



**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                  | <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 in relation to 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 enable collection of 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> <p>4.3 Identify and use alternative methods when required information, data and WHS records are not forthcoming using planned methods</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

| 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"> <li>Identifies, interprets and analyses complex legislative and organisational texts relevant to audit requirements</li> </ul>                                                                                                                                                                                                                                                                                                                          |
| Writing                    | 2.5, 2.5, 2.6, 2.8, 5.4, 5.5, 6.2                           | <ul style="list-style-type: none"> <li>Communicates information about the audit plan, matching style of writing to purpose and audience</li> <li>Drafts and develops required documents using appropriate vocabulary, grammatical structure and organisational conventions</li> </ul>                                                                                                                                                                                                      |
| Oral communication         | 4.1, 5.2, 5.5, 5.8, 6.2, 6.3, 6.4                           | <ul style="list-style-type: none"> <li>Presents information or ideas using vocabulary appropriate to the audience and context</li> <li>Uses questioning and active listening to facilitate discussion, seek clarification or confirm understanding</li> </ul>                                                                                                                                                                                                                              |
| Numeracy                   | 1.4, 4.2, 4.3, 4.4, 6.1, 6.2                                | <ul style="list-style-type: none"> <li>Extracts and evaluates the mathematical information embedded in audit data and records</li> <li>Applies mathematical processes to set timeframes and compare or contrast data</li> <li>Uses formal and informal oral and written mathematical language and representation to communicate about the audit plan</li> </ul>                                                                                                                            |
| Navigate the world of work | 2.3, 5.5, 5.6, 5.7                                          | <ul style="list-style-type: none"> <li>Understands own legal and ethical rights and responsibilities in relation to the audit</li> <li>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</li> </ul>                                                                                                                                                |
| Interact with others       | 4.1, 5.2, 5.3, 5.8, 6.2, 6.3, 6.5                           | <ul style="list-style-type: none"> <li>Recognises and applies the protocols governing what to communicate, with whom and how when gathering evidence, running meetings or consulting</li> <li>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</li> <li>Negotiates agreement on the best course of action regarding audit recommendations</li> </ul> |
| 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"> <li>Uses formal, logical planning processes, and an increasingly intuitive understanding of context, to plan for the audit</li> <li>Sequences and schedules complex activities, monitors</li> </ul>                                                                                                                                                                                                                                                     |

|  |     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|--|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | 6.6 | <p>implementation and manages relevant communication</p> <ul style="list-style-type: none"><li>• 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</li><li>• Uses systematic, analytical processes in complex, non-routine situations, setting goals, gathering relevant information, and identifying and evaluating options against agreed criteria</li><li>• Recognises and anticipates problems, their symptoms and causes, actively looking for early warning signs and implementing contingency plans as required</li><li>• Uses digital systems and tools to access, record, organise, analyse and display information</li></ul> |
|--|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## Unit Mapping Information

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

## Links

Companion Volume implementation guides are found in VETNet -

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

# Assessment Requirements for BSBWHS606 Conduct a WHS audit

## Modification History

| Release   | Comments                                                                             |
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## Performance Evidence

Evidence of the ability to:

- prepare for a WHS audit including:
  - defining scope, objectives and benchmarks
  - obtaining relevant information
  - arranging resources
  - assigning timing, schedule and responsibilities
- develop a WHS audit plan including:
  - ensuring validity and reliability of evidence
  - incorporating **key personnel and stakeholders**
  - ensuring security, confidentiality, impartiality and equity
  - gathering corroborating evidence
  - documenting the plan
  - getting feedback, modifying and resubmitting the plan for comment
  - negotiating issues and amending as required
- select, develop, trial and modify WHS audit tools ensuring that they:
  - reflect specific requirements
  - focus on WHS management processes
  - can be used consistently by the audit team
  - can be used in timely and efficient manner
- gather information, data and WHS records including:
  - consulting a broad range of workplace personnel
  - identifying reasons for discrepancies
  - using alternative methods when needed
  - checking reliability and validity
  - adapting to any contingencies
- undertake WHS audit activities including:

- conducting a preliminary evaluation, initial meetings and work site familiarisation
- monitoring progress
- documenting and recording
- reporting hazards and risks
- addressing own health and safety
- ensuring legal and ethical compliance
- conducting entry and exit meetings
- report on the outcomes of the WHS audit including:
  - comparing results against criteria
  - consulting on results and developing findings and recommendations
  - presenting clear and objective evidence, findings and recommendations, including explanations of benefits
  - recommending further action required.

Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.

## Knowledge Evidence

To complete the unit requirements safely and effectively, the individual must:

- outline auditing methods and techniques
- outline commonwealth and state or territory WHS Acts, regulations and codes of practice
- explain development and use of WHS performance assessment tools including positive performance indicators (PPIs)
- outline ethics related to professional practice
- describe formal and informal communication and consultation processes and key personnel related to communication
- identify internal and external sources of WHS information and data, and how to access them
- explain legal liability in relation to providing WHS advice
- summarise methods for collecting reliable information and data, commonly encountered problems in collection, and strategies for overcoming such problems
- list methods for providing evidence of compliance with WHS legislation
- describe the 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
- outline the nature of workplace processes (work flow, planning and control) and hazards relevant to the workplace
- describe organisational behaviour, diversity and culture as they impact on WHS and on change
- identify other functional areas that impact on the management of WHS
- summarise the principles and practices of a systematic approach to managing WHS

- identify the requirements for recordkeeping that address WHS, privacy and other relevant legislation
- identify standards related to WHS information and data, statistics and records management, including requirements for information and data under elements of systematically managing WHS
- summarise WHS legislative requirements regarding:
  - communication, consultation and participation
  - notification of incidents
  - recordkeeping
  - specific hazard identification and risk assessment methods
- identify WHS legislative responsibilities, duties and obligations of managers, supervisors, workers, and persons conducting businesses or undertakings (PCBUs) or officers.

## Assessment Conditions

Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced by individuals carrying out work health and safety duties in the workplace and include access to:

- organisational documentation, information and data
- workplace policies and procedures
- WHS legislation regulations and codes of practice
- case studies and, where possible, real situations
- interaction with others.

Assessors must satisfy NVR/AQTF assessor requirements.

## Links

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