigating incidents and non-conformities and determining corrective actions.

4B (Implementation question)

Are there established consultation mechanisms in place that are made known to all workers, have barriers to participation been removed or minimised, and do workers have timely access to information about the WHS management system?

○ Nothing/ minimal in place.	○ Informal process in place to consult with workers.	○ Basic structured consultation process in place (e.g. elected HRSs / HS committee).	○ Well established consultation arrangements in place that are known to workers and working effectively.

Existing documents that support answer:

☐ Documented consultation elections

☐ List of elected HSRs by workgroups

☐ Training records for HSRs

☐ WHS committee meetings minutes

☐ Other _____

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate that they have:

- provided mechanisms (such as work groups, HSRs, WHS committees or other arrangements), time, training, and resources necessary for consultation and participation
- provided timely access to clear, understandable, relevant information about the WHS management system
- determined and removed or minimised obstacles or barriers to participation (e.g. language or literacy barriers, reprisals or threats of reprisals, and policies or practices that discourage or penalise worker participation)
- ensured consultation arrangement are working effectively, e.g. HSRs are trained, committee meetings are productive, other arrangements are working as intended.

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4C (Implementation question)

Are workers (or their representative) normally involved in review of WHS issues that affect them (e.g. new procedures, hazard identification and controls, changes to the workplace, etc.)?

◯ Nothing/ minimal in place.	◯ Workers and/or their representatives are occasionally involved in reviewing WHS issues that affect them.	◯ Workers and/or their representatives are frequently involved in reviewing WHS issues that affect them.	◯ Workers and/or their representatives are routinely involved in reviewing WHS issues that affect them.

Existing documents that support answer:

☐ Documented involvement of workers/ HSRs in reviews of WHS issues (e.g. meeting minutes, toolbox talks, risk assessments)

☐ Examples of working papers that show worker involvement in development of relevant policies or procedures

☐ Other _____

Additional guidance notes:

Workers or their representatives (health and safety representatives/ health and safety committee) throughout council should normally be involved in WHS issues such as:

- the review of WHS policies and procedures
- the identification and control of hazards
- changes that affect workplace WHS
- determining the mechanisms for their consultation and participation
- determining competence requirements, training needs, training and evaluating training
- determining what needs to be communicated and how this will be done
- investigating incidents and non-conformities and determining corrective actions.

To achieve the highest score, council should be able to demonstrate that consultation on these types of issues occurs routinely and is documented (e.g. in meeting minutes, toolbox talks, risk assessments, etc.).

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Element 5. Training and competency

5A (Procedure question)

Does council have documented procedures for identifying the WHS training needs for work activities and ensuring that appropriate training is provided?

○ Nothing/ minimal in place.	○ Informal (not documented) procedure in place to identify training requirements and provide training.	○ Documented procedure developed that includes basic requirements for identifying training requirements and providing appropriate training.	○ Documented procedure that includes detailed training requirements including developing a training needs analysis for all positions, scheduling and providing training, trainer competencies, responsibilities and record keeping.

Existing documents that support answer:

☐ Documented procedure on training

☐ Templates for training needs analysis and training register

☐ Templates for personal development plans

☐ Job descriptions detailing skills and competencies required

☐ Other _____

Additional guidance notes:

Are procedures established to ensure that WHS competencies are developed and maintained?

These procedures should specify:

- the requirement to identify training needs for all job roles by considering job demands, related hazards and legal requirements
- how and when training will be provided
- trainer competency requirements
- responsibilities for training
- record keeping requirements.

5B (Implementation question)

Does council ensure that all workers have undertaken training that is appropriate to the identified needs?

◯ Nothing/ minimal in place.	◯ Basic training provided for workers.	◯ Specific training needs identified and appropriate training provided for most workers.	◯ Specific training needs identified and appropriate training routinely provided for all workers within required timeframes.

Existing documents that support answer:

☐ Completed training needs analysis

☐ Completed training registers

☐ Personal development plans

☐ Other _____

Additional guidance notes:

Has council, in consultation with employees, identified training needs for all workers that considers individual job descriptions and work environments (e.g. through a training needs analysis)?

Has council ensured that all personnel (including contractors and visitors) have undertaken training appropriate to the identified needs and within required timeframes?

Is this training carried out by persons with appropriate knowledge, skills and experience in WHS and training?

5C (Implementation question)

Does council routinely conduct WHS inductions for new workers?

◯ Nothing/ minimal in place.	◯ WHS induction training is delivered to new workers on an occasional/ irregular basis.	◯ WHS induction training is generally delivered to new workers within the first week.	◯ WHS induction training is routinely delivered on the first day or within the time period set by council's policy.

Existing documents that support answer:

☐ Signed induction records

☐ Completed induction registers

☐ Documentation that outlines the content of the induction training

☐ Other _____

Additional guidance notes:

Do all new workers, including management, receive induction training in a timely manner with records maintained of these inductions? Does basic training in WHS cover issues such as hazard/ incident reporting, emergency procedures, manual handling, risk assessment principles and WHS responsibilities as a minimum?

Element 6. Emergency preparedness (including first aid)

6A (Procedure question)

Are there documented procedures for dealing with potential emergency situations in accordance with AS 3745 "Planning for Emergencies in Facilities" and SafeWork NSW Code of Practice "Managing the Work Environment and Facilities" (Section 5)?

○ Nothing/ minimal in place.	○ Informal (not documented) procedure to identify and deal with emergency situations.	○ Documented procedure developed that identifies common emergency situations and specifies procedures to be followed.	○ Documented procedure that identifies all potential emergency situations throughout council and includes detailed procedures to be followed as well as training, equipment, and testing requirements.

Existing documents that support answer:

☐ Documented procedure for identifying and dealing with potential emergencies

☐ Emergency procedures manual which outline actions to be taken in emergencies

☐ Risk assessments of potential emergency situations

☐ Other _____

Additional guidance notes:

Are all potential emergency situations identified throughout council and emergency procedures documented for responding to these situations?

Do these procedures consider a wide range of potential foreseeable emergencies including fire, hazardous chemicals, natural disasters, and violence and cover all work activities and locations?

Do the procedures also indicate any related requirements for training, equipment, and testing in accordance with AS 3745 "Planning for Emergencies in Facilities" and Section 5 of SafeWork NSW Code of Practice "Managing the Work Environment and Facilities"?

6B (Implementation question)

Does council provide appropriate training in emergency procedures and conduct regular testing of emergency procedures (e.g. emergency evacuations)?

◯ Nothing/ minimal in place.	◯ Limited training and testing of emergency procedures.	◯ Training and testing of emergency procedures conducted for key emergency situations at most facilities.	◯ Regular emergency training is provided that covers all potential emergencies at all facilities. Testing conducted of emergency procedures at least annually in all facilities.

Existing documents that support answer:

☐ List of emergency wardens at all sites/facilities

☐ Training records for wardens

☐ Records of regular emergency evacuations

☐ Schedule of tests, drills, or other rehearsals of emergency procedures

☐ Other_____

Additional guidance notes:

Are wardens and workers trained for all potential emergency situations in accordance with the emergency procedures and their designated level of responsibility, with refresher courses provided as appropriate? Are emergency evacuation drills performed at least once per year in all facilities?

Element 7. Purchasing

7A (Procedure question)

Does council have documented procedures to eliminate or control potential WHS hazards associated with the purchase of new items that may have WHS risks, such as plant and equipment, furniture, and hazardous chemicals?

○ Nothing/ minimal in place.	○ Informal (not documented) procedure to review hazards prior to purchase.	○ Documented procedure developed that includes basic requirements for reviewing potential WHS hazards prior to purchase of new items.	○ Documented procedures including identifying types of purchases to be reviewed, and detailed requirements for reviewing hazards and assessing and controlling potential WHS risks prior to purchase of new items.

Existing documents that support answer:

☐ Documented WHS procedure for purchasing

☐ Other _____

Additional guidance notes:

Has council established documented procedures for the identification of potential hazards associated with the purchase of new items that may have WHS risks?

These procedures should describe:

- what purchases need to be assessed (e.g. plant and equipment, furniture and hazardous chemicals, or other purchases that may affect WHS)
- how health and safety is considered prior to the decision to purchase new items, e.g. product trials
- requirements to check that goods received match purchasing specifications
- requirements to check that the required controls have been implemented before using or commissioning new items.

7B (Implementation question)

Are potential hazards routinely identified and controls considered when purchasing new items that may have WHS risks?

◯ Nothing/ minimal in place.	◯ Hazards are occasionally identified, and controls considered prior to purchases of new items.	◯ Hazards are frequently identified, and controls considered prior to purchases of new items.	◯ Hazards are *routinely* identified, and controls considered prior to purchases of new items across council.

Existing documents that support answer:

☐ Preferred supplier list that considers WHS requirements

☐ Copies of purchase orders that specify health and safety requirements

☐ Examples of where health and safety has been examined prior to the decision to purchase (e.g. risk assessments, completed pre-purchase checklists, records of meetings with suppliers, user trials of equipment, etc)

☐ Other _____

Additional guidance notes:

Are all purchases of items that may have WHS risk routinely and adequately assessed for potential hazards prior to purchase?

Items, that may have WHS risks may include:

- large plant and vehicles
- selected smaller plant and equipment (e.g. chainsaws, jack hammers, etc)
- hand tools
- furniture
- hazardous chemicals
- new types of PPE.

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Element 8. Management of plant and equipment

8A (Procedure question)

Does council have documented procedures for managing the risks of plant and equipment?

○ Nothing/ minimal in place.	○ Informal (not documented) procedure in place for management of plant /equipment.	○ Documented procedure developed that includes basic requirements for management of plant /equipment.	○ Documented procedure that includes detailed requirements for the management of plant and equipment across council including all points listed in the additional guidance notes below?

Existing documents that support answer:

☐ Documented procedures for the management of plant and equipment

☐ Schedule for inspections, testing and monitoring

☐ Other _____

Additional guidance notes:

Council should have procedures that describe what type of activities should be conducted to control the risks of plant/equipment, including:

- how risk assessments will be carried out prior to purchasing and again prior to commissioning/ using new plant and equipment
- plant and equipment inspections that are required (both preventative maintenance and daily checks), how these will be conducted, how unsafe plant will be dealt with, the frequency of inspections, responsibilities, monitoring etc
- requirements for developing and using Safe Operating Procedures and Safe Work Instructions relating to plant and equipment
- requirements for training and determining competency relating to plant and equipment.

Documented procedures should cover all relevant plant and equipment throughout council including fixed and mobile plant, cranes and lifting gear, safety critical devices, etc.

8B (Implementation question)

Are risk management activities for plant and equipment regularly conducted and documented?

○ Nothing/ minimal in place.	○ Inspections / maintenance of plant and equipment are conducted on an occasional/ ad-hoc basis.	○ Inspections / maintenance of plant and equipment are frequently conducted and documented.	○ Inspections / maintenance of plant and equipment are scheduled and regularly conducted across council with appropriate documentation.

Existing documents that support answer:

☐ Completed plant risk assessments

☐ Completed schedule of planned plant and equipment inspections

☐ Records of regular plant and equipment inspections/ maintenance

☐ Inspection reports that include details of any safety issues and required actions

☐ Register of safe operating procedure and/or safe work instructions relating to plant and equipment

☐ Training matrix that includes requirements for training for plant and equipment

☐ Competency requirement details and records for the use of items of plant and equipment

☐ Other _____

Additional guidance notes:

Have all plant and equipment been identified within council, including fixed and mobile plant, cranes and lifting gear, safety critical devices, etc?

The following activities should be planned/ scheduled, conducted in accordance with the schedule and documented:

• plant risk assessments

• plant and equipment inspections (both preventative maintenance and daily checks)

• safe operating procedures and safe work instructions relating to plant and equipment

• training and competency requirements relating to plant and equipment.

Element 9. Health monitoring

9A (Procedure question)

Does council have documented procedures for health monitoring requirements?

◯ Nothing/ minimal in place.	◯ Informal (not documented) procedure in place to identify where health monitoring is required and the monitoring measures to be taken.	◯ Documented procedure developed that includes basic requirements for identifying where health monitoring is needed and the monitoring measures to be taken.	◯ Documented procedure that includes detailed requirements that identify which positions require health monitoring, the type and frequency of monitoring, reporting requirements and management of adverse results.

Existing documents that support answer:

☐ Documented procedure for health monitoring

☐ Other _____

Additional guidance notes:

Does council have health monitoring procedures that specify when health monitoring is required, applicable legislative requirements and how health monitoring will be implemented across council?

9B (Implementation question)

Has council identified those situations where worker health monitoring is required and implemented appropriate measures to monitor and protect the health of workers where required?   For example, flu/ hepatitis immunisation, chemical use screening, hearing tests, etc.

◯ Nothing/ minimal in place.	◯ Monitoring occurs if a health issue becomes apparent.	◯ Key situations requiring health monitoring are identified and appropriate monitoring undertaken for these situations.	◯ A comprehensive review is conducted of health monitoring requirements across council. On-going monitoring is conducted as required within specified timeframes.

Existing documents that support answer:

☐ List of health monitoring requirements for all departments

☐ Schedule for health screening and testing

☐ Records of health monitoring that match scheduled arrangements

☐ Contracts with providers of health monitoring services.

☐ Other _____

Additional guidance notes:

Has council identified situations in all departments where worker health monitoring is required (e.g. exposure to hazardous noise levels, infectious diseases, chemicals, etc)?

Are appropriate monitoring measures in place, routinely conducted within the required timeframes and documented?

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Element 10. Incident investigation and corrective action

10A (Procedure question)

Does council have documented procedures for investigating incidents and taking appropriate corrective actions?

○ Nothing/ minimal in place.	○ Informal (not documented) procedure in place to investigate incidents and take corrective actions.	○ Documented procedure developed that includes basic requirements for investigating incidents and taking corrective actions.	○ Documented procedure developed that includes detailed requirements for incident investigation including the methodology to be used, training required, responsibilities, timeframes, identification of root causes and the implementation of corrective actions.

Existing documents that support answer:

☐ Documented procedure for reporting and investigating incidents and implementing corrective actions

☐ Comprehensive incident investigation form, including provision for recording recommended actions

☐ Other _____

Additional guidance notes:

Council should have established comprehensive incident investigation procedures that cover:

- the process for incident and hazard reporting
- the type of incidents that require investigation
- the methodology to be used when investigating incidents
- how the root cause of the incident will be identified
- how appropriate corrective actions will be identified and initiated
- the persons/positions responsible for investigating incidents and developing corrective actions
- training required for incident investigations.

10B (Implementation question)

Are incidents routinely and thoroughly investigated with effective corrective actions identified to prevent a recurrence of the incident?

○ Nothing/ minimal in place.	○ Incident investigations occur on an ad hoc basis and/or corrective actions are often cursory.	○ Incident investigations are conducted for significant incidents and corrective actions identified.	○ All incidents or potentially serious incidents (e.g. near misses) are routinely investigated, root causes identified and effective corrective actions identified that follow the Hierarchy of Controls.

Existing documents that support answer:

☐ Completed incident investigation reports

☐ Corrective action plans arising from incident investigations that follow the hierarchy of controls

☐ Other _____

Additional guidance notes:

Are incidents that cause, or have the potential to cause, injury or illness routinely and thoroughly investigated throughout council?

To achieve the highest score, council should be able to demonstrate that:

- all incidents and significant near misses are routinely investigated
- the investigations routinely identify the root cause of the incident in addition to the direct or superficial cause
- constructive corrective actions are identified that follow the Hierarchy of Controls.

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Element 11. Document management and control

11A (Procedure question)

Has council developed procedures to ensure that documents are readily identifiable, current, and periodically reviewed?

○ Nothing/ minimal in place.	○ Informal (not documented) procedure in place to ensure that documents are readily identifiable and up to date.	○ Documented procedure developed that includes basic requirements for the identification, review, and control of documents.	○ Documented procedure developed that includes detailed requirements for document control including document identification structure, review process and timeframes, removal of obsolete documentation from circulation, etc.

Existing documents that support answer:

☐ Documented procedure for document control

☐ Documents review schedule

☐ Other _____

Additional guidance notes:

Council should have established procedures that specify how documents are maintained in a systematic manner to ensure:

- there is a system for creating, modifying, and approving WHS documents
- documents can be readily located
- current versions of relevant documents are made available at all locations
- superseded or archived documents are clearly marked and removed from the system
- documents are periodically reviewed, revised as necessary and approved for adequacy
- changes are communicated to relevant personnel.

11B (Implementation question)

Are documents easy to locate, dated, reviewed at specified times and current (i.e. with obsolete versions removed from circulation)?

◯ Nothing/ minimal in place.	◯ Documents not generally identified in a consistent manner, not reviewed at specified times and/or obsolete versions in circulation.	◯ Most documents identified in a consistent manner, reviewed at specified times with obsolete versions removed from circulation.	◯ All documents clearly identified in a consistent manner, routinely reviewed at specified time and with obsolete versions removed from circulation.

Existing documents that support answer:

☐ Document reviews with recommended changes

☐ Examples of standard documents that are legible, identified, authorised, and dated in accordance with the council's document control procedure

☐ Register of obsolete documents and current versions

☐ Other _____

Additional guidance notes:

Is all documentation legible, dated (with dates of revision), readily identifiable and maintained in an orderly manner?

Are documents regularly reviewed within the specified periods?

Are obsolete documents routinely removed from service to prevent their use?

Element 12. Record management

12A (Procedure question)

Does council have a documented procedure that specifies records management requirements including the records to be kept and storage method/ location? Records may include accident/incident reports, work permits, training records, etc.

◯ Nothing/ minimal in place.	◯ Informal (not documented) procedure in place for records management.	◯ Documented procedure developed that includes basic requirements for records management.	◯ Documented procedure developed that includes detailed requirements for records management including records identification, storage, retrieval, retention periods and disposal.

Existing documents that support answer:

☐ Documented procedure on records management

☐ Other _____

Additional guidance notes:

Has council established procedures for the identification, maintenance, and disposition of WHS records? The procedures should specify:

- what records need to be kept?
- how WHS records are identifiable and traceable to the activity, product or service involved
- how are records stored and are they maintained in such a way that they are readily retrievable and protected against damage, deterioration, or loss?
- retention times for different type of records.

Element 13. WHS audits

13A (Implementation question)

Does council carry out periodic formal audits (e.g. to AS/NZ 4801 standard) to evaluate the quality and effectiveness of its WHS management system?

○ Nothing/ minimal in place.	○ Infrequent / informal internal audits conducted to evaluate the quality and effectiveness of the WHS management system.	○ Occasional internal /external audits conducted to evaluate the quality and effectiveness of the WHS management system.	○ Scheduled comprehensive audits (e.g. in addition to the StateCover self-audit). Required corrective actions are clearly identified and prioritised.

Existing documents that support answer:

☐ Documented audit program or schedule

☐ Completed formal audits of the WHS management system (other than the StateCover WHS self-audit) with identified weaknesses and corrective actions

☐ Follow-up audits that verify implementation of corrective actions.

☐ Other _____

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate that:

- council has established, implemented, and maintained a program for periodic WHS management system audits to be carried out by a competent person, in order to determine:
    - o   whether the WHS management system is complete, sufficiently comprehensive and being used effectively
    - o   any deficiencies and required corrective actions
- comprehensive audits are conducted to an established standard (e.g. AS/NZ 4801) by trained WHS auditors, in addition to the StateCover self-audit
- these audits are conducted on a regular basis (e.g. annual internal audits and external audits every 2-3 years).

Element 14. Management review

14A (Implementation question)

Are targets established during the planning phase reviewed periodically to ensure that these targets have been achieved?

○ Nothing/ minimal in place.	○ Informal management reviews of success in meeting targets.	○ Formal annual management reviews of success in meeting targets.	○ Formal periodic management reviews (e.g. quarterly) of progress against targets and any required changes.

Existing documents that support answer:

☐ Documented reviews of progress against targets

☐ Other _____

Additional guidance notes:

Does management ensure that established WHS targets are being achieved by reviewing progress against targets across council at appropriate intervals?

To achieve the highest score, council should be able to demonstrate that:

- council has identified measurable WHS targets that are reviewed on a regular basis (e.g. quarterly)
- as part of the review, management considers:
    - the progress in meeting the targets
    - any issues that may prevent targets being achieved on time
    - any required changes to targets or implementation plans.

S&W

14B (Implementation question)

Is the overall WHS management system reviewed by senior management at appropriate intervals to assess the effectiveness of the system and identify changes required to improve WHS performance?

◯ Nothing/ minimal in place.	◯ Informal (not documented) reviews by senior management of the WHS management system's effectiveness.	◯ Occasional documented reviews by senior management of the WHS Management System's effectiveness.	◯ Annual documented reviews by senior management that assess the overall effectiveness of the WHS Management System and identify changes to enable continuous improvement.

Existing documents that support answer:

☐ Documented reviews of the WHS management system by senior management that include recommendations for improvements

☐ Evidence of changes made as a result of management reviews, (e.g. changes to policy or WHS objectives, changes to assignment of responsibilities, reallocation of resources, etc)

☐ Other _____

Additional guidance notes:

Does council's senior management review the overall WHS management system at appropriate intervals (e.g. annually) to ensure its continuing suitability, adequacy and effectiveness?

To achieve the highest score, council should be able to demonstrate that the adequacy of the current WHS management system is reviewed by considering factors such as:

- the type and frequency of incidents over the previous year
- any new legislative requirements
- any new work activities or organisational changes that may affect WHS
- the results of WHS performance reviews for staff
- any changes required to promote the continual improvement of WHS within council.

Instructions for completing Section 2: Specific Hazards/Key Priority Areas

For each question, five options describe the different levels of implementation for addressing hazards.

The following guidelines can be used to select the most appropriate option:

◯ N/A	◯ Nothing /minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation
This hazard or activity is not present at council.	• Nothing in place. • Minimal in place (less than basic implementation.	• A basic level of understanding of the issue. • Ad-hoc/informal procedures in place to manage the risk. • Limited implementation in place.	• A practical understanding and awareness of this issue. • Basic established procedures in place to manage risk. • Implementation to a certain degree and/or there is implementation in some departments but not across all of council.	• Management of the issue is integrated into normal operations, • Detailed procedures to manage risk are in place, • Full implementation across all of council such that the risk of injury or illness to workers is reduced to as low as reasonably practicable.

Audit questions 2021: Section 2 Key Priority Areas

Element 1. Musculoskeletal risks (manual handling, overuse syndrome, ergonomics)

1A Is there a clear and ongoing process to identify hazardous manual tasks, and minimise risks associated with these tasks, including procurement processes that take into account musculoskeletal risks?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate:

- risk assessments are carried out for hazardous manual tasks
- controls for hazardous manual tasks are implemented or planned
- musculoskeletal risks are considered when purchasing new equipment or making changes to the workplace or processes.

Element 2. Electrical safety

2A Is electrical equipment, including Residual Current Devices (RCD) and portable generators, tested and tagged in compliance with AS/NZS 3760 - in-service safety inspection and testing of electrical equipment?

⭘ N/A	⭘ Nothing/ minimal in place	⭘ Basic implementation	⭘ Partial implementation	⭘ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to produce:

- a procedure for ensuring that electrical inspections are carried out as per the frequencies required by AS/NZS3760 and/or risk assessment (see Appendix 4 to StateCover's Electrical Inspection Procedure)
- a register of electrical equipment with dates of upcoming and past inspections
- evidence that inspections have been carried out by a competent person.

2B Is there a system in place to take unsafe electrical equipment out of service?

⭘ N/A	⭘ Nothing/ minimal in place	⭘ Basic implementation	⭘ Partial implementation	⭘ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- a tag-out process with easily accessible tags
- a maintenance/ repair request system
- a register of inspections and repairs to electrical equipment.

Element 3. Sun protection

3A Is there an effective program to identify and control UV risks for staff working outdoors?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- a Sun/UV protection policy that ensures higher level controls such shade structures are used for high UV-risk work when possible, as well as UV protective clothing and PPE
- an awareness campaign about ultraviolet risk and skin cancer, such as flyers/brochures, toolbox talks or information for workers.

Element 4. Psychosocial risks: bullying and unreasonable behaviour

4A Are there clear expectations of appropriate behaviour in the workplace, including guidance on what constitutes bullying and other unreasonable behaviours?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate:

- policies and procedures that address the prevention and management of bullying and other unreasonable behaviours have been developed and communicated to all staff
- workers and people leaders have been provided with training or comprehensive information that includes explanations of bullying and other unreasonable behaviours and reinforces positive workplace behaviours.

4B Does early intervention actively occur with respect to bullying and other unacceptable behaviours?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate that:

- procedures exist that clearly explain how to report bullying and other unreasonable behaviours and who to report them to, and all workers are made aware of this process via training or toolbox talks/ meetings, as well as having access to written information that reinforces these procedures (e.g. posters or intranet or other media)
- there is a process in place for responding to allegations of bullying and unacceptable behaviours, and all people leaders have been trained in this process
- there is evidence that the process for responding to allegations of bullying has been followed in a timely manner following any allegations of unacceptable behaviour (e.g. manager and HR case notes and investigation documentation is kept on file).

Element 5. Psychosocial risks: client and public violence

5A Are processes in place to ensure client and public violence risks are identified, assessed, and controlled?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate that:

- high public violence-risk roles and activities are identified, and risk assessed, in consultation with relevant workers
- the physical environments of high public violence-risk roles are designed or modified in order to reduce the chance of physical altercations with members of the public
- public-facing areas have signs or notices informing the public that aggressive or abusive behaviour will not be tolerated
- workers are supported and understand that they do not have to tolerate abusive or aggressive behaviour from members of the public and are provided with assistance to deal with such behaviour.

S&W

5B Are staff consulted about changes and issues that could expose them to an increased risk of aggression or abuse from members of the public or other people?

⭕ N/A	⭕ Nothing/ minimal in place	⭕ Basic implementation	⭕ Partial implementation	⭕ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- change management policies and procedures that require consultation with staff
- consultation and communication policies and procedures that address change management
- meeting agendas and minutes that demonstrate consultation with staff dealing with the public about potential changes that could expose them to increased risk.

Element 6. Hazardous work: confined spaces
6A Is there a process in place to identify potential confined spaces?

⭕ N/A	⭕ Nothing/ minimal in place	⭕ Basic implementation	⭕ Partial implementation	⭕ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate:

- procedures and processes for identifying and assessing confined spaces, that reference and apply the WHS legal requirements and NSW Code of Practice: Confined Spaces.

6B Is a risk assessment undertaken and entry permit obtained prior to entry into confined spaces in accordance with the Code of Practice for Confined Spaces?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- confined spaces procedures and processes for managing the entry to confined spaces that reference and apply the NSW Code of Practice: Confined Spaces
- risk assessment forms or documents for completing confined space risk assessments, and records of risk assessments that are kept in accordance with the procedure
- a permit system to document and control the entry in to confined spaces, that includes atmosphere monitoring, observer/s and rescue plans, that is signed by a trained and authorised person within Council.

Element 7. Hazardous work: hazardous chemicals

7A Is there a hazardous chemical procedure in place explaining how hazardous chemicals are managed?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- hazardous chemicals procedures that reference the NSW Code of Practice: Managing risks of hazardous chemicals in the workplace and the Globally Harmonized System of Classification and Labelling of Chemicals (GHS)
- procedures and processes for identifying, assessing, handling and storing hazardous chemicals, and for checking that controls are in place and effective e.g. inspections/ audits.

7B Are hazardous chemical registers and safety data sheets (SDSs) up-to-date and readily available to relevant workers (registers are usually kept and maintained by individual departments as applicable)?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- hazardous chemicals procedures and processes that clearly establish responsibility for maintaining hazardous chemicals registers and SDS (i.e. they may be maintained by individual departments)
- A register of hazardous chemicals
- SDS registers that are up to date and available to relevant workers (either online or hard copies).

7C Have workers received appropriate training in the use, decanting, labelling, storage, and disposal of chemicals?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- hazardous chemical procedures and general training/induction material that applies the Globally Harmonized System of Classification and Labelling of Chemicals (GHS).
- information included in safe operating procedures and SWMSs for workers who handle and work with hazardous chemicals
- a training register or matrix that includes hazardous chemical training
- records of worker training in hazardous chemical procedures.

Element 8. Hazardous work: managing the risk of falls

8A When determining risk controls for managing the risks of falls, is the hierarchy of control always followed in accordance with the Code of Practice for Managing the risks of falls at Workplaces?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate measures such as:

- procedures and processes that reference and apply the NSW Code of Practice: Managing the risk of falls at Workplaces
- risk assessment forms and/ or risk register entries for falls risk that apply the hierarchy of controls
- the presence of higher-level controls such as handrails, walkways and fixed ladders/staircases for frequently accessed height-risk areas.

8B Are fall arrest systems and rescue plans in place for work where there is a risk of falls from heights that cannot be managed using higher level controls?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

This question applies even if all work at heights on council assets is performed by contractors.

To achieve the highest score, council should be able to demonstrate processes such as:

- fall arrest systems and anchor points are provided where they are needed to access heights risk areas on a regular but infrequent basis
- specific rescue/emergency plans are in place for identified tasks or risks
- contractor inspection/monitoring checklists include requirements for fall arrest systems and rescue/emergency plans when working at heights.

Element 9. Hazardous work: hazardous noise

9A Have hazardous noisy equipment or processes been identified and assessed in accordance with the Code of Practice for Managing Noise and Preventing Hearing Loss?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- procedures and processes that apply the NSW Code of Practice: Managing Noise and Preventing Hearing Loss
- records of noise level testing/ calculations of exposure compared to exposure limits.
- warning signs and PPE implemented in noisy areas
- risk assessments for plant and equipment that include noise level testing and confirmation.

9B When determining risk controls for noisy equipment or processes, is the hierarchy of control always followed?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- procedures and processes that apply the NSW Code of Practice: Managing Noise and Preventing Hearing Loss
- risk assessment forms that reference and apply the hierarchy of controls
- the presence of higher-order controls for hazardous noise such as equipment replacement schedules for upgrades to quieter equipment, separate rooms or areas and remote operation provided for noisy equipment, acoustic insulation/noise dampening measures on equipment etc.

9C Are pre-employment base line hearing tests conducted for relevant workers prior to commencement of employment with council?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- procedures and processes that reference and apply the NSW Code of Practice: Managing Noise and Preventing Hearing Loss and include the requirement for hearing tests for workers in noisy areas.

Element 10. Hazardous work – Work near overhead powerlines

10A Prior to commencing work onsite, are risk assessments conducted to identify overhead powerline hazards, and are relevant workers trained in electrical safety awareness?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- inclusion of overhead powerline risk in daily/site specific risk assessment forms (or equivalent) and construction site/contractor inspection lists
- records of risk assessment of overhead powerline hazards, such as in construction project risk assessments, daily/site specific risk assessment forms (or equivalent), other risk assessments, and construction site/contractor inspection lists
- records of training in electrical safety for non-electrical workers who may work in the vicinity of overhead powerlines, such as signed SOPs, SWMSs, toolbox talks or as part of worker inductions
- records of training by accredited providers for electrical spotters.

Element 11. Work near underground services

11A Where excavation work is planned, are Dial-Before-You-Dig plans obtained and reviewed prior to commencement of work onsite?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- inclusion of dial-before-you-dig checks in daily/site specific risk assessment forms (or equivalent) and construction site/contractor inspection lists
- records of dial-before-you-dig checks, such as in construction project risk assessments, daily/ site specific risk assessment forms (or equivalent), other risk assessments, and construction site/contractor inspection lists.

11B Are the '5Ps' of safe excavation (plans, prepare, pothole, protect, proceed) routinely followed for excavation work?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- inclusion of prompts in daily/site specific risk assessment forms (or equivalent) and construction site/contractor inspection lists
- records of use of the 5Ps, such as in construction project risk assessments, daily/site specific risk assessment forms (or equivalent), other risk assessments, construction site/contractor inspection lists or SWMSs.

Element 12. Construction safety

12A Is there a documented construction Safety procedure (or equivalent) that includes:

- risk management during design
- classification of works
- WHS risk management requirements for each classification and type of construction work?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate that:

- the process of risk management during design is incorporated into a procedure known and followed by those responsible for planning and designing structures
- the classification and risk management process is incorporated into a procedure known and followed by those responsible for construction planning and implementation.

12B Are SWMS prepared for all high-risk construction work and is compliance with the SWMS monitored?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate processes such as:

- a list of "standing" SWMSs for all frequently carried out high-risk work
- a method of ensuring all site-specific risks (that are not controlled by the "standing" SWMSs) are identified, assessed, and controlled on a daily basis or as required, for each specific project
- inclusion of compliance with SWMSs as part of daily/site specific risk assessment forms (or equivalent), other risk assessments, or construction site/contractor inspection lists.

12C Are documented project WHS management plans developed and monitored by the principal contractor (which may be council) for construction work costing $250,000 and over?

(Reference NSW Construction Work Code of Practice, 2014)

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

For projects where council has engaged a principal contractor, there should be evidence that:

- a project WHS management plan is in place
- there are site safety inspections/monitoring carried out by both the principal contractor and by council to check that work is being carried out according to the project WHS management plan.

Element 13. Quarries and mines

13A Do council-controlled quarries have a documented safety management system established and implemented?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

Quarries must have a documented and maintained WHS management system in place includes all requirements of the WHS Mines and Petroleum Sites Regulation 2014, including:

- a WHS policy
- principle control plans (WHS Mines and Petroleum Sites Regulation 2014- Reg 26)
- Principle Hazard Management Plans and Risk Assessments (WHS Mines and Petroleum Sites Regulation 2014- Regs 23- 25)
- the management structure, and resources for implementation of the WHS management system
- consultation and communication arrangements
- contractor management
- emergency procedures
- training, induction and supervision arrangements
- heath monitoring arrangements
- incident response and investigation procedures, including notifiable incident procedures
- procedures for the review of control measures
- arrangements for monitoring and inspections (WHS Mines and Petroleum Sites Regulation 2014- Reg 14)
- performance standards and audit requirements (WHS Mines and Petroleum Sites Regulation 2014- Reg 15).

For quarries that are held/ owned by council but operated by one or more contractors, council should have an appropriate monitoring process in place, which includes verification that the above are implemented and maintained by the quarry operator.

Element 14. Management of contractors

14A Is there a documented WHS contractor management procedure or equivalent?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, the procedure must include:

- the contractor WHS competence verification process
- contractor induction processes (i.e. how council site hazards and rules are communicated to contractors)
- the contractor safety performance monitoring process.

The procedure must be known and used by the procurement/ purchasing and projects teams.

14B When selecting contractors, is the competence of the contractor verified, including consideration of the contractor's:

- capability (including qualifications)
- resources and safety systems
- safety performance and insurances.

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate records of:

- a list of competent contractors that are approved for doing work for council
- current insurance certificates for approved contractors
- examples of contractor SWMS
- declaration that workers will be appropriately trained and competent by contractor companies as part of the contract of works
- checks of qualifications/training/licenses for a sample of contractors working on site included in induction and monitoring inspection checklists (keeping contractors' training/ qualification records on file is not necessary for approved contractors).

14C When inducting new contractors (including start up meetings) is adequate WHS risk information and instruction provided and is there an emphasis onsite specific risk?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate records of:

- contractor induction material that includes site hazards and rules
- daily/site-specific risk assessment/start-up meeting records.

14D Is the WHS performance of the contractor monitored including:

- what supervision is in place for high-risk work
- agreed consequences for non-conformance with agreed safety requirements?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate:

- a procedure that details contractor supervision and monitoring requirements, including consequences of non-conformance with safety agreements
- records of contractor supervision and monitoring
- records of contractor corrective actions and their resolution.

Element 15. Management of volunteers

15A Is there a volunteer management program in place documenting:

- the responsibilities of council and volunteers
- how WHS risks to volunteers are identified and controlled
- the provision of training and equipment to volunteers
- supervision of volunteers?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate:

- a list of all registered volunteers, and their induction and training status
- a written procedure that details the requirements for volunteer training and supervision.

Element 16. Management of traffic

16A Are systems in place to proactively identify and manage traffic risks (including cars, trucks, mobile plant and pedestrians) at council-controlled locations (whether permanent or temporary locations)?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

To achieve the highest score, council should be able to demonstrate:

- procedures and processes that reference and apply one of the SafeWork Guides for workplace traffic management
- traffic management plans and risk assessment forms that apply the hierarchy of controls to separate people from vehicles and moving plant
- the presence of higher-level controls such as handrails, barriers, marked walkways and exclusions zones.

To achieve the highest score, council should be able to demonstrate:

- risk assessment and inspection forms for both temporary traffic-control sites
- traffic management plans for all council assets with traffic risks.

16B Do road construction sites have site-specific traffic guidance schemes (TGS) developed and implemented by appropriately qualified persons in accordance with Transport for NSW (TfNSW) and SafeWork NSW requirements?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

While TCAWS is not mandatory, it is recommended that council use documented risk assessments to justify any deviations from the procedures required by the current version of the TCAWS manual or that council apply the Austroads Guides to Temporary Traffic Management. This includes minimizing the use of traffic control workers being required to use stop/ slow bats.

To achieve the highest score, council should be able to demonstrate:

- training records for workers involved in TGS development and implementation
- records of TGS's used and accompanying risk assessment documentation.

Element 17. Management of events (e.g. fairs, street markets, outdoor live performance)

17A Are effective WHS risk management processes applied to event management (risks are identified, controls are developed in accordance with the hierarchy of control and emergency response plans are in place)?

◯ N/A	◯ Nothing/ minimal in place	◯ Basic implementation	◯ Partial implementation	◯ Complete implementation

Additional guidance notes:

To achieve complete implementation, council must be able to demonstrate:

- a documented risk assessment has been carried out for all events involving members of the public, that has been prepared in consultation with stakeholders such as key contractors, Transport for NSW and NSW Police
- all controls/actions resulting from the risk assessment are implemented or planned, i.e. all controls have been allocated to relevant personnel/contractors for actioning and there is a process for checking that controls have been implemented prior to/during the event (e.g. an inspection schedule)
- emergency response plans for any foreseeable emergencies and required emergency equipment and personnel are provided.

Element 18. Asbestos

18A Have all asbestos, asbestos containing material (ACM) and assumed asbestos been identified by a competent person and documented in an Asbestos Register?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

- This item does not apply if all council assets are constructed after 2003, no asbestos has been identified, and no asbestos is likely to be present (as per WHS Regulation 2017- Reg 425).
- The asbestos register must be kept up to date (WHS Regulation 2017- Reg 425).

18B Is a current asbestos register for all sources of asbestos readily accessible to relevant workers including contractors carrying out work in the workplace?

○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

The asbestos register must record, for each asbestos or ACM in the workplace:

- the date on which it was identified
- its location, type and condition (WHS Regulation 2017- Reg 426).

Any contractor that is planning work on council-controlled assets that may involve exposure to asbestos, must be given a copy of the asbestos register. (WHS Regulation 2017- Reg 428)

Making the asbestos register readily accessible to workers may involve:

- including information about the register and how access it in relevant worker inductions and other training
- making copies of the register available on an intranet or folders in the workplace.

S&W

18C Has a policy or procedure for managing asbestos (that meets the minimum requirements set out by the LGNSW Model Asbestos Policy for NSW Councils 2012) been implemented?				
○ N/A	○ Nothing/ minimal in place	○ Basic implementation	○ Partial implementation	○ Complete implementation

Additional guidance notes:

Councils must consider implementing the LG NSW model asbestos policy (in accordance with the Local Government Act 1993, section 23A) or be able to demonstrate to LGNSW they have a system that is equal or better.

Using the online audit tool

You will receive an email from the StateCover WHS team with a URL link to the audit tool. Please note that no username or passwords are required.

This link is uniquely tied to this audit and your email address. Please do not forward this link to others.

Please note that all questions are **mandatory,** and all questions on a page must be completed before you can move to the next page. To move to the next page, select the button at the bottom of the page.

Next & Save   Each page saves as you move to the next page.

You can go back to a previous page and edit your responses by using the   Back   button at the bottom of the page.

You can also leave the audit at any time and return to complete it later. To do this, save your response for your current page by clicking the   Next & Save   button, then exit the audit by closing the window.

To return to the audit, use the link that was originally emailed to you.

Reviewing, downloading and printing the completed audit

Once you have completed the audit, you will be directed to a response summary page. On this page you can:

- review your responses and then go back to edit the responses
- download a pdf version of your responses and print your responses.

If you forgot to review or print your responses and would like a copy of your audit responses sent to you, please email sandw@statecover.net.au.

Submitting your response

To submit your completed audit, click the   Next & Save   button located at the bottom of the last page.

Please note that once you have submitted the audit, you will not be able to access the audit to edit or view your responses.

Frequently Asked Questions

What if the link to the audit is sent to more than one person in our council?

Some councils have requested that email communications on WHS issues be sent to more than one person. If that is the case in your council, please ensure that only one person is assigned responsibility for completing and submitting the on-line audit.

Can I distribute the audit to others?

If you need to distribute the audit, we recommend you use the PDF version of the audit. It is important that only one person is responsible for completing the online audit to avoid errors.

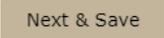### How do I move to the next page when completing the audit?

You can move to the next page using the [Next & Save] navigation button located at the bottom of each page. You can only move to the next page if you have completed all the questions on the current page.

Can I go back to a previous page to edit my responses?

You can go back to a previous page by using the navigation button [Back] located at the bottom of each page.

How do I save my responses?

As you move to a new page within the audit it will automatically save your previous responses.
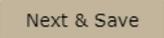
Also, if you want to exit the audit, you need to click [Next & Save] before you close the window or that page will not be saved. Just click on the x to close the window:

XM Online Survey Software | Qualtric ✕
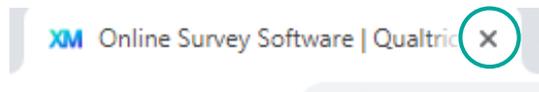
Can I use the internet browser's Back/Forward buttons to navigate and save my responses?

You cannot use the web browser's navigation buttons to navigate within the audit. To navigate between pages or save your responses, you must use the audit navigation buttons located at the bottom of each page.

Can an audit be saved partway and finished later?

Yes, you can leave the audit at any time and resume it later. If you wish to leave the audit, use the button [Next & Save] located at the bottom of each page.

Just click on the x to close the window:

XM Online Survey Software | Qualtric ✕
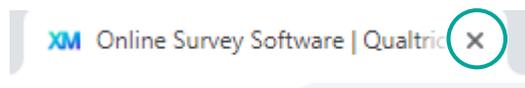
To return to the audit, use the link that was sent to you originally.

How to I print a completed page?

When you have finished the audit, you will be directed to a response summary page. On this page you can:

- review your responses and then go back to edit the responses
- download a pdf version of your responses and print your responses.

If you would like a copy of your submitted audit responses sent to you, please email the StateCover Safety and Wellbeing team on sandw@statecover.net.au.

If you want to just view the questions, we recommend that you use the PDF version of the audit provided.

Can I start an audit on one computer and finish on a different one?

Yes, you will be able to start the audit on one computer and finish it later, on a different computer. However, we recommend that only one person is responsible for entering information onto the online audit.

What happens if I submit the audit before I have finished?

If you accidently submit your audit before it is complete, please contact email the StateCover Safety and Wellbeing team on sandw@statecover.net.au for assistance.

Do we need to complete an action plan?

A customised Action Plan is sent to councils along with the Audit Report. This plan identifies any areas that were scored "poor" or "fair" in the audit and provides recommendations to improve WHS performance in those areas. The Action Plan is provided to assist councils in their internal planning process. It does not need to be completed or submitted as part of the audit.

When will I receive the results of the audit?

A report summarising the findings of your audit will be sent out in September and will include your individual council results as well as data to benchmark against other councils. Please note that analysis for benchmarking can only be completed once all council responses have been received.

Will there be a verification of the audit results?

Audit verifications are conducted for approximately 20% of councils each year. These desktop assessments review your supporting documents for selected elements of the audit and take place after the audit reports have been sent out.

What if I need more assistance?

If you have difficulty accessing the audit or need assistance when completing the audit, please contact the StateCover Safety & Wellbeing team on sandw@statecover.net.au.

S&W

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