



EDITION 6

Work Health & Safety management guidelines

For construction procurement

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More information

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Terms and definitions

Refer to [Terms used in this guideline](#)

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1 Scope

These guidelines are aligned to [AS/NZS ISO 45001:2018 – Occupational health and safety management systems—Requirements with guidance for use](#).¹ They are specific to construction procurement and apply to all project and contract activities on NSW Government construction projects, including those involving private sector investment and financing.

Project and contract activities may include:

- detailing project requirements
- project management
- option and concept development
- design and construct
- asset maintenance and operation
- decommissioning and/or demolition.

The guidelines should be read and applied in conjunction with NSW Government's Procurement Policy Framework. <https://buy.nsw.gov.au/policy-library/policies/procurement-policy-framework> and, if applicable:

- Quality management guidelines
- Environmental management guidelines.

2 Purpose

Contractors should use these guidelines when planning and implementing their WHS Management System (WHSMS), and when preparing WHS Management Plans (WHSMPs). The purpose is to:

- specify the minimum WHS standards for all government construction projects
- provide a consistent approach to plan and implement safety management systems
- improve workplace safety for all construction industry workers
- increase productivity and efficiency by reducing accidents and lost time injuries
- demonstrate compliance with applicable Work Health & Safety (WHS) laws.

3 Application

3.1 Contracts valued up to \$1 million

All contractors bidding for government construction contracts must prepare and implement an acceptable Work Health Safety Management Plan (WHSMP).

3.2 Contracts valued over \$1 million

In addition to preparing and implementing an acceptable WHSMP, all Principal Contractors must have a certified WHS Management System (WHSMS) aligned with [AS/NZS ISO 45001](#) (or AS4801)

¹ AS/NZS ISO45001:2018 replaced AS/NZS 4801:2001. Contractors certified for AS4801 have until March 2021 to transition to ISO45001.

Table 1: Application of contractor's WHS requirements

Contract category	At tender stage	Before work begins	During contract
Contract up to \$1 million (or lower if agency determines there is significant risk)	Provide evidence of capability to development and implement a WHSMP (e.g. a draft or previous WHSMP)	Submit a WHSMP	If required, update WHSMP and submit to government agency Implement WHSMP Submit monthly WHS management reports Report WHS incidents Periodic audits of WHSMP
Contracts valued over \$1 million	Provide evidence of: <ul style="list-style-type: none">• a certified WHSMS• previous satisfactory WHS management performance.	Submit a WHSMP	If required, update WHSMP and submit to government agency Implement WHSMP Submit monthly WHS management reports Report WHS incidents Periodic audits of WHS System and Plan

The application of this guideline outlined in *Table 1: Application of WHS Requirements* may be modified by an Agency subject to a detailed analysis of specific project and/or contract related WHS risks. The risk assessment should be undertaken using processes that align with [NSW Treasury's Internal Audit and Risk Management Policy for the NSW Public Sector \(TPP15-03\)](#)

5 Specifying requirements

To ensure prospective contractors are aware of any project specific requirements, including the extent of monitoring and auditing activities, agencies must specify all WHS management requirements:

- as part of the request for tender and tender documentation
- in special clauses of the contract between the agency, the contractor and related suppliers.

These guidelines and the agency's specified requirements do not in any way relieve contractors of meeting their legal obligations under WHS legislation.

6 WHS Management System

6.1 Compliance

The WHSMS must comply with the requirements of [AS/NZS ISO 45001](#) (or AS4801).

- Formal JAS-ANZ certification of a contractor's WHSMS is required for construction related contracts over \$1 million

- The WHSMS must contain procedures which will ensure compliance with NSW and Federal Government WHS and other relevant legislation.

6.2 Evidence of acceptability

The contractor must provide evidence of current JAS-ANZ certification of its WHSMS. Contractors that have been subject to any WHS prosecutions or penalties in the preceding three years will also be required to demonstrate that any shortcomings in their system have been effectively remedied. This may be done by an audit, management review or submitting corrective action and system change information.

Accreditation under the Australian Government Building and Construction OHS Accreditation Scheme ([Office of the Federal Safety Commission](#)) is deemed to comply with the requirements of Section 6.1 of these guidelines.

6.2.1 Withdrawal of acceptance

During a contract, an agency may review and/or audit the contractor's WHSMS to assess if it remains compliant. Grounds to withdraw acceptance of the contractor's WHSMS include:

- failure by a contractor or its service providers to implement a compliant WHSMS or WHSMPs
- repeated safety breaches.

Before an agency withdraws acceptance of the WHSMS:

- the contractor will be given an opportunity to comment
- the agency must properly consider these comments.

If an agency decides to withdraw acceptance of the WHSMS, the contractor's work under the contract will be suspended until the non-compliance is rectified. The financial impact of this will be settled according the terms of the contract.

An agency may (but is not obliged to) withdraw acceptance of a contractor's WHSMS without further review if it is withdrawn by another agency.

7 WHS Management Plan

7.1 Compliance

A WHSMP sets out the specific WHS resources, consultation and risk management processes, responsibilities, procedures and practices, for a particular project/contract. It describes how the contractor intends to implement (where applicable) its WHSMS for the whole of the project including Safe Work Method Statements (SWMS).

The WHSMP must demonstrate how the organisation will implement key elements of their WHSMS. Refer to checklists in [Appendix D – Sample WHSMP Audit Report](#). Additional checklists may be developed by an agency to suit specific project/contract WHS requirements.

Some specific matters for which responsibilities and authorities need to be defined in documented procedures:

- Defining the contractor's WHS policies and objectives
- Identifying personnel responsible and qualified for WHS processes
- Identifying internal audit and review requirements

- Allowing for enough time and resources to implement the contractor's WHS management system
- Managing compliance with WHS legislation, regulations, codes and standards
- Managing compliance with the contractor's WHS management system
- Managing WHS design issues
- Acquiring and disseminating WHS and related information
- Establishing and implementing consultation arrangements with workers, workplace committees and others' representatives on WHS matters
- Planning and conducting WHS training, including induction, task and refresher training
- Developing and implementing emergency procedures
- Assessing the contractor's service providers' ability to comply and compliance with WHS requirements
- Compliance with safe working rules
- Identifying hazards, and assessing and controlling WHS risks
- Preparing and implementing Safe Work Method Statements (SWMS), including for high risk construction work as defined in the WHS Regulation (2017)
- Verifying (by inspections and tests) that work areas, work methods, materials, plant and equipment comply with WHS legislation, Regulations, Codes and Standards
- Stopping, rejecting or quarantining unsafe work methods, work areas, materials, plant and equipment
- Managing and reporting incidents, near misses and illness/injury, and providing and collating incident, near misses and illness/injury information and statistics
- Investigating incidents, near misses and illness/injuries, and initiating corrective and preventive actions
- Developing and implementing injury management programs and coordinating the rehabilitation of injured personnel.

7.1.1 Principal contractor

The [Work Health and Safety Regulation 2017](#) provides that a principal contractor must be appointed or identified for all construction work:

- Cost is \$250,000 or more, or

Contractors appointed as the principal contractor by an agency for construction related contracts above \$1 million must show how their WHSMS procedures address the additional responsibilities of a principal contractor, as well as, their normal responsibilities as a contractor, workplace controller and employer.

7.1.2 High risk work

Risk control measures (such as specialised facilities, proven work methods and specialised training) are required for high risk works.

Contractors should consult with their service providers, and together identify and document any high-risk work, licence requirements, competency and training needs and implement appropriate measures to control the associate risks.

The high-risk occupations requiring a licence include:

- Forklifts
- Erection of scaffolding > 4 meters
- Rigging
- Dogging
- Cranes including tower cranes, mobile cranes, vehicle loading cranes, bridge and gantry cranes
- Hoists including personnel and materials hoists, elevated work platforms and concrete placing booms
- Pressure equipment such as boilers, turbines and steam engines
- Reach stackers.

7.1.3 Incident management

Contractors must establish procedures to control the use of products and work practices which do not meet WHS requirements and to address appropriately [WHS issues](#) through [corrective action](#) and [workplace injury management](#) procedures.

Incident management involves:

- detecting, identifying and documenting any non-compliance
- eliminating unsafe work practices and unsafe areas
- quarantining non-complying materials and other products
- advising appropriate parts of the contractor, its service providers and relevant authorities
- rectifying irregularities, non-conformances and non-compliances
- managing and reporting illness/injury and incidents
- consulting with personnel about proposed changes that may affect their health, safety or welfare at work.

The WHSMP must clearly state:

[SafeWork NSW](#) must be notified before any potentially-dangerous work-related activities are undertaken.

You must call 13 10 50 immediately if there is a notifiable incident(s)
(e.g. serious injury, dangerous incident or death)

WHS issues

A WHS issue exists when materials, construction methods, plant or equipment, temporary work, protective systems, work practices, work site conditions or other work activities do not meet WHS requirements. WHS issues also include incidents and near misses. It is essential that WHS issues are documented and rectified, with monitoring of trends to identify root causes.

Corrective action

WHS inspections, audits and reviews, incidents, illness/injury, and near misses provide definite pointers to unsafe work practices and processes.

Incidents, near misses and illness/injury and their causes should be recorded, investigated and analysed. The results should be used to bring about improvements in policies, standards, procedures, processes and work practices, and progressively lift WHS performance.

Procedures should be established and used for recording and implementing corrective actions. These procedures should include consultation with personnel and advisers so that their views on any proposed measures can be considered before implementation.

Corrective action should not only arise when an inspection, audit or review is carried out or an illness/injury or incident occurs. Work site activities should be regularly assessed for WHS issues and potential risks to health and safety, and action taken to minimise risks by the contractor, in consultation with affected workers and service providers, to avoid illness/injury and incidents.

Contractors must establish procedures for recording the results of these assessments, and the corrective action taken.

With the reviewing of past errors and issues, and anticipating possible future errors and issues, contractors and their service providers should continue to improve the level of WHS performance achieved.

Workplace injury management

Workplace injury management encompasses all measures for facilitating an early and safe return to work of workers who have been injured or become ill.

An injury management and return to work program is a requirement of all employers under the [Workplace Injury Management and Workers Compensation Act](#). The return to work program should address:

- Treatment of injury and illness
- Rehabilitation and return to work
- Retraining
- Claims management
- Employment management practices.

7.2 Evaluation criteria

A potential contractor's WHS management capability would be assessed in a tender evaluation process, using the identified evaluation criteria. Evaluation criteria may include:

- the status of their WHSMS certification
- the nature of the WHS management implemented on current and/or recent comparable contracts.
- assessment of a potential service provider's past WHSMPs.
- Notification of any current or past prosecutions related to WHS performance

7.3 Contractor performance

Agencies should follow the minimum performance requirements set out in the table below in assessing a contractor's capability and performance. Minimum processes for monitoring a contractor's WHS performance are provided below.

Table 2: Principal contractor requirements

Contract category	Post award of contract - before work begins	During contract
Contract up to \$1 million (or lower if required by the agency)	Review WHSMP	<p>Review the contractor's implementation of their WHSMP</p> <p>Review Contractor's WHS monthly management reports</p> <p>Investigate any reported Notifiable WHS Incident.</p> <p>Report WHS performance using agency's Contractor Performance Reporting processes.</p>
Contract valued over \$1 million	Review WHSMP	<p>Audit the contractor's implementation of their WHSMP, and periodically according to contract</p> <p>Review Contractor's WHS monthly management reports</p> <p>Investigate any reported Notifiable WHS Incident.</p> <p>Report WHS performance using agency's Contractor Performance Reporting processes.</p>

To assist contractors with conformance to its WHS obligations, the Agency will undertake the activities outlined in Table 3.

Table 3: Government agency requirements

Contract category	Preparing the tender	During tender review	Post award of contract – before work begins	During contract
Contract valued at \$1 million or more (or lower if determined by the agency)	<p>Include safe design report and asbestos register (if applicable)</p> <p>Identify known safety risks relating to the site where the construction work is to be carried out</p>	Confirm contractor has acceptable WHS management system and has demonstrated satisfactory WHS management	Review WHSMP	<p>Audit the contractor's implementation of their WHSMP.</p> <p>Review contractor's WHS management monthly reports.</p> <p>Investigate any reported Notifiable WHS Incident.</p> <p>Report WHS performance using Contractor Performance Reporting System.</p>

Contract category	Preparing the tender	During tender review	Post award of contract – before work begins	During contract
Contract below \$1 million	<p>Include safe design report and asbestos register (if refurbishment / demolition)</p> <p>Identify known Safety risks relating to the site where the construction work is to be carried out</p>	Confirm contractor has demonstrated satisfactory WHS management	Review WHSMP	<p>Review the contractor's implementation of their WHSMP</p> <p>Review contractor's WHS management monthly reports</p> <p>Investigate any reported Notifiable WHS Incident.</p> <p>Report WHS performance using Contractor Performance Reporting System.</p>

8 Documents and records

Agencies will maintain records of the WHS performance of their service providers, including WHSMS review reports, WHSMP review and performance reports, and comments by service providers on review and performance assessment findings.

Contractors are required to keep and maintain documents and records including:

- WHSMPs
- SWMS, including high risk construction work as defined in the WHS Regulation (2017)
- Safe work procedures
- First aid treatment records
- Emergency procedures
- Hazard identification and risk assessments
- Incident and illness/injury reports
- Plant and equipment records
- Work permits and training records
- Safety Data Sheets
- Hazardous chemicals records
- Inspection, testing and servicing records
- Details of qualifications held by individuals
- Internal review reports
- Minutes of workplace WHS meetings and toolbox talks
- Safety equipment records
- WHS design review records
- Audit reports
- Injury and workers' compensation management records.

Appendix A: Terms and definitions

Term	Definition
Agency	NSW government department, authority, corporation or entity established by an Act of the NSW Parliament. The terms 'government agencies', 'agency' or 'agencies' are used interchangeably in these Guidelines.
Consultant	Professional party that contracts with a client to provide design, management or other professional services related to construction.
Construction	All organised activities concerned with demolition, building, landscaping, maintenance, civil engineering work, process engineering, mining and heavy engineering. It includes infrastructure projects.
Notifiable incident	An incident involving the death of a person, or serious injury or illness of a person or a dangerous incident, (as defined in the WHS Act 2011) that must be notified to SafeWork NSW.
Person conducting a business or undertaking (PCBU)	May be an individual person or an organisation conducting a business or undertaking (as defined in the WHS Act 2011).
Principal	Party inviting and receiving tenders and letting contracts.
Principal contractor	The entity that contracts with an agency, as the client, and is appointed as principal contractor (as defined in WHS Regulation 2017) for nominated work.
Project	An undertaking with a defined beginning and objective by which completion is defined. A project may be completed using a single contract or multiple contracts.
Service providers	Includes principal contractors, contractors, subcontractors, consultants and suppliers.
Subcontractor	PCBU that contracts with a contractor as the client to carry out construction and related services.
Supplier	PCBU that contracts with a client to provide a product and/or service.

Appendix B: Preparing a WHS Management Plan

What is a WHS management plan?

A WHSMP sets out the arrangements to manage work health and safety on a construction project. The intention of the plan is to manage the risks associated with a construction project, as there are usually many contractors and subcontractors involved and circumstances can change quickly from day to day.

The WHSMP must be in writing, accessible and easily understood by workers on the site. It may not be necessary to communicate the entire WHSMP to all workers; including contractors and subcontractors, however, they must be made aware of the parts that are applicable to the work they are carrying out.

The WHSMP must be implemented, maintained and kept up to date during the work on the site.

Preparing a WHS management plan

The level of detail required for a WHSMP will depend on how complex the workplace is (particularly the number of contractors at the workplace at any one time) and the risks involved in the work.

The hazards associated with each work activity must be identified and the associated risks assessed. Measures for eliminating, or controls for minimising and monitoring the risk are to be developed, documented and implemented.

The WHSMP must include:

- A project-specific risk assessment, identifying hazards and assessing the risks associated with the work, and documenting the risk control measures to be taken
- The names, positions and health and safety responsibilities of all persons at the workplace, whose positions or roles involve specific health and safety responsibilities in connection with the construction project
- The arrangements in place between any persons conducting a business or undertaking at the workplace for communication and consultation, cooperation and coordination of activities in relation to compliance with their duties under the WHS Act and Regulations
- The arrangements in place for managing any work health and safety incidents that occur
- The arrangements for preparing and implementing any site-specific health and safety rules and for ensuring that all persons at the workplace are informed of these rules
- The arrangements that will be in place to ensure that all persons receive the appropriate WHS training before commencing work on site.
- The arrangements to collect and assess, monitor and review the SWMS.

Further details regarding the minimum range of topics to cover in a WHSMP are included in Section 7 and Appendix B.

The WHSMP may also include, for example:

- A list of contact details for the client, the contractor and their representatives
- Details of the construction project, for example address of the workplace, anticipated start and end date and a brief description of the type of construction work that the WHSMP will cover

- How subcontractors will be managed and monitored, including how the contractor intends to implement and ensure compliance with the WHSMP such as checking on the performance of subcontractors and how non-compliance will be handled
- How the risks associated with high-risk construction work that will take place on a construction project will be managed
- The provision and maintenance of a hazardous chemicals register, safety data sheets and hazardous chemicals storage
- The storage, movement and disposal of construction materials at the workplace
- The safe use and storage of plant
- The development of a construction project traffic management plan. It must consider traffic in the vicinity of the workplace that may be affected by the construction work
- Essential services, including underground/hidden electrical and gas and overhead power lines.
- Workplace security and public safety
- Licences and training required to undertake the work.

People with health and safety responsibilities

The statement of responsibilities must list the names and positions of the people on the work site, who will be responsible for WHS management, including:

- Identifying hazards and assessing the risks associated with the work, and documenting the risk control measures to be taken
- Managing compliance with WHS workplace injury management and workers' compensation legislation, Regulations, standards and codes, SWMSs and the Site Safety Rules
- Assessing and monitoring the capability of subcontractors and other service providers in the supply chain, and verifying that they meet WHS requirements
- Displaying and making Site Safety Rules available to personnel on, and visitors to, the work site
- Making sure that the WHSMP is prepared and kept up to date, is assessable to all persons working on site and that the people work on site are aware of the content of the WHSMP
- Managing the WHS communication and consultation provisions in accordance with the regulatory and other requirements
- Conducting site-specific induction, and other training
- Making sure that before starting work on site all personnel attend suitable induction training courses)
- Preparing, maintaining and making accessible the register of hazardous chemicals
- Managing workplace injury management processes to suit procedures
- Maintaining first aid stocks and providing first aid
- Managing illness/injury and emergency processes to suit procedures
- Keeping WHS records.

Communication and consultation

The contractor must include details in the WHSMP about how the persons conducting a business or undertaking at the workplace will consult and cooperate with each other, referring to relevant SafeWork NSW Codes of Practice.

There should be ongoing consultation and cooperation between all duty holders so that when work overlaps, each person is aware of other construction activities and can control any associated hazards and risks.

Managing incidents

The contractor should consider about the types of health and safety incidents, near misses and illness/injury that might occur. The WHSMP should document the actions that will be taken and who will represent the contractor.

The procedures should address:

- Incident Management, including notifying [SafeWork NSW](#) and client and emergency services as necessary
- Emergency situations, including arrangements for testing of the Emergency Plan
- First Aid arrangements, including facilities and first aid equipment and the arrangements for training in first aid

Site safety rules

Contractors must prepare and implement Site Safety Rules, display them on noticeboards and other suitable locations on the work site, and provide them to all personnel who may work on the site and visitors to the site.

The Site Safety Rules, complying with [SafeWork NSW Codes of Practice](#) must cover and include, but are not limited to, the following:

Alcohol and Drugs

- The consumption of, or being under the influence of, alcohol or illegal drugs on the site is prohibited.

Demolition, excavation, formwork and other structural frames

- All demolition, excavation, formwork and work with other structural frames will be done in accordance with the relevant legislation, regulations, standards, codes and procedures

Elevated work

- All work at heights will be done in accordance with the relevant legislation, regulations, standards, codes and procedures

Electrical work, overhead wiring, installations and equipment

- No working live
- All electrical work, plant and equipment must comply with WHS and electrical safety legislation, regulations, standards, codes and procedures, including inspection and tagging of leads and power tools
- The presence and location of all electrical cables will be identified before commencing adjacent work

Hazardous chemicals and dangerous goods

- A register of hazardous chemicals must be kept and maintained for all hazardous chemicals brought onto the work site
- All hazardous chemicals and dangerous goods must be used, handled and stored in accordance with requirements.

Illness/injury and emergency procedures

- All first aid facilities and illness/injury and emergency procedures will be clearly identified and used, including reporting illness/injury and incidents

Induction and safety training

- Before starting work on site all workers must attend induction training in health and safety aspects of general construction work
- Before starting work on site all workers must attend adequate site-specific induction training and induction training for the work activity being undertaken
- All workers must attend appropriate refresher training and be involved in regular discussion of work site WHS matters
- All visitors when on the work site must be accompanied by a person who has received the above training.

Personal protective equipment

- All workers and visitors must wear appropriate personal protective equipment (PPE) when on the work site

Protection of all workers and the public

- Effective barricades, fencing and overhead protection will be used

Safe working

- Fire prevention, housekeeping and other site safe working procedures should be included.

Site access and security

- Ensure, so far as is reasonably practicable, that the workplace is secured from unauthorised access
- All entry to, movement on, passage adjacent to, and exit from, the work site of workers and other persons, vehicles and equipment will be controlled in accordance with required procedures

WHS training

Induction training

Before any person commences work on site, they must be provided with WHS induction training. This must cover WHS matters associated with:

- General construction work
- The specific work activities to be undertaken
- The specific worksite.

Site-specific induction must explain Site Safety Rules, content of the WHSMP, relevant SWMS, risk management and emergency procedures and consultative arrangements at the work site.

Safe work method statements

The WHSMP must include details of the arrangements for the preparation, collection and any assessment/approval, monitoring and review of SWMS at the workplace.

The WHSMP must also include arrangements to ensure that SWMS are followed by all affected workers (including contractors and subcontractors), and that work is ceased if the SWMS is not being followed.

Prepare and implement a safe work method statement

SWMSs must be prepared and implemented for all high-risk construction work activities.

The primary purpose of a SWMS is to enable supervisors, workers and any other persons at the workplace to understand the requirements that have been established to carry out the high-risk construction work in a safe and healthy manner so they can implement them.

When preparing a SWMS, the workers who are to follow them must be consulted and involved. This will help improve, and encourage their ownership of, the required actions and procedures in the Statements.

The SWMS must be able to be easily read by those who need to know what has been planned to manage the risks, implement the control measures and ensure the work is being carried out in accordance with the SWMS.

The SWMS must:

- Identify the work that is high risk construction work
- Specify hazards relating to the high-risk construction work and risks to health and safety associated with those hazards
- Describe the measures to be implemented to control the risks
- Describe how the control measures are to be implemented, monitored and reviewed

A SWMS should also include the following information:

- The name of the person conducting a business or undertaking, their address and ABN (if they have one)
- Details of the person(s) responsible for ensuring implementation, monitoring and compliance with the SWMS
- If the work is being carried out at a construction project, the:
 - name of the contractor
 - address where the high-risk construction work will be carried out
 - date the SWMS was prepared and the date it was provided to the contractor
 - review date (if any).

Complying with a SWMS

All contractors who are involved in high risk construction work must develop and implement arrangements to ensure the work is carried out in accordance with the SWMS.

Arrangements may include a system of routine or random workplace work activity observations, for example, observing workers and supervisors to see if the control measures outlined in the SWMS are being implemented.

If the work is not being carried out in accordance with the SWMS, then the work must stop immediately or as soon as it is safe to do so.

Work must not resume until the work can be carried out in accordance with the SWMS.

Reviewing a SWMS

A SWMS must be reviewed (and revised if necessary) if relevant control measures are revised.

The review process should be carried out in consultation with workers (including subcontractors) who may be affected by the operation of the SWMS and their health and safety representatives who represented that work group at the workplace.

When a SWMS has been revised, the person conducting a business or undertaking must ensure:

- All workers involved with the high-risk construction work are advised that a revision has been made and how they can access the revised SWMS. The contractor should be given a copy of the revised SWMS
- All workers who will need to change a work procedure or system because of the review are advised of the changes in a way that will enable them to implement their duties consistently with the revised SWMS.
- All workers that will be involved in the high-risk construction work are provided with the relevant information and instruction that will assist them to understand and implement the revised SWMS.

Appendix C: Auditing a WHS Management Plan

General principles

There must be a clear understanding between the audit team and the contractor about the scope and terms of the audit.

The audit team should:

- have a right of access at all reasonable times to the contractor's WHS records,
- be entitled to get from the contractor any information and explanations the audit team needs for the audit.

If the audit team observes any dangerous or life-threatening situation in the course of an audit, the issue must be raised immediately with the contractor's local supervisor to enable corrective action to take place as a matter of urgency.

A consistent approach

Audits should be carried out by the agency (and contractor):

- at least once within three months of the start of site work.
- at least twice in the life of a project or as otherwise determined by an agency to suit the level of risk during a project.

The audit results will be included, by agencies, in the Contractor Performance Reports.

The objective of an audit

The objective of an audit is to verify formally that the documented procedures in a WHSMP are being followed. The audit process should focus on checking whether the contractor's workers and service providers are implementing the WHSMP.

Responsibilities of the parties

Agency

Action	Description
Reviewing the plan	The agency will review the contractor's WHSMP to determine whether key elements of the WHSMS are addressed.
Scheduling audits	The agency will schedule, arrange and participate in WHSMP audits with the contractor.
Following up	The agency will follow up to confirm that the contractor has completed all the necessary corrective and preventive actions within the required timeframes.

Audit teams

The audit team will conduct the audits scheduled by the agency with the contractor.

The audit team must carry out a WHSMP audit:

- with fairness and honesty
- with full regard to confidentiality

- in a timely manner.

When carrying out an audit, the audit team must acknowledge that contractors have a responsibility to protect the health, safety and welfare of their workers and others and service providers in the supply chain from any WHS risks arising out of the work.

A member of the audit team must not participate in a WHSMP audit if he or she is:

- in debt to the contractor or its service provider
- a partner or other business associate of the contractor or its service providers
- a worker, agent or consultant of the contractor or its service provider
- a relative of one of the contractors or its service providers, or
- has any other conflict of interest.

(See [Appendix C - Auditing a WHSMP](#))

Qualifications

The audit team must collectively have the following qualifications:

- Successful completion of a Management System auditing course covering:
 - BSBAUD501A Initiate a quality audit
 - BSBAUD502A Prepare a quality audit
 - BSBAUD503A Lead a quality audit
 - BSBAUD504A Report on a quality audit.
- Demonstrated knowledge of WHS Acts, regulations, Codes and Standards as they apply to the construction industry
 - Demonstrated knowledge can be either formal WHS qualifications or the accepted equivalent
 - Such criteria must be acceptable to senior management in the accrediting authority
 - Knowledge of the contract, project work site, and site WHS requirements.

Task and responsibilities for auditing

This table provides an overview of the tasks and responsibilities for auditing a WHSMP.

Refer to [Appendix D - Sample WHSMP audit report](#)

Review and planning

Task	Responsibility	Description
Review the WHSMP to establish whether it addresses key elements	Agency	The WHSMP is submitted by the contractor / principal contractor before work commences on site. It must be reviewed by the agency to establish that it addresses key elements of the WHS Management Systems and Auditing Guidelines.
Plan the audit schedule	Agency and contractor	<p>Prepare the audit schedule and consider the order in which the key elements will be audited. For example, the first audit may assess compliance with requirements pertaining to the key elements of Management Responsibility, Risk Management and Incident Management and Corrective Action.</p> <p>The first audit should occur soon after the commencement of site work – generally within the first three months.</p>
Engage the audit team	Agency	Engage audit leader to manage audit and, if applicable, form audit team
Notify the contractor of the audit	Agency	Discuss audit schedule with contractor and agree on date for the audit.

Preparation and conducting the audit

Task	Responsibility	Description
Prepare for the audit	<p>Agency and/or audit leader</p> <p>Audit leader and audit team</p> <p>Audit leader, audit team, contractor's representative, agency</p>	<p>Develop program for audit and assign responsibilities to audit team members.</p> <p>Discuss scope and objectives of audit.</p> <p>Develop itinerary for audit.</p> <p>Agree on communication to be used throughout the audit process.</p> <p>Review contractor's WHSMP.</p> <p>Review any other relevant documentation, for example, previous audit reports, contractor's actions to address any Corrective Action Requests from previous audits.</p> <p>Meet with agency and contractor to confirm scope and objectives of audit and approach to be taken.</p> <p>Audit leader allocates responsibilities to team members.</p>
Conduct the audit Hold entry meeting Follow audit methodology	Audit leader and audit team	<p>Meet with agency and contractor to enable the audit team to explain the audit process and the approach to be taken.</p> <p>Review and assess the implementation and effectiveness of the WHSMP.</p> <p>Visit the specific areas of the contractor's operation covered by the audit scope, and review and evaluate conformance to the Plan (see Appendix D for an Audit Checklist).</p> <p>Document any non-conformances.</p> <p>Request the contractor's representative to confirm the non-conformance by signing a record of the non-conformance.</p>

Task	Responsibility	Description
Hold final audit team meeting	Audit leader and audit team	<p>Meet to review audit findings.</p> <p>Identify and discuss areas where the contractor is performing well.</p> <p>Clarify and discuss issues and areas of concern.</p> <p>Discuss any non-conformances.</p> <p>Prepare an audit report containing non-conformances and completion dates for corrective actions.</p> <p>The audit report should be written and provided on the day of the audit and explained to the contractor at the exit meeting. If this is not possible, then the non-conformances must be documented so they can be provided to the contractor at the exit meeting. The audit report should then be submitted within one week of the audit to the agency, who should then immediately forward it to the contractor.</p>
Hold exit meeting	Audit leader, audit team, agency, contractor	<p>Meet with agency and contractor to discuss the audit report, corrective actions, and timeframes for completion by the contractor.</p> <p>The non-conformances should be documented and provided to the contractor at the exit meeting.</p> <p>If the audit report is available, the agency will provide the contractor with a copy. If not, the audit report will be provided as soon as possible thereafter. The contractor will be given the chance to comment on the audit, and the comment will be properly considered.</p>

Follow up actions

Task	Responsibility	Description
Follow up on implementation of corrective and preventive actions	Agency and contractor	Make sure the required corrective action and preventive actions are carried out within the agreed timeframes.
Record	Agency and contractor	Audit reports and comments by the contractor will be managed within each agency for its projects. The results of audits and contractor performance will be included, with other matters, in Contractor Performance Reports.

Appendix D: Sample WHSMP Audit Report

Introduction			
Principal contractor			
Reviewer / auditor			
Contract name and number (if applicable)			
Review / auditor signature			
Date			
ACCEPTABILITY REVIEW	Yes	No	N/A
Contractor Accreditation Recommended			
Acceptability not supported, further detail required			
PRE-START REVIEW			
WHSMP			
AUDIT TOOL			
WHSMP			

Recommendation / Non-conformances

Insert description

WHSMS/WHSMP – General

Is/does the WHSMS/WHSMP:	Page number or evidence of implementation
1. Actively maintained and up to date	
2. An easily understood document	
3. Accessible to all workers	
4. Clearly describe organisational responsibilities (in a chart)?	
5. Clearly describe the contractor's WHS policies and objectives?	
6. Clearly describe training records and other documents that must be kept?	
7. Clearly describe position descriptions?	
8. Clearly describe WHS Procedures	

FINDINGS

Insert findings

Checklist 1 - Senior management commitment

This element is about defining the contractor's policies, objectives, responsibilities and commitments to WHS, as well as identifying and providing the resources needed for implementation and verification.

Does this element of the WHSMS/WHSMP clearly describe:	Page number or evidence of implementation
1. Specific senior management responsibilities and commitment to continual improvement?	
2. Specific responsibilities of management and other personnel responsible, their qualifications and accountabilities to deal with WHS matters, including the names of staff in the WHSMP?	
3. Responsibilities, including names and positions for:	
a) Allocating adequate resources to deal with WHS matters.	
b) Ensuring that WHS policies, Management Systems and Plans are communicated to workers	
c) Managing compliance with WHS legislation, regulations, standards and codes?	
d) The injury management and rehabilitation of injured workers and others?	
e) Ensuring WHS workplace consultation is operating?	

FINDINGS

Insert findings

Checklist 2 - Communication and consultation

This element is about establishing the process for sharing relevant WHS information with workers and other contractors such as subcontractors and consultants in the supply chain, providing them with an opportunity to express their views on WHS issues and allocating adequate time to resolving such issues.

Does the WHSMS/WHSMP clearly describe how the contractor plans to:	Page number or evidence of implementation
1. Facilitate the establishment of WHS Committee or HSR or WHS Representative or other arrangements for WHS consultation agreed by management, workers and service providers.	
2. Review site consultation arrangements with workers and service providers.	
3. Ensure that all workgroups will be represented by either the WHS Committee or Representative or are involved in the site specific and other agreed arrangements.	
4. Elect the WHS Committee or HSR or WHS Representative, if applicable to the agreed site communication and consultation arrangements.	
5. Ensure that each member of the WHS Committee, HSR or WHS Representative undertakes WHS consultation training.	
6. Record, publicise and encourage workers representatives to participate in the work on a regular basis.	
7. Consult on the job through daily communication between site managers, workers and service providers.	
8. Provide access to relevant WHS information through notice boards, toolbox meetings, circulars and safety alerts.	
9. Liaise with their service providers to coordinate WHS consultation and communication on work sites.	

FINDINGS

Insert findings

Checklist 3 - Managing subcontractors and consultants

This element is about selecting and managing subcontractors and consultants, defining measures to assess the capacity of all subcontractors and consultants in the supply chain to comply with specified WHS standards and monitoring their compliance

Does the WHSMS/WHSMP procedure clearly describe how the contractor plans to:	Page number or evidence of implementation
1. Assess and select its subcontractors, consultants and other service providers in the supply chain on their ability to comply with WHS requirements?	
2. Specify appropriate WHS requirements in all contracts entered int, including the subcontractors' providing the principal contractor with a copy of the SWMS for high risk construction work activities?	
3. Provide its subcontractors and other service providers with access to the WHS Management Plan and inform service providers of the content of the WHS Management Plan	
4. Monitor its subcontractors' and other service providers' poor performance?	
5. Manage any of its subcontractors or other service providers' poor performance?	

FINDINGS

Insert findings

Checklist 4 – Design

This element is about defining a process to identify and eliminate (or at least minimise) WHS risk relating to design at any stage of a Project.

Does this WHSMS/WHSMP clearly describe how the contractor plans to:	Page number or evidence of implementation
1. Consult with the client and designer(s) about: <ul style="list-style-type: none"> - Health and safety risks arising from the design during construction work are eliminated or minimised? - Any information they have in relation to hazards and risks at or in the vicinity of the workplace where the construction work is to be carried out? 	
2. Describe how safe design information will be obtained from the client or designer?	
3. Require a review of the safe design information adopting a hazard identification and WHS risk assessment approach?	
4. Apply the hierarchy of hazard controls to design out or otherwise manage hazards?	
5. Include the process for consultation with subcontractors' and consultants' end users about hazards and WHS risk management?	
6. Describe the communication and consultation process for discussing with workers and service providers WHS design issues and risk control measures?	
7. Aim to achieve reasonable and safe constructability; safety with use; longevity of 'product'; reduced, simplified and safe maintenance; and safe disposal?	
8. Specify how the safe design information, including outcomes from the review of this information will be incorporated into the WHSMP or WHS Management Plan?	

FINDINGS

Insert findings

Checklist 5 - Risk management

This element is about defining a process to identify WHS hazards, assess risks and plan work processes to control those risks. It also covers Safe Work Method Statements and hazardous management processes.

Are procedures clearly described for the following activities:	Page number or evidence of implementation
1. For identifying WHS hazards, assessing risks and devising risk controls that eliminate risks where reasonably practicable or minimise risks according to the Hierarchy of Controls?	
2. For selection of the most effective risk control measures.	
3. For systematically reviewing the adequacy of the risk assessment and the effectiveness of the control measures and making improvements?	
4. For dealing with WHS hazards and related risks in the event of an incident or illness/injury?	
5. For developing and implementing Safe Work Method Statements?	
6. For reviewing subcontractors' Safe Work Method Statements?	
7. To enable compliance with relevant WHS, workplace injury management and workers' compensation legislation, standards and codes?	
8. For preparing and communicating Site Safety Rules?	

FINDINGS

Insert findings

Checklist 6 – Training

This element is about establishing the procedures and allocating resources to identify and provide for the training needs of workers

Are procedures clearly described for the following activities:	
1. Identifying the training needs of management, supervisors, workers, subcontractors and visitors?	
2. Providing site WHS induction training, task training and refresher training?	
3. Providing WHS Committee/WHS or HSR representative with consultative training?	
4. Providing specific training necessary to conform with WHS requirements?	
5. Providing training in emergency procedures?	
6. Keeping appropriate records of WHS training?	
7. Making sure all workers working on site have or who will be on the project have completed general construction induction training.	

FINDINGS

Insert findings

Checklist 7 - Inspection, testing and servicing

This element is about establishing procedures for planning and conducting WHS inspection, testing and monitoring on work sites and for plant and equipment use, work processes and incoming products. It also covers health surveillance and monitoring and the servicing of plant and equipment.

7.1 Does the WHSMS/WHSMP clearly describe the contractor's procedures for:	Page number or evidence of implementation
1. Developing and maintaining a schedule of inspection, testing and servicing for all projects (before commencement of work) based on the level of risk involved?	
2. Maintaining records of inspection, testing and servicing.	

FINDINGS

Insert findings

7.2 Does the system/plan clearly describe procedures covering inspection, and where relevant, testing and servicing of:	Page number or evidence of implementation
1. Incoming products, such as materials, plant and equipment?	
2. Work site environment?	
3. Work methods generally?	
4. Access and exits?	
5. Hazard and risk control measures?	
6. Adherence to Site Safety Rules?	
7. Electrical safety?	
8. Plant and equipment:	

FINDINGS

Insert findings

7.3 Do inspection and test plans:	Page number or evidence of implementation
1. Specify the standards against which inspection, testing and servicing will be conducted?	

7.3 Do inspection and test plans:	Page number or evidence of implementation
2. Specify particulars of the inspection, testing and servicing programs?	
3. Assign responsibility for inspection, testing and servicing?	
4. Specify the competencies required by persons conducting inspection, testing and servicing.	
5. Specify arrangements for identifying the test status of plant, equipment and materials.	
6. Specify the requirements for the accuracy and calibration of testing equipment?	
7. Specify that the records are readily available and will be kept according to the legislative requirements?	

FINDINGS

Insert findings

7.4 Health surveillance and monitoring	Page number or evidence of implementation
1. Describe the process for identifying the work activities where workers' exposure to hazards require health surveillance and monitoring.	
2. Specify the requirements specified in legislation regarding the nature and frequency for health surveillance and monitoring.	

FINDINGS

Insert findings

Checklist 8 - Incident management

This element is about establishing procedures to manage incidents, to control the use of products and work practices which do not meet WHS requirements and to address appropriately WHS issues through corrective action and injury management procedures

8.1 Are procedures clearly described for the following activities:	Page number or evidence of implementation
1. Detecting and documenting issues and incidences of non-compliance and non-conformance?	
2. Quarantining and disposal of non-conforming materials and substances?	
FINDINGS	
<i>Insert findings</i>	

8.2 Is it clearly shown how the contractor will communicate information about issues and corrective action:	Page number or evidence of implementation
1. Throughout the organisation?	
2. To clients?	
3. To subcontractors and other service providers?	
4. To the relevant authorities, including incident notification to SafeWork NSW	
FINDINGS	
<i>Insert findings</i>	

8.3 Does the WHSMS/WHSMP clearly describe the contractor's procedures for:	Page number or evidence of implementation
1. Incident/illness/injury reporting and investigation, including identification of the root cause?	
2. Implementing corrective action?	
3. Monitoring the effectiveness of corrective actions, including keeping records?	
4. Implementing injury management and return to work plans?	
FINDINGS <i>Insert findings</i>	

Checklist 9 - Purchasing, handling, storage, packaging and delivery

This element is about making sure that all materials, equipment and plant purchased or hired conform to the required WHS standard and establishing procedures to facilitate compliance with legislative and other requirements for handling, storage, packaging and delivery of products including materials.

Does the WHSMS/WHSMP clearly describe the contractor's procedures for:	Page number or evidence of implementation
1. Pre-purchase identification of potential WHS risks that may be introduced to the work site from supplied plant and materials?	
2. Assessing suppliers' ability to comply with the organisation's WHS specifications for the provision of plant, materials and services?	
3. Verifying that client-supplied plant and materials meet WHS specifications?	
4. Checking that suppliers provide all relevant WHS information for their plant and materials?	
5. Maintaining records of supplied plant and materials identified as having potential WHS risks?	
6. Appropriate licensing, certification and qualification of anyone who will be engaged in hazardous processes?	
7. Safe handling and storage of products, including hazardous substances and dangerous goods?	
8. Assessment and control of manual handling risks?	
9. Assessment and control of materials handling risks?	
10. Identification of hazardous chemicals and dangerous goods through appropriate labelling?	
11. Provision of information on hazardous chemicals (such as through Safety Data Sheets)?	
12. Maintenance of a register of hazardous chemicals and dangerous goods and associated records of risk assessments?	
13. Checking compliance with registration requirement of plant and plant design?	

Does the WHSMS/WHSMP clearly describe the contractor's procedures for:	Page number or evidence of implementation
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FINDINGS

Insert findings

Checklist 10 - Client reporting and project performance measurement

This element is about establishing procedures for regularly monitoring performance against WHS objectives and targets defined by the contractor at the corporate and project level. The element defines the process for reporting WHS performance / issues to the Client

10.1 Does the WHSMS/WHSMP clearly describe the contractor's procedures for:	Page number or evidence of implementation
1. Establishing, monitoring and reviewing WHS objectives and targets for corporate and project level?	
2. Require objectives and targets to be incorporated into the WHSMP?	
3. Specify how requirements in regards to preparing regular WHS performance reports/records, e.g. monthly?	
4. Describe the process for collating WHS performance reports from all projects and benchmarking performance across the contractor's operations?	
5. Require the review of the performance reports by Senior Management, to consider and provide feedback to the Project Team?	
FINDINGS <i>Insert findings</i>	

10.2 Does the WHSMS/WHSMP clearly describe the contractor's procedures for:	Page number or evidence of implementation
<ol style="list-style-type: none">1. The timely reporting of WHS issues to the client including:<ul style="list-style-type: none">- Worksite incidents, including such things as near misses, contact with hidden services- WorkCover NSW site visit- WorkCover NSW Notices issues- Visits by unions, FSC or similar to the site- Results of internal reviews, site inspections and implementation of inspection and testing plans- Results of audits, including non-conformances and the implementation of corrective actions	

FINDINGS

Insert findings

Checklist 11 - Internal review

This element is about establishing procedures for planning and undertaking internal reviews, including audits, to verify the on-site WHS processes and practice match the required plans and procedures

Does the WHSMS/WHSMP clearly describe procedures for systematically reviewing (including auditing) WHS activities and WHSMPs, including:	Page number or evidence of implementation
1. Carrying out reviews at regular intervals?	
2. Identifying deficiencies in the WHS Management System and Plans?	
3. Specifying the responsibilities and competency of those carrying out the review?	
4. Documenting reviews?	
5. Conducting regular audits of implementation and compliance with the WHS Management System and Plans?	
6. Identifying the root cause of any breaches/non-conformances and implementing corrective actions?	
7. Implementing follow-up procedures to assess the effectiveness of any corrective action?	
8. Communicating the results of reviews to Senior Management and the status of corrective actions?	
FINDINGS <i>Insert findings</i>	

Checklist 12 - Documentation and records

This element is about establishing procedures, for the control, approval, dissemination, withdrawal, storage and disposal of WHS documents, data and other records

12.1 Does the WHSMS/WHSMP include procedures for and detail the following records for maintenance:	Page number or evidence of implementation
1. Document control procedures for WHS documents and data, including their identification, approval, maintenance, dissemination, retention, withdrawal and disposal?	
2. Records management procedures for maintaining WHS records, including their identification, filing, retrieval and retention?	
FINDINGS <i>Insert findings</i>	

12.2 Does the WHSMS/WHSMP clearly describe record-keeping requirements for:	Page number or evidence of implementation
1. Induction and training records?	
2. Skills, competency and license register?	
3. Hazard identification, risk assessments and associated safe working procedures?	
4. Reports of incidents and illness/injury?	
5. Illness/injury and incident investigation reports?	
6. Illness/injury statistics, such as lost time frequency rates and duration rates?	
7. Maintenance, testing, servicing and repair of plant and equipment?	
8. Use of hazardous substances and associated monitoring?	
9. Inspection and test reports?	
10. Particulars of qualifications held by individuals?	
11. Internal review reports	
12. WHS design reviews?	

12.2 Does the WHSMS/WHSMP clearly describe record-keeping requirements for:	Page number or evidence of implementation
13. Minutes of WHS meetings?	
14. WHS audit reports?	
15. Worker injury management records?	
16. Evidence of actions taken as a result of WHS meetings?	
17. Corrective action records?	
18. Work safety records generally?	
FINDINGS	
<i>Insert findings</i>	