



Australian Government

BSBWHS606 Conduct a WHS audit

Release: 1

BSBWHS606 Conduct a WHS audit

Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 1.0.

Application

This unit describes the skills and knowledge required to conduct an internal work health and safety (WHS) audit or an external WHS audit under the guidance of a lead auditor.

This unit applies to the auditing of a systematic approach to managing WHS, which may or may not be formalised as part of a WHS management system, and can be against internal or external benchmarks. It involves systematic examination against audit criteria to determine conformance to planned arrangements for the management of WHS.

It applies to personnel required to conduct a WHS audit. A WHS audit may be conducted by an individual or by a team and may be concurrent with other management system audits or conducted as a standalone exercise.

This unit does not cover evaluation of the organisation's overall WHS performance, which is addressed in BSBWHS604 Evaluate the WHS performance of organisations.

NOTE: The terms 'occupational health and safety' (OHS) and 'work health and safety' (WHS) are equivalent and generally either can be used in the workplace. In jurisdictions where the Model WHS Legislation has not been implemented RTOs are advised to contextualise the unit of competency by referring to the existing State/Territory OHS legislative requirements.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

Unit Sector

Regulation, Licensing and Risk – Work Health and Safety

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>

ELEMENT	PERFORMANCE CRITERIA
1 Prepare for a WHS audit	1.1 Define the scope, objectives and benchmarks of the audit 1.2 Identify and obtain relevant documentation, including preliminary material, on the operation of the organisation 1.3 Identify and arrange resources required to conduct the audit 1.4 Assign timing, schedule and responsibilities for the audit
2 Develop a WHS audit plan	2.1 Ensure nature of information and data collected provides valid and reliable evidence of the systematic approach to managing WHS and risk controls within the context of the organisation 2.2 Include key personnel and stakeholders in sources of evidence 2.3 Ensure information and data collection strategies address issues of security, confidentiality, impartiality and equity 2.4 Include opportunities for corroborating evidence in information- and data collection strategies 2.5 Document audit plan and submit to key personnel and stakeholders for consultation and feedback 2.6 Modify audit plan in relation to feedback from key personnel and stakeholders 2.7 Re submit audit plan to key personnel and stakeholders for comment as appropriate 2.8 Negotiate issues concerning audit plan with key personnel and stakeholders, and amend documents where required
3 Select appropriate WHS audit tools	3.1 Ensure audit tools accurately reflect the criteria of the benchmark, nature of risks, identified relevant information and data types 3.2 Ensure audit tools focus on WHS management processes 3.3 Ensure audit tools can be used with consistent outcomes by all members of the audit team 3.4 Ensure audit tools enable collection of evidence in a timely and efficient manner 3.5 Trial audit tools and modify as required
4 Gather information, data and WHS records	4.1 Consult a broad range of workplace personnel during evidence-gathering activities 4.2 Gather information, data and WHS records, compare with the audit plan and identify reasons for discrepancies 4.3 Identify and use alternative methods when required information, data and WHS records are not forthcoming using planned methods

ELEMENT	PERFORMANCE CRITERIA
	<p>4.4 Check reliability and validity of information, data and WHS records with a number of sources</p> <p>4.5 Adapt to contingencies as they arise</p>
5 Undertake WHS audit activities	<p>5.1 Undertake preliminary evaluation</p> <p>5.2 Undertake initial meetings and work site familiarisation</p> <p>5.3 Monitor progress of the audit plan with key personnel and stakeholders and/or audit team members to ensure resources are being used as planned, and that audit objectives and audit timelines are being achieved</p> <p>5.4 Progressively document and retain records of information, data and WHS records and findings in an appropriate format</p> <p>5.5 Report promptly the hazards and risks identified during the audit to key personnel and stakeholders and/or person in control of the workplace</p> <p>5.6 Address own health and safety during the audit according to organisational requirements and standards for safe work practices and applicable WHS legislation</p> <p>5.7 Ensure information and data collection and evaluation activities comply with legal requirements and are carried out ethically</p> <p>5.8 Undertake exit meetings with key personnel and stakeholders as appropriate</p>
6 Report on the outcomes of the WHS audit	<p>6.1 Compare results of the evaluation against audit criteria</p> <p>6.2 Consult appropriately on evaluation results and develop summary audit findings and recommendations</p> <p>6.3 Present summary audit findings and recommendations to key personnel and stakeholders at the closing meeting</p> <p>6.4 Present objective evidence with clear and concise findings, including benefits to be achieved by adoption of the audit recommendations</p> <p>6.5 Anticipate possible challenges to the report and prepare further explanations to promote acceptance</p> <p>6.6 Recommend corrective action and follow up processes as required</p>

Foundation Skills

This section describes language, literacy, numeracy and employment skills incorporated in the performance criteria that are required for competent performance.

Skill	Performance Criteria	Description
Reading	1.2, 3.1, 3.2, 4.2, 4.4, 6.1	<ul style="list-style-type: none"> Identifies, interprets and analyses complex legislative and organisational texts relevant to audit requirements
Writing	2.5, 2.5, 2.6, 2.8, 5.4, 5.5, 6.2	<ul style="list-style-type: none"> Communicates information about the audit plan, matching style of writing to purpose and audience Drafts and develops required documents using appropriate vocabulary, grammatical structure and organisational conventions
Oral communication	4.1, 5.2, 5.5, 5.8, 6.2, 6.3, 6.4	<ul style="list-style-type: none"> Presents information or ideas using vocabulary appropriate to the audience and context Uses questioning and active listening to facilitate discussion, seek clarification or confirm understanding
Numeracy	1.4, 4.2, 4.3, 4.4, 6.1, 6.2	<ul style="list-style-type: none"> Extracts and evaluates the mathematical information embedded in audit data and records Applies mathematical processes to set timeframes and compare or contrast data Uses formal and informal oral and written mathematical language and representation to communicate about the audit plan
Navigate the world of work	2.3, 5.5, 5.6, 5.7	<ul style="list-style-type: none"> Understands own legal and ethical rights and responsibilities in relation to the audit Keeps up to date on changes to legislation or regulations relevant to own rights and responsibilities and considers implications of these when negotiating, planning and undertaking work
Interact with others	4.1, 5.2, 5.3, 5.8, 6.2, 6.3, 6.5	<ul style="list-style-type: none"> Recognises and applies the protocols governing what to communicate, with whom and how when gathering evidence, running meetings or consulting Collaborates with others to achieve joint outcomes, playing an active role in facilitating effective group interaction, influencing direction and taking a leadership role on occasion Negotiates agreement on the best course of action regarding audit recommendations
Get the work done	1.1-1.4, 2.1-2.8, 3.1-3.5, 4.2-4.5, 5.1-5.3, 5.4, 6.1, 6.5,	<ul style="list-style-type: none"> Uses formal, logical planning processes, and an increasingly intuitive understanding of context, to plan for the audit Sequences and schedules complex activities, monitors

	6.6	<p>implementation and manages relevant communication</p> <ul style="list-style-type: none"> • Considers whether, and how, others should be involved in the selection of audit tools or methods, using consultative or collaborative processes as part of the decision making process, when appropriate • Uses systematic, analytical processes in complex, non-routine situations, setting goals, gathering relevant information, and identifying and evaluating options against agreed criteria • Recognises and anticipates problems, their symptoms and causes, actively looking for early warning signs and implementing contingency plans as required • Uses digital systems and tools to access, record, organise, analyse and display information
--	-----	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBWHS606 Conduct a WHS audit	BSBWHS606A Conduct a WHS audit	Updated to meet Standards for Training Packages	Equivalent unit

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.education.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10>