



Australian Government

BSBWHS614 Conduct a WHS audit under the guidance of a lead auditor

Release: 1

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Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 5.0.

Application

This unit describes the skills and knowledge required to conduct a work health and safety (WHS) audit in a work area to establish if an organisation is implementing planned arrangements for managing WHS risks. It involves systematic examination against audit criteria to determine compliance against identified benchmark criteria.

The unit applies to those required to conduct a WHS audit under the guidance of a lead auditor. The 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.

NOTES

1. 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 *model WHS laws* have not been implemented, registered training organisations (RTOs) are advised to contextualise this unit of competency by referring to existing WHS legislative requirements.
2. The *model WHS laws* include the model WHS Act, model WHS Regulations and model WHS Codes of Practice. See Safe Work Australia for further information.

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

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

ELEMENTS	PERFORMANCE CRITERIA
1. Prepare for WHS audit under the guidance of the lead auditor	1.1 Define scope, objectives and benchmarks of audit under lead auditor's guidance 1.2 Identify and obtain relevant documentation about operation of organisation 1.3 Identify and arrange resources required to conduct audit under lead auditor's guidance 1.4 Assign timing, schedule and responsibilities for audit under lead auditor's guidance 1.5 Develop draft audit plan according to organisational policies and procedures under lead auditor's guidance 1.6 Submit draft audit plan to required personnel for consultation and feedback 1.7 Finalise documented plan in response to feedback and distribute to required personnel
2. Select audit tools suitable to nature and scope of WHS audit under the guidance of the lead auditor	2.1 Confirm own and lead auditor role in tool selection process with lead auditor 2.2 Identify range of available WHS audit tools and assess their suitability for intended purpose and work area 2.3 Establish that audit tools can be used with consistent outcomes by all members of audit team 2.4 Review audit tools to ensure they enable collection of evidence in a timely and efficient manner 2.5 Trial audit tools and modify as required
3. Undertake WHS audit activities in work area under the guidance of the lead auditor	3.1 Confirm own and lead auditor role in WHS audit activities with lead auditor 3.2 Undertake preliminary audit meetings and work area familiarisation 3.3 Use selected audit tools and consult with stakeholders to gather WHS information, data and records about work area, as required by the audit plan and according to organisational requirements, standards for safe work practices and applicable WHS laws 3.4 Promptly report uncontrolled hazards and related assessed risks identified during audit to key personnel, stakeholders and/or person in control of workplace 3.5 Note discrepancies in risk controls and risk management arrangements, and reasons for discrepancies, according to

ELEMENTS	PERFORMANCE CRITERIA
	organisational policies and procedures 3.6 Check reliability and validity of WHS information, data and records supporting audit activities with required sources 3.7 Undertake exit audit meetings with required personnel and stakeholders
4. Report on outcomes of WHS audit	4.1 Compare results of audit with audit benchmark criteria 4.2 Develop summary audit findings and recommendations, consulting with stakeholders as required 4.3 Present summary audit findings and recommendations to key personnel 4.4 Document final audit outcomes according to organisational policies and procedures

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.

Skill	Description
Reading	- Identifies, interprets and analyses legislative and organisational texts relevant to WHS audit requirements - Reviews and interprets information and data gathered during audit activities
Writing	- Communicates information about 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	- Presents information and ideas using vocabulary appropriate to audience and context - Uses questioning and active listening to facilitate discussion, seek clarification and confirm

Skill	Description
	understanding
Numeracy	- Extracts and evaluates mathematical information embedded in audit data and records - Applies mathematical processes to set timeframes and compare or contrast data
Navigate the world of work	- Identifies own and others' legal responsibilities in relation to WHS audit advice - Keeps up to date on changes to WHS laws relevant to audit, and considers their implications when negotiating, planning and undertaking work
Interact with others	- Applies the protocols governing what, with whom and how to communicate when gathering evidence and 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	- Uses logical planning processes and understanding of context to plan for audit - Sequences and schedules activities, monitors implementation and manages relevant communication - Involves others in the selection of audit tools or methods, using consultative or collaborative processes as part of the decision-making process when appropriate - Maintains systematic records of data-gathering activities - Uses systematic and analytical processes in non-routine situations:

Skill	Description
	sets goals, gathers relevant information, and identifies and evaluates options against agreed benchmark criteria • Uses digital systems and tools to access, record, organise, analyse and display information • Validates audit findings and reflects organisational constraints and challenges in audit recommendations

Unit Mapping Information

Supersedes and is equivalent to BSBWHS606 Conduct a WHS audit.

Links

Companion Volume Implementation Guides are available from VETNet -

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

Assessment Requirements for BSBWHS614 Conduct a WHS audit under the guidance of a lead auditor

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Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, and to:

- prepare for and conduct one work health and safety (WHS) audit under the guidance of a lead auditor.

During the above, the candidate must:

- outline purpose, scope and objectives of audit in a preliminary meeting
- develop and implement a WHS audit plan suited to the work area, which reflects nature and scope of required audit
- select, develop, trial and modify WHS audit tools suited to audit and work area
- gather information, data and WHS records, consulting required range of workplace personnel
- report on WHS audit outcomes
- make recommendations in areas where improvements are identified
- work effectively under the guidance of a lead auditor.
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Knowledge Evidence

The candidate must demonstrate the knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit. This includes knowledge of:

- WHS legislative responsibilities, duties and obligations of managers, supervisors, workers and persons conducting a business or undertaking (PCBUs) or officers
- WHS legislative requirements regarding:
 - communication, consultation and participation processes in a WHS audit
 - notification of incidents
 - audit recordkeeping
 - hazard identification and risk assessment methods

- procedures for identifying WHS audit tools and assessing their suitability
- nature and use of information and data that provide valid and reliable results about performance of WHS risk-management processes and positive performance indicators, and limitations of other types of measures
- key components of a WHS audit plan, including:
 - nature of information and data to be collected
 - key audit personnel
 - information and data collection strategies that ensure security, confidentiality, impartiality and equity
 - process that includes opportunities for corroborating performance evidence collected
- principles and practices of WHS audit, including:
 - reflecting understanding of nature of workplace, work processes, and hazards and controls relevant to workplace
 - methods for collecting reliable WHS information and data
 - methods for interviewing those subject to audit, including arrangements to validate audit findings
 - strategies for addressing commonly encountered problems in collection, and adapting to contingencies as they arise to meet WHS legislative and audit outcome requirements
 - methods for collecting evidence of compliance with WHS laws
 - consulting with required personnel, including lead auditor
- key components of audit findings, including:
 - recommendations
 - non-compliances, uncontrolled hazards and associated risks
 - objective evidence and rationale
- procedures for developing and using benchmark criteria during WHS audit, including positive performance indicators (PPIs)
- features of good-practice WHS audit tools
- internal and external sources of WHS information and data, and procedures for accessing them
- requirements for recordkeeping that address WHS, privacy, confidentiality and other legislative requirements
- roles and responsibilities of internal and external personnel as they apply to WHS audit
- legal liability in relation to providing WHS audit advice
- role of lead auditor and own relationship to lead auditor.
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Assessment Conditions

Assessment must comply with WHS laws, legal responsibilities and duty of care required for this unit. It must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities undertaken by individuals carrying out WHS duties in the workplace, and must include access to:

- lead auditor

- organisational documentation, information and data required for WHS audits
- WHS laws, and organisational policies and procedures required to demonstrate the performance evidence
- case studies and, where possible, real situations
- opportunities for interaction with others.

Assessors of this unit must satisfy the assessor requirements in applicable vocational education and training legislation, frameworks and/or standards.

Links

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