



Australian Government

BSBWHS606A Conduct a WHS audit

Release 1

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Modification History

| Release | Comments |
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| Release 1 | <p data-bbox="612 501 1310 573">This Unit first released with <i>BSB07 Business Training Package version 7.0</i>.</p> <p data-bbox="612 645 1350 712">Replaces and is equivalent to BSBOHS608B Conduct an OHS audit.</p> |

Unit Descriptor

This unit describes the performance outcomes, 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, which may or may not be part of certification against a recognised benchmark or standard.

It involves systematic examination against audit criteria to determine conformance to planned arrangements for the management of WHS.

The unit includes developing an audit plan and tools to gather WHS information and data, ensuring client/management liaison and briefing, arranging access to information, setting up entry and exit meetings, coordinating evaluation/audit and audit team, and submitting reports.

The scope and benchmark criteria for the audit will be agreed before the commencement of WHS information and data gathering and may address all areas of the organisation or an identified function, business or geographical area.

Application of the Unit

This unit applies to personnel required to conduct a WHS audit.

It 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.

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 BSBWHS604A 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 National 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.

Licensing/Regulatory Information

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

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

| Element | Performance Criteria |
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| <i>Elements describe the essential outcomes of a unit of competency.</i> | <i>Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.</i> |

Elements and Performance Criteria

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| 1. Prepare for a WHS audit | <p>1.1 Define the scope, objectives and benchmarks of the audit</p> <p>1.2 Identify and obtain relevant documentation, including preliminary material, on the operation of the organisation</p> <p>1.3 Identify and arrange resources required to conduct the audit</p> <p>1.4 Assign timing, schedule and responsibilities for the audit</p> |
| 2. Develop a WHS audit plan | <p>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</p> <p>2.2 Include key personnel and stakeholders in sources of evidence</p> <p>2.3 Ensure information and data-collection strategies address issues of security, confidentiality, impartiality and equity</p> <p>2.4 Include opportunities for corroborating evidence in information and data-collection strategies</p> <p>2.5 Document audit plan and submit to key personnel and stakeholders for consultation and feedback</p> <p>2.6 Modify audit plan as a result of feedback from key personnel and stakeholders</p> <p>2.7 Re-submit audit plan to key personnel and stakeholders for comment as appropriate</p> <p>2.8 Negotiate issues concerning audit plan with key personnel and stakeholders, and amend documents where required</p> |
| 3. Select appropriate WHS audit tools | <p>3.1 Ensure audit tools accurately reflect the criteria of the benchmark, nature of risks, identified relevant information and data types</p> <p>3.2 Ensure audit tools focus on WHS management processes</p> <p>3.3 Ensure audit tools can be used with consistent outcomes by all members of the audit team</p> <p>3.4 Ensure audit tools can collect evidence in a timely and efficient manner</p> <p>3.5 Trial audit tools and modify as required</p> |
| 4. Gather information, data and WHS records | <p>4.1 Consult a broad range of workplace personnel during evidence-gathering activities</p> <p>4.2 Gather information, data and WHS records, compare with the audit plan and identify reasons for discrepancies</p> |

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| | <p>4.3 Identify and use <i>alternative methods</i> when required information, data and WHS records are not forthcoming using planned methods</p> <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> |
| <p>5. Undertake WHS audit activities</p> | <p>5.1 Undertake <i>preliminary evaluation</i></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 hazards and risks identified during the audit promptly 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> |
| <p>6. Report on the outcomes of the WHS audit</p> | <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 <i>objective evidence</i> 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 <i>follow-up processes</i> as required</p> |

Required Skills and Knowledge

This section describes the skills and knowledge required for this unit.

Required skills

- analytical skills to:
 - analyse relevant workplace information and data
 - contribute to the assessment of resources needed to systematically manage WHS and where appropriate access these resources
 - make observations of workplace tasks and interactions between people, their activities, equipment, environment and systems
- communication skills to:
 - conduct effective formal and informal meetings and communicate effectively with personnel at all levels of the organisation, WHS specialists and, as required, emergency services personnel
 - use language appropriate to the work team and the task
 - write complex documents, such as policies, procedures and plans
- consultation and negotiation skills to:
 - develop plans
 - implement and monitor designated actions
- information technology skills to:
 - access and download internal and external information and data on WHS
 - use a range of media
- organisational skills to manage own tasks within a timeframe
- project-management skills to achieve change in WHS matters
- research skills to:
 - access relevant WHS information and data
 - pay attention to detail when making observations and recording outcomes
 - use information and data-gathering techniques, such as brainstorming, polling and interviewing.

Required knowledge

- auditing methods and techniques
- commonwealth and state or territory WHS Acts, regulations and codes of practice
- development and use of WHS performance assessment tools, such as positive performance indicators (PPIs)
- ethics related to professional practice
- formal and informal communication and consultation processes, and key personnel related to communication
- internal and external sources of WHS information and data, and how to access them
- language, literacy and cultural profile of the work team
- legal liability in relation to providing advice

- methods for collecting reliable information and data, commonly encountered problems in collection, and strategies for overcoming such problems
- methods for providing evidence of compliance with WHS legislation
- nature and use of information and data that provide valid and reliable results on performance of WHS management processes (including PPIs) and limitations of other types of measures
- nature of workplace processes (work flow, planning and control) and hazards relevant to the workplace
- organisational behaviour and culture as they impact on WHS and on change
- other functional areas that impact on the management of WHS
- principles and practices of a systematic approach to managing WHS
- principles of effective meetings, including agendas, action planning, chair and secretarial duties, minutes and action items
- requirements for recordkeeping that address WHS, privacy and other relevant legislation
- standards related to WHS information and data, statistics and records management, including requirements for information and data under elements of systematically managing WHS
- WHS legislative requirements regarding:
 - communication, consultation and participation
 - notification of incidents
 - recordkeeping
 - specific hazard identification and risk assessment methods
- WHS legislative responsibilities, duties and obligations of managers, supervisors, workers, and persons conducting businesses or undertakings (PCBUs) or their officers.

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

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| Overview of assessment | |
| Critical aspects for assessment and evidence required to demonstrate competency in this unit | <p>Evidence of the following is essential:</p> <ul style="list-style-type: none"> • conducting an internal or external WHS audit, ensuring knowledge of hazard identification, risk assessment, risk control and WHS risk-management approaches are reflected in the audit tools and the methods used for collecting evidence • knowledge of products developed for the design and development of audit plans, tools, associated documentation and how these products were developed and used • knowledge of auditing methods and techniques. |
| Context of and specific resources for assessment | <p>Assessment must ensure access to:</p> <ul style="list-style-type: none"> • a workplace, including personnel involved in areas audited • organisational documentation, information and data. |
| Method of assessment | <p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</p> <ul style="list-style-type: none"> • analysis of responses to case studies and scenarios • direct questioning combined with review of portfolios of evidence and third-party reports of on-the-job performance by the candidate • demonstration of techniques used in conducting a WHS audit • observation of performance in role plays • observation of presentations • oral or written questioning to assess knowledge of nature of workplace processes (including work flow, planning and control) and hazards relevant to the particular workplace |

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| | <ul style="list-style-type: none">• review of audit plan• evaluation of audit tools developed and appropriateness of modifications• assessment of reporting on hazards identified during the audit• review of audit findings and recommendations. |
| Guidance information for assessment | <p>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:</p> <ul style="list-style-type: none">• BSBWHS602A Facilitate WHS activities• BSBWHS604A Evaluate the WHS performance organisations. |

Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

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| <i>Benchmarks</i> may include: | <ul style="list-style-type: none"> • Australian and international standards • industry standards • standards developed by WHS regulators • other standards developed or adopted for internal use by the organisation. |
| <i>Relevant documentation</i> may include: | <ul style="list-style-type: none"> • codes of practice • guidance material • industry standards • organisational documents • WHS legislation. |
| <i>Resources</i> may include: | <ul style="list-style-type: none"> • equipment • specialist personnel. |
| <i>Information and data collected</i> may include: | <ul style="list-style-type: none"> • complaints • enforcement/compliance notices and actions • hazard logs • incident and injury reports • information and data changes since last audit, such as new equipment, processes, products, substances or projects • interviews with management, supervisors, work groups, workers and other parties across a range of levels and roles, including: <ul style="list-style-type: none"> • health and safety representatives • WHS committee members • design personnel • contractors • legal reports • management system documentation, including: <ul style="list-style-type: none"> • duty statements • policies and procedures • position descriptions • observations in the workplace, work operations and records • operational documentation, including: |

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| | <ul style="list-style-type: none"> • action plans • checklists • completed forms • legally accessible health surveillance records • log books • maintenance reports • minutes of meetings • schedules • previous management system reports and industry risk profiles • reports and management reviews • surveillance audits • training materials and records • workers' compensation claims. |
| <i>Systematic approach to managing WHS</i> may include: | <ul style="list-style-type: none"> • comprehensive set of processes that are combined in a methodical and ordered manner to minimise the risk of injury or ill health in the workplace, such as: <ul style="list-style-type: none"> • allocation of resources • communication and consultation • hazard management • processes of WHS planning • recordkeeping and reporting • review and evaluation for ongoing WHS improvement • training and competency development. |
| <i>Key personnel and stakeholders</i> may include: | <ul style="list-style-type: none"> • customers/clients • managers and supervisors • persons in control of the workplace, PCBUs or their officers • persons across a range of levels and roles, including: <ul style="list-style-type: none"> • health and safety representatives • workers • health and safety committee members • design personnel • contractors, where appropriate. |
| <i>Audit plan</i> may include: | <ul style="list-style-type: none"> • information and data required to be on hand • locations to be inspected • meetings to be scheduled and people to be interviewed |

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| | <ul style="list-style-type: none"> • personnel involved • sampling methodology, including statistical measures • scope of audit • timelines. |
| <i>Audit tools</i> may include: | <ul style="list-style-type: none"> • instruments for collecting evidence and conducting the analysis and evaluation (not the same as the audit criteria or benchmark): <ul style="list-style-type: none"> • which may be: <ul style="list-style-type: none"> • adapted from existing tools • developed specifically for the purpose • purchased or accessed from existing tools • which may include: <ul style="list-style-type: none"> • descriptions of required characteristics to be checked • limitations of and instructions for use • performance checklists • sets of questions to be asked. |
| <i>Alternative methods</i> may include: | <ul style="list-style-type: none"> • alternative sampling methodologies • alternative information and data • discussion groups • how evidence deficiencies will be addressed • interviewing • modified audit checklists • observation • surveys. |
| <i>Preliminary evaluation</i> may include: | <ul style="list-style-type: none"> • off-site consultations • reviews of relevant organisational: <ul style="list-style-type: none"> • documentation • information • data. |
| <i>Objective evidence</i> may include: | <ul style="list-style-type: none"> • information and data obtained through: <ul style="list-style-type: none"> • observation • measurement • tests • other means. |
| <i>Follow-up processes</i> may include: | <ul style="list-style-type: none"> • agreed meeting date with the organisation, allowing sufficient time for implementation of corrective actions, which may include: <ul style="list-style-type: none"> • checks of the rigour of original audit findings • provision of new non-conformance reports if |

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| | required <ul style="list-style-type: none">• verification of effectiveness of recommendations and control actions, particularly in correction of non-compliance. |
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Unit Sector(s)

Regulation, Licensing and Risk – Work Health and Safety