Occupational Health, Safety, Welfare and Injury Management Auditing Procedures

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1. Purpose
These procedures set out the processes for developing and conducting Occupational Health, Safety, Welfare and Injury Management (OHSW&IM) audits at the University.

2. Scope
These procedures apply to all OHSW&IM audits conducted at workplaces owned, managed or controlled by Flinders University.

3. Definitions
For the purpose of these procedures the following definitions apply:

<table>
<thead>
<tr>
<th>Conformance</th>
<th>A conformance is an activity, item or process that conforms to legislative requirements, or University policies, procedures or other requirements of the University’s OHSW&amp;IM management system.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non Conformance</td>
<td>A non conformance is an activity, item or process that does not conform to legislative requirements, or University policies, procedures or other requirements of the University’s OHSW&amp;IM management system.</td>
</tr>
</tbody>
</table>
Observation | An observation is an activity, item or process where there are opportunities for improvement, and which may become a non-conformance in the future.
---|---
Auditor | A person appropriately trained or qualified to conduct audits. Auditors may act in teams if required.

4. Responsibilities

<table>
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<tr>
<th>Role</th>
<th>Responsibilities</th>
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</table>
| Cost Centre Heads | Responsible for ensuring that  
* staff, and where relevant, students in their Cost Centre cooperate with the audit process; and  
* there are adequate resources to remedy any non-conformances identified during any audits in their Cost Centre |
| Managers/Supervisors of areas | Responsible for  
* providing the auditor(s) with evidence of current system and procedural practices in response to audit questions; and  
* identifying and implementing corrective actions to improve OHSW&IM systems and general workplace safety, where deficiencies are detected. |
| OHS Unit | Responsible for  
* coordinating the University’s OHSW&IM audit programme;  
* maintaining records of audit programmes; and  
* assisting Cost Centres to implement corrective actions and controls to system, procedural or item deficiencies and non-conformances |

5. Types of OHSW&IM audits

5.1 Internal Audit
An internal audit is a systematic, and wherever possible, independent examination, carried out by a competent person, appointed by the University, in consultation with employees or their representatives, to determine whether an activity or activities and related results conform to planned arrangements; whether these arrangements are implemented effectively; and whether they are suitable to achieve the University’s policy and objectives. The results of the internal audits must be documented and employees consulted over them. Preventative/corrective action plans must be developed subsequently.  

5.2 Legislative Compliance Audit
A legislative compliance audit is a systematic and documented verification process to obtain and evaluate evidence to determine that the University’s OHSW&IM policies, procedures and practices comply with legislative requirements.

5.4 WorkCover Evaluation
A WorkCover evaluation is an audit or review undertaken by WorkCover SA to evaluate the University’s overall compliance with the requirements of self-insured employer registration or in relation to a particular matter of compliance.

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1 WorkCover SA definition
6. **OHSW&IM Auditor Competency**  
All auditors must be trained and experienced and must be approved by the Manager, OHS.

7. **OHSW&IM Audit Schedule**  
7.1 The OHS Unit will prepare an audit schedule and keep it up to date.

7.2 The frequency of internal and external audits will be determined taking into account:
- the level of risk associated with the activity, policy or procedure;
- the results of previous audits;
- accident and incident statistics; and
- the significance of problems encountered in the areas to be audited.

7.3 Unscheduled or follow-up audits may be conducted at any time based on:
- audit results;
- regulatory inspections;
- operational changes;
- management reviews;
- incidents and accidents; or
- identified non-conformances.

7.4 The WorkCover self insurance evaluations are generally conducted by WorkCover SA every 2-3 years. WorkCover may also conduct additional reviews during the self insurance renewal period.

8. **Audit Procedures**

<table>
<thead>
<tr>
<th>Steps</th>
<th>Actions</th>
<th>Who is responsible</th>
</tr>
</thead>
</table>
| 8.1 Audit programme | • Prepare the audit schedules  
|                   | • Determine the scope of the audits  
|                   | • Ensure master audit checklists are prepared as required              | Manager, OHS                     |
| 8.2 Notification of audits | • prior to an audit, contact head of the unit/area to be audited notifying reasons and time of audit and confirming that the scheduled time is convenient;  
|                   | • prior to an audit advise the OHS representative(s) for the area of the audit and its scheduled time; | Manager, OHS or delegate          |
| 8.3 Preparation for audit | • Confirm scope of audit;  
|                        | • Collate relevant information for review                              | Auditor(s)                        |
| 8.4 Conducting the audit | The auditor(s) should conduct audit using the following steps:  
|                        | • Opening meeting  
|                        | • Conduct the audit  
|                        | • Closing meeting                                                 |                                    |
| 8.5 Audit Report    | Finalise the audit report which includes audit findings ,  
<p>|                    | any corrective actions required and any observations.                | Auditor(s)                        |</p>
<table>
<thead>
<tr>
<th>Steps</th>
<th>Actions</th>
<th>Who is responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Copy of the report to be sent to</td>
<td>Manager, OHS</td>
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<tr>
<td></td>
<td>• the relevant Cost Centre Head</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Chair of the relevant Cost Centre OHS Committee</td>
<td></td>
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<tr>
<td></td>
<td>• the relevant Faculty General Manager</td>
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<tr>
<td></td>
<td>• head of the academic/administrative unit audited</td>
<td></td>
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<tr>
<td></td>
<td>• health &amp; safety representative(s) for the area.</td>
<td></td>
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<tr>
<td></td>
<td>If required, arrange a follow-up meeting with</td>
<td>Auditor(s)</td>
</tr>
<tr>
<td></td>
<td>• head of the academic/administrative unit audited</td>
<td></td>
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<tr>
<td></td>
<td>• safety officer (where applicable)</td>
<td></td>
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<tr>
<td></td>
<td>• health &amp; safety representative(s) for the area</td>
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<tr>
<td></td>
<td>• OHS Consultant for the area</td>
<td></td>
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<td>8.6 Corrective actions</td>
<td>Ensure corrective actions are completed within the required timeframes, including</td>
<td>Cost Centre Head, or delegate</td>
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<tr>
<td></td>
<td>• tracking the progress and effectiveness of the corrective actions;</td>
<td></td>
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<tr>
<td></td>
<td>• closing out corrective actions;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• closing out non-conformances; and</td>
<td></td>
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<tr>
<td></td>
<td>• reporting status of corrective actions to management and to the Cost Centre OHS Committee</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Where required, provide advice and assistance to staff in the area audited</td>
<td>OHS Consultant for the area audited</td>
</tr>
<tr>
<td>8.7 Reporting</td>
<td>Report results of audits to University management and to the University OHS Committee.</td>
<td>Manager, OHS</td>
</tr>
</tbody>
</table>

9. Legal & Policy Framework

South Australian legislation:

- Occupational Health, Safety & Welfare Act 1986
- Occupational Health, Safety & Welfare Regulations 2010
- Workers’ Rehabilitation and Compensation Act 1986
- Workers Rehabilitation and Compensation (General) Regulations 1999

Where University staff are working in University premises in other States or Territories, the following legislation applies:

Victoria

- Occupational Health and Safety Act 2004
- Occupational Health and Safety Regulations 2007
- Accident Compensation Act 1985
- Workers Compensation Act 1958
- Accident Compensation Regulations 2001

Northern Territory

- Workplace Health & Safety Act 2007
- Workplace Health & Safety Regulations 2008
Flinders University OHSW&IM policies and procedures apply at all University premises regardless of location.

10 Review
These procedures will be reviewed regularly in the light of legislative and organisational changes, and in any case, every four years.