

Presentation of the following documents at the start of an Occupational Health and Safety Management System audit enables the completion of responses to a large number of questions before commencing the audit proper. For some questions, a single document may provide the evidence needed, in others, multiple documents must be available to achieve the same. These key documents are highlighted in the auditor guidance notes, for each question in the AS/NZS 4801 question set, to assist the process of matching presented documents to questions. Where specified documents cannot be presented, alternatives may be temporarily acceptable but the workplace will be encouraged to review and conform to the unified approach of the UWA Safe System of Work.

REQUIRED DOCUMENT	CHECKS ON PRESENTED DOCUMENTS - NECESSARY TO QUALIFY THEM AS SUITABLE AUDITING EVIDENCE
Health and Safety Committee meetings minutes	This document, produced quarterly following meetings, must cover all of the subjects suggested in the pro-forma agenda available via the Representatives and committees webpage . If any are not covered then alternatives may have to be sought during the actual audit which will unavoidably prolong the process. Evidence of planning and monitoring of objectives for WHS improvement must be present and relevant to the workplace being audited. Ideally the constitution of the committee should include senior managers but as a minimum, they must receive published meetings minutes to ensure a direct knowledge of health and safety in the areas under their control and in doing so, achieve the required standards of due diligence.
Health and Safety Committee annual reports	These must address all of the reporting requirements as shown in the pro-forma annual report on the Representatives and committees webpage .
Health and Safety Manual	Ensure that the Local Rules section appropriately addresses activities in the specified workplace and that the manual is not past its expiry date. It must list personnel in safety related posts. It should be based on the pro-forma Health and Safety Manual .
Local workplace Health and Safety Risk Register	Check that the appropriate sections of the Health and Safety Risk Register – UWA Master Copy have been incorporated as a minimum. It is likely that some areas will identify other relevant legislation. These new references are to be forwarded to Safety, Health and Wellbeing for incorporation into the Health and Safety Risk Register - UWA Master Copy.
Worker competence and training	Check that records exist to demonstrate competence of all workers including verification that all workers have been correctly inducted.
MSDS / Chemical risk assessment *	Where chemicals are used for general cleaning, check that MSDS are presented for all used. If chemical reactions are an integral aspect of the activity, check that a chemical risk assessment has been completed. MSDS are available via ChemAlert .
Standard Operating Procedures (SOP) *	These documents should only be prepared to risk assess and describe hazardous equipment using the pro-forma design supplied by UWA Safety, Health and Wellbeing in the Task and Activity Planning Toolkit . Their application to processes is inappropriate and should utilise method statements or equivalent.
Workplace Risk Assessments	These should follow the designs used in the safe system of work to assess workplace safety and should be within their expiry date. If they differ in design then check that there is intention to review and revise to achieve closer alignment with the standard designs used in the UWA Safe System of Work (Refer to the Task and Activity Planning Toolkit). In workplaces where projects require expert specialist input/assessment, check that consultation with the expert resources occurs to acquire the correct authorisations to proceed with work.
Induction Records	For all workers, evidence of induction is required. The on-line induction must be completed by all workers (including staff, post-graduates and visitors undertaking activities over a protracted period without direct supervision). Local workplace induction must be provided to assist in the process of familiarization and must include how safety is managed, local rules and specific aspects of the area. A pro-forma local induction form is available at Online safety induction and local workplace induction .
Records of training / competency	These should be available for individual workers in the form of copies of qualification certificates from authorised or accredited sources and other verifications of competency including supervisor endorsed training records incorporating use of Standard Operating Procedures as training records.
Monitoring of implemented control measures	Evidence that applied ongoing control measures, which must be reviewed regularly, are checked for continued effectiveness on a regular basis.
Workplace inspection records	There must be evidence of regular inspections incorporating workplace safety and confirmation that electrical equipment is properly tagged. See Workplace inspections and Electrical safety .
Incident, Near miss reports	In addition to proper reporting, there must be evidence that investigations and appropriate responses minimised the risk of future occurrences. See Notification and investigation procedures .
Hazard reports	In addition to proper reporting, there must be evidence that investigations and appropriate responses minimised associated risks.
Contractor safety management plans / JSAs / risk assessments	Contractors must submit documentation which demonstrates that tasks have been considered before commencing work and that risks which exist from identified hazards will be appropriately controlled. It must be clear that assigned UWA staff properly manage and closely monitor contractor activities.

* During the walk about phase of the audit, check the presence (in the workplace) of these documents randomly