



Australian Government

Department of Education, Employment and Workplace Relations

BSBOHS608B Conduct an OHS audit

Revision Number: 1

BSBOHS608B Conduct an OHS audit

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to conduct an internal or external occupational health and safety (OHS) audit that may or may not be part of certification against a recognised benchmark. It involves systematic examination against audit criteria to determine conformance with planned arrangements and the effectiveness of the organisation's approaches to managing OHS. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.
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Application of the Unit

Application of the unit	This unit covers the conduct of an OHS audit including developing an audit plan and tools to gather OHS information and data, ensuring client/management liaison and briefing, arranging access to information, setting up entry and exit meetings, and coordinating evaluation/audit and audit team against time lines and the submission of reports. This unit does not cover the evaluation (an integral part of an OHS audit), which is addressed in BSBOHS609B Evaluate an organisation's OHS performance. People having responsibility for an OHS audit will require competence in both units BSBOHS608B Conduct an OHS audit, and BSBOHS609B Evaluate an organisation's OHS performance. This unit applies to the auditing of systematic approaches to managing OHS, which may or may not be formalised as part of an OHS management system, and can apply to internal or external benchmarks. The scope and benchmark criteria for the audit will be agreed before the commencement of OHS information and data gathering and may address all areas of the organisation or an identified function, business or geographical area. An OHS audit may be conducted by an individual or by a team and may be concurrent with other management system audits or conducted as a stand alone exercise.
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Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units	

Employability Skills Information

Employability skills	This unit contains employability skills.
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Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	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.
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Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Plan an OHS audit	1.1. Define the scope, objectives and benchmark 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 an OHS audit plan	2.1. Ensure nature of information and data collected provides valid and reliable evidence of the systematic approach to managing OHS and risk controls within the context of the organisation 2.2. Include in sources of evidence key personnel and stakeholders 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. Develop and document the audit plan and submit to client 2.6. Modify the audit plan as a result of client input and preliminary trialling, and to adapt to contingencies as they arise 2.7. Re-submit audit plan to client for comment as appropriate 2.8. Negotiate issues concerning the audit plan with the client and amend documents where required
3. Develop an OHS audit tool	3.1. Ensure audit tool/s accurately reflect the criteria of the benchmark, nature of risks, identified relevant information and data types 3.2. Ensure audit tools focus on evaluation of performance of the OHS management processes 3.3. Ensure audit tools can be used with consistent outcomes by all members of the audit team 3.4. Enable audit tools to collect evidence in a timely and efficient manner 3.5. Modify audit tools as a result of preliminary trial/s
4. Gather information,	4.1. Consult a broad range of workplace personnel

ELEMENT	PERFORMANCE CRITERIA
data and OHS records	during evidence gathering activities throughout the audit 4.2. Gather types and sources of evidence, compare this evidence with the audit plan and identify reasons for discrepancies 4.3. Identify and use alternative methods when evidence is not forthcoming using planned methods 4.4. Check information and data reliability with a number of sources
5. Undertake OHS audit activities	5.1. Undertake preliminary evaluation 5.2. Undertake initial meetings and worksite familiarisation 5.3. Monitor progress of the audit plan with the client and/or audit team members to ensure resources are being used as planned, and that the audit objectives and audit time lines are being achieved 5.4. Progressively document and retain records of evidence and findings, in an appropriate format 5.5. Report in a prompt manner to the appropriate person/s, including supervisor and/or person in control of the workplace, hazards identified during the audit 5.6. Address own health and safety during the audit in accordance with organisational requirements and standards for safe work practices 5.7. Ensure information and data collection and evaluation activities comply with legal requirements and are carried out ethically 5.8. Undertake exit meetings with key personnel and stakeholders as appropriate
6. Report on the outcomes of the OHS audit	6.1. Present summary audit findings and recommendations to the client at the closing meeting, after consultation with key personnel and stakeholders 6.2. Compare results of the evaluation against the audit criteria 6.3. Present objective evidence with clear and concise findings, including benefits to be achieved by adoption of the audit report recommendations 6.4. Anticipate possible challenges to the report and prepare further explanations to promote acceptance 6.5. Recommend to the client corrective action and

ELEMENT	PERFORMANCE CRITERIA
	<i>follow-up processes</i>

Required Skills and Knowledge

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, and to make observations of workplace tasks and interactions between people, their activities, equipment, environment and systems
- research skills to:
 - access relevant OHS information and data
 - use information and data gathering techniques such as brainstorming, polling, interviewing
- communication skills to:
 - relate effectively with personnel at all levels of the organisation, OHS specialists and, as required, emergency services personnel
 - consult and negotiate to develop plans, and to implement and monitor designated actions
 - use language and literacy skills appropriate to the workgroup and the task
 - write complex documents on policies, procedures and plans
- project management skills to achieve change and to contribute to the assessment of resources needed to systematically manage OHS and, where appropriate, access resources
- organisational skills to manage own tasks within a timeframe
- information technology skills to access and enter internal and external information on OHS
- attention to detail when making observations and recording outcomes.

Required knowledge

- roles and responsibilities under OHS legislation of employees including supervisors, contractors, OHS inspectors etc
- legislative requirements for OHS information and data, and consultation
- state/territory and commonwealth OHS legislation (acts, regulations, codes of practice, associated standards and guidance material) including prescriptive and performance approaches, and links to other relevant legislation such as industrial relations, equal employment opportunity, workers compensation, rehabilitation
- structure and forms of legislation including regulations, codes of practice, associated standards and guidance material
- difference between common law and statutory law
- concept of common law duty of care
- requirements for record keeping that address OHS, privacy and other relevant legislation
- standards related to OHS information and data, statistics and records management

REQUIRED SKILLS AND KNOWLEDGE

- including requirements for information and data under elements of systematically managing OHS
- nature and use of information and data that provides valid and reliable results on performance of OHS management processes (including positive performance indicators [PPIS]) and limitations of other types of measures
- development of tools such as PPIS in assessment of OHS performance
- methods of collecting reliable information and data, commonly encountered problems in collection, and strategies for overcoming such problems
- requirements under hazard-specific OHS legislation and codes of practice
- principles of incident causation and injury processes
- hierarchy of control and considerations for choosing between different control measures, such as possible inadequacies of particular control measures
- standard industry controls for a range of hazards
- limitations of generic hazard and risk checklists and risk ranking processes
- sampling methodologies, application and related statistical measures
- principles and practices of a systematic approach to managing OHS
- requirements of OHS and standards related to systematically managing OHS
- other functional areas that impact on the management of OHS
- internal and external sources of OHS information and data
- how the characteristics and composition of the workforce impact on risk and the systematic approach to managing OHS, for example:
 - labour market changes
 - structure and organisation of workforce e.g. part-time, casual and contract workers, shift rosters, geographical location
 - language, literacy and numeracy
 - communication skills
 - cultural background/workplace diversity
 - gender
 - workers with specific needs
- auditing methods and techniques
- benefits, limitations and use of a range of communication strategies and tools appropriate to the workplace
- organisational behaviour and culture as it impacts on OHS and on change
- ethics related to professional practice
- methods of providing evidence of compliance with OHS legislation
- professional liability in relation to providing advice
- principles of effective meetings including agendas, action planning, chair and secretarial duties, minutes and action items
- nature of workplace processes (including work flow, planning and control) and hazards relevant to the particular workplace
- formal and informal communication and consultation processes, and key personnel

REQUIRED SKILLS AND KNOWLEDGE

related to communication

- language, literacy and cultural profile of the workgroup.

Evidence Guide

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.

Overview of assessment

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of the following is essential:

- conduct of an internal or external OHS audit, ensuring underpinning knowledge of hazard identification, risk assessment and OHS risk management approaches are reflected in the audit tool/s and the methods used for collecting evidence
- products developed for the design and development of audit plans, tools, associated documentation and the systematic examination against defined criteria to determine conformance to planned arrangements
- how these products were developed
- use of these products
- knowledge of auditing methods and techniques.

Context of and specific resources for assessment

Assessment must ensure:

- access to organisation documentation, information and data
- access to workplace, including personnel involved in areas audited.

Method of assessment

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:

- 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 an OHS 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
- review of audit plan

EVIDENCE GUIDE	
	• 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	Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example: • BSBOHS609B Evaluate an organisation's OHS performance.

Range Statement

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.

Benchmark may include:

- Australian or international standards
- industry standards
- standards developed by OHS authorities
- standards developed internally by the organisation or by commercial organisations

Relevant documentation may include:

- codes of practice
- guidance material
- industry standards
- OHS legislation
- organisational documents

Resources may include:

- equipment
- specialist personnel

Information and data collected may include:

- claims
- legal reports
- complaints
- hazard logs
- incident and injury reports
- enforcement notices and actions
- surveillance audits
- information and data changes since last audit such as new equipment, processes, products, substances or projects
- interviews with management, supervisors, work groups, employees and other parties across a range of levels and roles including:
 - health and safety representatives
 - OHS committee members
 - design personnel
 - contractors
- management system documentation including:
 - policies and procedures
 - position descriptions

RANGE STATEMENT	
	• duty statements • observations in the workplace, work operations and records • operational documentation including: • completed forms • schedules • checklists • log books • minutes of meetings • action plans • maintenance reports • health surveillance records • previous management system reports and industry risk profiles • reports and management reviews • training materials and records
<i>Systematic approach to managing OHS</i> may include:	• 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: • allocation of resources • review and evaluation for ongoing OHS improvement • communication and consultation • hazard management • processes of OHS planning • record keeping and reporting • training and competency
<i>Key personnel and stakeholders</i> may include:	• management, persons in control of the workplace, supervisors • employees and other parties across a range of levels and roles including: • health and safety representatives • OHS committee members • design personnel • where appropriate, contractors • customers/clients
<i>Audit plan</i> may include:	• information and data required to be on hand • locations to be inspected

RANGE STATEMENT	
	• meetings to be scheduled, people to be interviewed • personnel involved • sampling methodology including statistical measures • scope of audit • time lines
<i>Audit tool/s</i> may include:	• instruments for collecting evidence and conducting the analysis and evaluation (they are not the same as the audit criteria or benchmark), which may be: • adapted from existing tools • developed specifically for the purpose • purchased or accessed from existing tools • and may include: • descriptions of required characteristics to be checked • limitations for and instructions for use • performance checklists • sets of questions to be asked
<i>Alternative methods</i> may include:	• alternate 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:	• off-site consultations • reviews of relevant organisational documentation, information and data
<i>Objective evidence</i> may include:	• information and data obtained through observation, measurement, tests or other means
<i>Follow-up processes</i> may include:	• agreed meeting date with the client organisation, following sufficient time for implementation of corrective actions, and may include: • checks of the rigour of original audit findings • provision of new non-conformance report/s

RANGE STATEMENT

	if required • verification of effectiveness of recommendations and control action/s, particularly in correction of non-compliance
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Unit Sector(s)

Unit sector	
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Competency field

Competency field	Regulation, Licensing and Risk - Occupational Health and Safety
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Co-requisite units

Co-requisite units		