

INTERNAL AUDIT PROCEDURE

| Ref | Audit Criteria: | Findings | Recommendations | OBS ISSUE REC ✓ |
|------------|--|---|-----------------|--------------------------|
| | <i>Note: The scope of your OHSMS should cover management of relevant sites, operations, processes, products and services</i> | | | |
| 4.1-4 | Is your OHSMS: <i>Please tick relevant box</i> <ul style="list-style-type: none"> • a stand alone system? or • integrated into existing business management systems? | Stand alone system | | ✓ |
| 4.2 | OHS POLICY REQUIREMENTS | | | |
| 4.2-1 | Does your business have a documented policy relating to OHS management, which has been endorsed by top management? | Policy in place and signed and dated by Group services manager 24/11/08 | | ✓ |
| 4.2-2 | Is the OHS policy consistent with other corporate policies affecting your business? <i>eg. Business mission statements; environmental management, procurement, industry or quality policies, etc.</i> | OHS Policy recently updated. Is consistent with other corporate policies. Reference to OHS included in Values statement in JG King 2006-2009 Strategy Pack. | | ✓ |
| 4.2-3 | Is the policy appropriate to OHS hazards / risks associated with your business activities, products and/or services? | The OHS Policy reflects the hazards & risks of the business activities and includes reference to nature of business. | | ✓ |
| 4.2-4 | Does the policy indicate a commitment to continual improvement in OHS performance and prevention of incidents and injuries? <i>Note: The policy should broadly specify how your business will continually improve its OHS performance.</i> | OHS Policy has statement indicating commitment to continual improvement. | | ✓ |
| 4.2-5 | Does the policy commit your business to comply with OHS laws and any other relevant OHS requirements? <i>Note: Other OHS requirements may include industry codes of practice, customer/client requirements, best practice guidelines?</i> | Policy also includes commitment to customer/client safety requirements as identified/informed | | ✓ |
| 4.2-6 | Does the policy provide an overall framework for setting OHS improvement objectives and targets by specifying broad organisational goals. <i>eg. training strategy, consultation strategies, incident reporting & investigation, data collection & analysis, hazard management program, etc..</i> | <i>Training & consultation strategies, incident reporting & investigation, data collection & analysis, hazard management process etc all included in the OHS policy statement..</i> | | ✓ |
| 4.2-7 | Is the policy communicated to all employees and all business functions? | <ul style="list-style-type: none"> • Employee & Contractor induction program includes | | ✓ |

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| | <p>Is it also effectively communicated to contractors and suppliers?</p> <p><i>Note business functions include production / service processes, general management, marketing, accounting/finance, human resources, research and development and information systems.</i></p> | <p>company OHS Policy.</p> <ul style="list-style-type: none"> Posted OHS policies have been reviewed in past 12 months. A list of all items to be posted on OHS Noticeboards including OHS Policy, If You Are Injured Poster etc. has been prepared. See OHS Policy & Mgt Plan Part 23. Updated OHS Policy is uploaded onto JG King Projects intranet. UV Policy included in PART 22 of OH&S Policy & Management Plans document. Also included in induction program. Updated OHS Policy included in Trade Safety Pack. “Drugs & Alcohol, Smoking and Fatigue management, UV policies etc also handed out during employee & contractor OHS inductions | | |
| 4.2-8 | Is the policy accessible to interested parties? | <ul style="list-style-type: none"> Copy of OHS Policy included in Contractor questionnaires. OHS Policy and associated policies provided to contractors at induction. | | ✓ |
| 4.2-9 | Is the policy periodically reviewed for relevance? | <ul style="list-style-type: none"> Review completed annually by OHSE Management Committee. | | |
| 4.3 | OHS Mgt Planning | | | |
| | Planning, Identification of Hazards, Assessment & Control of Risks | | | |
| 4.3.1 | Is there a documented OHS risk assessment process to evaluate operations, processes, products and/or services which may have significant OHS hazards / risks? | <ul style="list-style-type: none"> Process is described in Part 7 of OHS Policy & Mgt Plan. This process is applicable to all JG King Project’s office areas and construction sites, and includes for the purchasing of new & used plant & equipment, sale of plant & equipment, design & modification of product, use & handling of plant, equipment & substances and travel to and from sites. It may also be used as guidance to all JG King Projects’ contractors and their employees in relation to hazard identification, risk assessment and risk control. See under Scope Part 7.3. Contractor evaluation | | ✓ |

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| | | <p>questionnaire contained in Trade Safety Pack.</p> <ul style="list-style-type: none"> “Agreement to Provide Services” document also contains OHS requirements for service providers. The Site or Office Manager is responsible for ensuring potential hazards are identified and appropriate control measures are implemented. See under Part 7.4 Responsibilities. | | |
| | Legal & Other Requirements | | | |
| 4.3.2-1 | <p>Is there a documented process for identifying legal and other requirements relating to OHS hazards / risks associated with your business?</p> <p><i>Note: Other OHS requirements may include industry codes of practice, customer / client requirements, best practice guidelines.?</i></p> | <ul style="list-style-type: none"> PART 24 of Mgt Plan describes process for identifying legal and other requirements relating to OHS management of hazards and risks. PART 24 also makes reference to: Subscriptions such as Standards Watch (SAIGlobal) & Vic Legislation at Office of the Chief Parliament Counsel and Worksafe Website. | | ✓ |
| 4.3.2-2 | Is there a process for accessing legal and other requirements? | As above | | ✓ |
| 4.3.2-3 | Is information on significant OHS hazards & risks, legal and other requirements kept up-to-date? | As above | | ✓ |
| | Objectives & Targets & OHS Mgt Plans | | | |
| 4.3.3 & 4.3.4-1-8 | <p>Have OHS improvement objectives been established for relevant business functions?</p> <p><i>Note: business functions include production / service processes, general management & administration, marketing, accounting/finance, human resources, research and development and information systems.</i></p> <p>Have specific OHS improvement objectives been communicated to all relevant business functions and employees, contractors and suppliers?</p> <p>Have plans / programs to achieve OHS objectives been established for each relevant business function?</p> <p>Do plans / programs specify personnel with specific responsibilities, resource</p> | <p>PART 26 Management Improvement Plan defines improvement objectives.</p> <p>Communicated to relevant areas via OHS Manager.</p> <p>Specific objectives plans prepared and endorsed at Mgt Review meeting.</p> <p>The plans specify responsible persons, resources & review periods.</p> | | ✓ |

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| | <p>needs and time schedules for meeting targets for relevant business functions?</p> <p>Are plans / programs modified to reflect fundamental changes in business operations and activities?</p> <p>Are objectives periodically reviewed for relevance?</p> <p>Are plans / programs monitored to track progress towards achieving objectives and targets ?</p> <p>Do procedures exist to periodically evaluate legislative compliance?</p> | <p>Procedure requires modification of plans to reflect fundamental changes in business operations and activities</p> <p>Procedure requires periodically reviewed for relevance by the OHSE Management Committee at their bi-annual review meeting.</p> <p>Objectives & targets are to be monitored by the OHS committee on a quarterly basis as per PART 26</p> <p>PART 24 contains requirement to conduct quarterly legislative review.</p> | | |
| 4.4 | Implementation | | | |
| | Resources | | | |
| 4.4.1.1 | <p>Has management provided adequate resources to implement and control the OHSMS?</p> <p><i>Note: resources include human, financial and technical resources.</i></p> <p>Is there an established organisational structure?</p> | <p>Commitment to provision of resources included in OHS Policy. OHS training consultants have been engaged.</p> <p>Organisational structure contained in OHS Policy & Mgt Plan. Includes Group OHS Manager and established communication lines.</p> | | ✓ |
| | Responsibilities & Accountabilities | | | |
| 4.4.1.2-1 | <p>Have roles, responsibilities and accountabilities been documented and communicated for personnel charged with facilitating OHS management?</p> | <p>Roles & Responsibilities defined in OHS Policy Mgt Plan. See also OHS Group Mgr Job Description.</p> | | ✓ |
| 4.4.1.2-2 | <p>Do roles, responsibilities and accountabilities extend to all business functions that form part of the OHSMS?</p> | <p>As above</p> | | ✓ |
| 4.4.1.2-3 | <p>Are personnel (including contractors) familiar with their defined OHS management responsibilities and accountabilities?</p> | <p>Contractor inductions conducted.</p> | <p>To be included in Site Managers job descriptions.</p> <p>Trade Safety Pack to be rolled out.</p> <p>OHS&E Group Manager to instruct Mgrs, Supervisors in their defined OHS management responsibilities and accountabilities</p> | REC |
| 4.4.1.2-4 | <p>Has top management nominated a specific management representative with responsibility and authority for establishing, implementing and maintaining OHSMS requirements and for reporting back on the OHSMS performance</p> | <p>Group OHS Manager is nominated person. PART 3.10 of the OHS Policy outlines OHS manager’s authority and responsibilities for establishing, implementing and maintaining OHSMS requirements and for reporting back on the OHSMS</p> | | ✓ |

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| | | performance. | | |
| | OHS Training & Competencies | | | |
| 4.4.2-1 4.4.2-2 | Is there a procedure in place for identifying competency needs of its employees, contractors and suppliers? Does the above procedure identify training needs related to OHS management? | PART 5 refers to accessing Training Register to identify training/competencies needed to perform tasks. Training needs related to OHS management contained at PART 5.8 | | ✓ |
| 4.4.2-3 | Have documented procedures been established to make employees, contractors and suppliers aware of OHS management requirements? <i>Note: The procedures should ensure awareness of: the OHS policy and procedures, significant OHS impacts associated with work activities, specific OHS management roles and responsibilities, emergency response and operational/process procedures to control OHS impacts.</i> | Procedures covered in Parts 4, 5 & 6 of OHS Policy & mgt Plan Training has been conducted in OHS responsibilities for projects personnel, contract managers, site supervisors, OHS Reps and main office personnel. | | ✓ |
| 4.4.2-4 | Is OHS training systematically planned, executed and documented? | Training schedule part of training register Form No. 054 Induction training undertaken for all new employees. Covers company OHS Policies, site rules, accident reporting & investigation etc | | ✓ |
| 4.4.2-5 | Are OHS training records retained? | Ref PART 5 All formal internal & external training & tool box training attendance sheets are forwarded to the HR administrator for filing and updating of the training register. Monitoring of the training register is done by the Group OHS Manager on a monthly basis and training requirements are notified to relevant managers. | Include requirement in OHS Manager's Responsibilities | ✓ REC |
| 4.4.3 | CONSULTATION, COMMUNICATION AND REPORTING | | | |
| | Consultation | | | |
| 4.4.3.1-1 | Are there procedures in place to ensure employer/employee involvement and consultation take place on OHS issues? | See Consultation Policy & Procedure Part 23 See additional file "OHS Committee Charter" | Insert new para at end of 6.18 "A meeting agenda shall be prepared prior to each meeting. This is to be distributed no latter than 1 week before the meeting date. A proforma for the meeting agenda is contained in form F010-1" Amend 6.27 to include Reference to Form No 010-1 | REC |
| 4.4.3.1-2 | Does the procedure ensure information regarding arrangements are available to interested parties? | Site supervisor responsible for posting OHS Committee minutes on OHS notice boards. | Insert at Para 1 6.18 "Information shall be conveyed to all management | REC |

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| | | Group OHS Manager also responsible for communicating OHS information to management & employees at work sites. | and employees via their respective representatives. Copies of the minutes shall also be posted on workplace noticeboards” | |
| 4.4.3.1-3 | <p>Does the system ensure that employees are:</p> <ul style="list-style-type: none"> involved in the development and implementation of policies and procedures to manage risk? are consulted when there are OHS changes to the workplace? select staff to represent them on OHS matters? are staff informed of their OHS representative(s) and their management representative(s)? do the procedures cover employer/ employee training to undertake OHS duties? | <p>See section 6.23 Workplace Health and Safety Representatives (HSRs).</p> <p>Requirement for consultation with employees to help manage risk are stated in 1.2 Scope & Objectives dot point 3. Also discussed in part 3.8 “How Employees Are To Be Consulted”, 7.7 Identify Hazards dot point 4 & 7.13 Hazard Identification Procedure (b) & 11.27 “Demolition” & 16.8 Emergency Planning & 18.8 First Aid assessment & 22.5 Fatigue Management.</p> <p>Changes to the work place are conveyed to employees via the OHS committee minutes.</p> <p>see section 5.6. Refers to consultation about employees training needs.</p> | <p>In 6.23 Workplace Health and Safety Representatives (HSRs). Include the following addition to the 1st para. “Employee HSR nomination and election forms, Forms OHS 052 & 053 respectively, are available for use in the formal election of the HSRs. The nomination form shall be posted on all OHS noticeboards for at least 2 weeks prior to the election. Should the employees choose a different election process then JG King Projects will accept the outcome.).</p> <p>Insert as new para 2 in 6.23. “Staff are to be informed of the OHS committee structure as part of their induction process and by posting of election results on all OHS noticeboards. Any changes will also be amended in the induction material and by posting notification on all OHS noticeboards”.</p> | REC |
| | Communication | | | |
| 4.4.3.2-1 | Are there procedures for communicating issues related to OHS aspects and the OHSMS? | <p>See Part 23 Communication Policy & Procedure</p> <p>see comment for 4.4.3.1-2.</p> <p>See 6.19 Workplace Communication Meetings or Toolbox meetings.</p> <p>Display Office checklist results on noticeboard.</p> <p>See 23.3 Re OHS Information for Noticeboards.</p> | <p>Ensure file of toolbox meetings is kept.</p> <p>Records of Toolbox meetings are to be kept on file by the site supervisor”.</p> <p>Ensure OHS Committee minutes are displayed on Office Noticeboard.</p> <p>Display poster for correct workstation set up.</p> | REC |
| 4.4.3.2-2 | <p>Do the procedures include internal business communications between different functional areas and also within functional areas?</p> <p><i>Note: business functions include production / service processes, general management, marketing, accounting/finance, human resources, research and development and information systems.</i></p> | <p>See section 23 Consultation & Communication</p> <p>OHS&E Group Manager has this responsibility as defined in his responsibilities.</p> | | ✓ |
| 4.4.3.2-3 | <p>Do they also include management of OHS communication from external stakeholders?</p> <p><i>Note: Effective management of external communication involves receiving, evaluating, documenting and responding to communication from external parties.</i></p> | As above | | |
| | Are external communication records retained? | Held by OHS Group Manager | | ✓ |
| | Reporting | | | |

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| 4.4.3.3-1 | Are there procedures for reporting of information to ensure that OHSMS is monitored and improved? | The “Occupational Health & Safety Policy Review Procedure” in OHS Policy & Mgt Plan under “POLICY” details the information reporting processes to ensure the OHS P&MP is monitored and improved. Updating of OHS P&MP is endorsed by the OHS&E Management Team. OHS Coordinator’s responsibilities include responsibility to ensure that information in respect of any changes in legislation, standards, industry codes is reported to the OHS&E Management Review Committee & to the OHS Committee on a quarterly basis. | | ✓ |
| 4.4.3.3-2 | Do the reporting procedures cover : a) OHS performance reporting (including OHS audits and reviews) b) Reporting incidents and system failures c) Reporting on hazard identifications d) Reporting on risk assessment • Reporting on preventive and corrective action • Reporting on statutory requirements | Covered in PART 26.4 of OHS P&MP This is covered in Incident/accident reporting procedure PART 17 of OHS P&MP A Hazard Reporting Procedure is in place. Part 7.13 & 14 of OHS P&MP. As above. Covered in PART 26 of OHS P&MP. | | ✓ |
| 4.3.3.3-2 | | | | |
| | DOCUMENTATION | | | |
| 4.4.4-1 | Does the system documentation describe the core elements of the OHSMS and their interaction? | Documentation describes core elements. | | ✓ |
| 4.4.4-2 | Does it provide direction to related documentation? | Contents page outlines content. OHS P&MP provides references to Forms, Legislation, Aust Standards, and Industry Standards etc. | Recommend hyperlinking contents pages and applicable references. | REC |
| 4.4.5 | Document & Data Control | | | |
| 4.4.5-1 | Are there established procedures for controlling documents and data required by this standard? | | Document control procedure to be established. | REC |
| 4.4.5-2 | Does the procedure ensure that: a) They can be readily located? b) They are reviewed periodically and revised as necessary and approved for adequacy by competent and responsible personnel? c) Current versions of relevant documents and data are | | As above | REC |

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| | <p>available at all locations to ensure the effective functioning of the OHSMS?</p> <p>d) Obsolete documents are removed promptly from points of use, or otherwise assured against unintended use?</p> <p>e) Archival of documents and data for legal or knowledge preservation purposes or both are suitably identified?</p> | | | |
| 4.4.5-3 | Does the documented procedure identify who is responsible for the creation of OHS documents and data? | | As above | REC |
| 4.4.5-4 | Does the OHSMS ensure that data is legible and dated with the date of the revision? | | As above | REC |
| 4.4.6 | HAZARD IDENTIFICATION, RISK ASSESSMENT AND CONTROL OF RISKS | | | |
| | GENERAL | | | |
| 4.4.6.1 | <p>Has the OHSMS established, implemented and maintained procedures to ensure:</p> <p>a) hazards are identified?</p> <p>b) Risks are assessed?</p> <p>c) Risks are controlled?</p> <p>d) that steps a) to c) are evaluated?</p> | Hazard ID, Risk Ass & Control & Evaluation procedures in OHS Policy & Mgt Plan. PART 7 including for specific hazards. | <p>Need to roll out OHS Policy & Mgt Plan and SWMSs to users.</p> <p>Recommend inclusion of Hazard Reporting Procedure into the OHS Policy & Mgt Plan Document as per provided file as evidence of procedure.</p> | REC |
| | HAZARD ID | | | |
| 4.4.6.2-1 | <p>Does the hazard identification process take into consideration :</p> <p>a) The nature of the injury or illness of the activity?</p> <p>b) The situation or events or combination of circumstances that could give rise to injury or illness?</p> <p>Past injuries, incidents or illnesses?</p> | Process is described in detail in PART 7.1-7.14 of OHS Policy & Mgt Plan manual. | | ✓ |
| 4.4.6.2-2 | <p>Does the identification process consider:</p> <p>a) the way work is organised, managed and changes that may occur?</p> <p>b) The design of workplaces, work processes, materials, plant and equipment?</p> <p>c) The fabrication, installation, commissioning, handling and disposal (of materials, plant and equipment)?</p> <p>d) The purchasing of goods and services?</p> <p>e) The contracting and sub-contracting of plant, equipment and services and labour including contract specification and responsibilities to and by</p> | <p>JSAs/SWMS prepared.</p> <p>Section 1.4 describes Design/Engineering function.</p> <p>Completion of site establishment checklist</p> <p>Section 1.4 describes OHS purchasing requirements.</p> <p>Covered in Parts 4 & 6 of OHS Policy & Mgt Plan.</p> | Prepare site decommissioning process checklist or SWMS. | |

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| | contractors? The inspection, maintenance, testing, repair and replacement (of plant and equipment)? | | | |
| | RISK ASSESSMENT | | | |
| 4.4.6.3-1 | Are all risks associated with each identified hazard assessed? | Requirement of PART 7 Sections 7.8 & 7.9 | Record risk level on prepared SWMS. | REC |
| 4.4.6.3-2 | Have risk control priorities, based on the established level of risk, been assigned for the assessed risks? | See PART 7 sections 7.8 & 7.9. SWMSs required for Class 1 & Class 2 risk levels. | | ✓ |
| | RISK CONTROL | | | |
| 4.4.6.4 | Have hazards and assessed risks been controlled through a hierarchy of control based on reasonably practicable? | Required process as per OHS Policy & Mgt Plan section 7. No documentation to verify. | Consider including statement to this effect on all SWMSs prepared. | REC |
| | EVALUATION | | | |
| 4.4.6.5 | Has there been a documented evaluation of the effectiveness of the process (hazard ID, risk assessment and control of risks) and modified as necessary? | | Review of control measures to be inserted in 7.11. Include as part of SWMSs audit process | REC |
| 4.4.7 | EMERGENCY PREPAREDNESS AND RESPONSE | | | |
| 4.4.7-1 | Is there a procedure to identify potential accidents and emergencies which may cause OHS harm? | | Part 16 OHS Policy & MP | ✓ |
| 4.4.7-2 | Are there procedures to respond to emergencies and to minimise OHS risks from such situations? | Covered in PART 16 of OHS P&MP. | Need to allocate fire wardens and their responsibilities for main Office if not already done so. First aid supply form needs to be referenced in OHS P&MP. Emergency equipment for fleet vehicles. | REC |
| 4.4.7-3 | Are emergency response procedures periodically tested and reviewed? <i>Note: The procedures should be tested where practical. Testing should include desk-top analyses where physical testing is not practical. Emergency response procedures should also be reviewed after occurrence of emergencies or accidents.</i> | | Recommend practice drills be undertaken on work sites and main office followed by debrief meetings. See attached example debrief meeting file. Noted that 16.15 g) & h) refer to practice drills and record keeping as does 16.16. Insert reference to Debrief Form No. 041-1 at 16.6. see provided example file for review prior to inserting. | REC |
| 4.5 | MEASUREMENT & EVALUATION | | | |
| 4.5.1 | MONITORING & EVALUATION | | | |
| | GENERAL | | | |
| 4.5.1.1-1 | Do documented procedures detail the process to monitor and measure on a regular basis, the key activities of operational aspects that could cause injury or illness? | See part 7.27 Occupational Health and Hygiene Controls which refers to "health and hygiene controls, such as | Insert Workplace monitoring procedure in PART 22. | REC |

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| | | <p>noise monitoring, light surveys and chemical dust monitoring will be undertaken by appropriately trained staff and/or consultants to ensure that all statutory and acceptable industrial requirements are met.” Plus</p> <p>“Monitoring will be undertaken as determined by statutory requirements and/or as various situations may dictate.”</p> <p>See 7.36 – monitoring of confined space atmospheres.</p> <p>13.8 refers to audiometric monitoring.</p> | | |
| 4.5.1.1-2 | <p>Is equipment used for monitoring and measurement of OHS risks identified, calibrated, maintained and stored as necessary?</p> <p>Are records maintained of these processes?</p> | <p>Identify equipment used for monitoring & measurement of OHS Risks e.g.</p> <ul style="list-style-type: none"> • Confined space gas detectors • Dust monitors • Noise level meters • Electrical test and tag equipment • Light meters etc | OHS Group Manager to assess the need for a register with calibration date, next calibration due date & storage location. | REC |
| 4.5.1.1-3 | <p>Does the OHSMS procedures address the monitoring of:</p> <p>a) The performance relevant to the operational controls and conformance with the organisation’s objectives and targets?</p> <p>b) Compliance with relevant OHS legislation?</p> | Site checklists are completed. | <p>Performance objectives & targets need to be developed for managers/supervisors.</p> <p>It was note that SAI global preliminary audit identified a number of non-conformance issues during their site visits. These need to be addressed. If items not on checklist then add them.</p> | REC |
| | HEALTH SURVEILLANCE | | | |
| 4.5.1.2-1 | Has there been identification of situations where employee health surveillance is required (including relevant legislation) and appropriate systems implemented? | Noise is possibly an issue. | Recommend an assessment be conducted to determine if JG King employees are likely to be exposed on average to 85 dB(A) or greater over 8 hr working day. Record assessment at OHS Committee meeting. | REC |
| 4.5.1.2-2 | Do employees have access to their own individual results? | See reference 22.7.5 point 4 in OHS P& MP | | ✓ |
| 4.5.2 | Incident Investigation, Corrective & Preventative action | | | |
| 4.5.2-1 | <p>Have procedures been established, implemented and maintained for :</p> <p>a) Investigating and responding to minimising harm caused from incidents?</p> <p>b) Investigating and responding to system failures?</p> <p>c) Initiating and completing appropriate corrective and preventive action</p> | Covered in PART 17 & 19 in detail. | Make sure Incident/Accident report & Investigations folder is present in Main Office. | REC |
| 4.5.2-2 | Are any changes recorded in the OHSMS procedures resulting from | See 7.11 “Evaluation of Control Measures” with reference to updating | | ✓ |

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| | incident investigations and corrective and preventive actions? | procedures and control measures following reporting of Incidents/Accidents/Near Misses. | | |
| 4.5.3 | RECORDS & RECORDS MANAGEMENT | | | |
| 4.5.3-1 | Have procedures been established, implemented and maintained for the identification, maintenance and disposition of OHS records (as well as the results of OHS audits and reviews)? | | Procedure to be prepared. | REC |
| 4.5.3-2 | Are OHS records legible, identifiable and traceable to the activity, product or service? | OHS Group Manager maintains hardcopy records such as incident/accident records. These are legible & identifiable. New system being developed and implemented at this time. | Custodian & locations to be defined for all OHS records | REC |
| 4.5.3-3 | Are OHS records stored and maintained in such a way as to protect against damage, deterioration or loss? | OHS Group Manager has most records in his office. Other records stored on site in site offices. | | ✓ |
| 4.5.3-4 | Are the retention times established and recorded? | | Records register to be prepared as part of procedure & retention times included. | REC |
| 4.5.3-5 | Are appropriate records maintained to demonstrate conformance to this Standard? | | Need to review procedure & records register to ensure appropriate records are maintained. | REC |
| 4.5.4 | OHSMS AUDIT | | | |
| 4.5.4-1 | Are there procedures for conducting periodic OHSMS audits by a competent person? <i>Note: The procedures should cover audit scope, frequency, techniques, responsibilities and reporting to management.</i> | | Procedure to be written by and to include ref to Audit Schedule & Audit Observation Report form. Need to ensure printout of relevant section when doing the audit and add notes to the printout. | REC |
| 4.5.4-2 | Have OHSMS audits with time schedules been documented and implemented? | | As above | |
| 4.5.4-3 | Are audit programs and schedules based on OHS risks and significant aspects of business operations and processes? | | As above | |
| 4.5.4-4 | Do suitably qualified and independent auditors conduct OHSMS audits? | | As above | |
| 4.5.4-5 | Do OHSMS audits assess conformance to all requirements of selected OHSMS Standards and Specifications? <i>Note: Selected OHSMS Standards and Specifications may include auditable criteria in recognised specifications and models eg. ISO 14001, BS 7750, ICC, EMAS, etc.</i> | | As above | |

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| 4.5.4-6 | Do the audits cover implementation of OHS procedures, work instructions, etc. developed for relevant business functions? <i>Note: business functions include production / service processes, general management, marketing, accounting/finance, human resources, research and development and information systems.</i> | | As above | |
| 4.5.4-7 | Are audit results recorded and communicated to relevant personnel and functional levels? | | As above | |
| 4.5.4-8 | Are timely corrective actions taken to remedy deficiencies found during OHSMS audits? | | As above | |
| 4.5.4-9 | Are corrective actions followed up to assess their effectiveness? | | As above | |
| 4.5.4-10 | Are OHSMS audit records retained? | | As above | |
| 4.6 | MANAGEMENT REVIEW | | | |
| | Does top management review the OHSMS at defined intervals? | See PART 25 Bi annual review. Meetings commenced. | | ✓ |
| | Are procedures reviewed by appropriate levels of management? | Senior management involved in reviews. | | ✓ |
| | Do reviews cover OHSMS audit findings? | Part of agenda for Mgt Review Meeting | | ✓ |
| | Are OHS policy and performance against set objectives and targets reviewed? | Part of agenda for Mgt Review Meeting | | ✓ |
| | Is suitability of the OHSMS evaluated in light of changing circumstances and continual improvement? | Part of agenda for Mgt Review Meeting | | ✓ |
| | Are concerns of internal and external stakeholders considered in reviews? | Part of agenda for Mgt Review Meeting | | ✓ |
| | Are management review outcomes documented? | Part of agenda for Mgt Review Meeting | | ✓ |