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Construction OHS Accreditation Scheme

Documentary evidence guide



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Senior management commitment

Safe design

Consultation & communication

Subcontractors

Performance management

Training

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Introduction

As part of the Australian Government Building and Construction OHS Accreditation Scheme (the Scheme), essential criteria have been identified to improve OHS performance in the building and construction industry. These form part of the requirements for gaining accreditation under the Scheme.

This document is intended to provide contractors wishing to apply for accreditation practical guidance as to what constitutes 'documentary evidence' for the criteria when applying. The application will be assessed against several criteria, both at the desktop and on-site audit assessment stages, and this document gives specific examples of acceptable evidence that can be submitted against each criterion at the desktop assessment stage.

Applicants are required to provide a *statement of capability as well as documentary information* against each criterion. More than one piece of documentary evidence may be required to demonstrate compliance against each of the criteria. Each application will be evaluated in terms of the depth and quality of information provided. Please note that you are not limited to the examples listed, as they are only intended as a guide to what constitutes evidence under each of the criteria.

Applicants should also note that at on-site audit, the Federal Safety Officer conducting the audit may request documentary evidence against the criteria to verify the implementation of OHS procedures and practices on site. This is separate to any documentary evidence submitted at the desktop assessment stage.

On-site audit also covers criteria relating to OHS Management System (OHSMS) and hazard management of high risk activities. These criteria look at how work activities are planned and controlled through organisational processes to the extent necessary to prevent injury and illness. The following questions may assist applicants in demonstrating satisfactory performance against these criteria:

- What are the key risk areas in the project?
- Who is responsible for managing these risks?
- What are the controls used to manage these risks?
- How does the contractor ensure that the controls are being implemented?
- How does the contractor measure the effectiveness of these controls?

Further information

This evidence guide is designed to be read in conjunction with the OFSC Contractor Application Pack. Copies of this are available from the Office of the Federal Safety Commissioner or from fsc.gov.au.

Further advice and assistance regarding the application process for accreditation or the Scheme in general is available by calling the FSC Assist Line on 1800 652 500 or emailing ofsc@deewr.gov.au.

Criteria

The following sections give specific examples of acceptable documentary evidence for each criterion. Please note that you are not limited to the examples provided and more than one piece of documentary evidence may be required in order to demonstrate compliance against each criterion.

1.

Demonstrated senior management commitment to OHS

This should be addressed by providing information and documentary evidence in response to the five questions listed at 7.1 in the Contractor Application Form.

In this context, **senior management** refers to an individual or group of individuals with executive responsibility for the organisation.

1.1 Do you have a senior management position that is allocated overall OHS responsibility?

What are the responsibilities of this position, and does this include reporting on the OHSMS to the Board or senior management group?

Documentary evidence could include:

- a position statement or role description that confirms allocation of OHS responsibility to a senior manager
- an organisation chart that shows a senior manager has responsibility for OHS
- reports to the Board or senior management regarding OHS
- minutes of management review meetings where OHS issues have been reviewed
- health and safety management plan
- company OHS procedure
- corporate safety policy
- résumé of OHS Manager

1.2 Do you have an OHS policy?

How is this communicated to all parties (e.g. employees, workers, subcontractors and clients) involved in a construction project?

It is a mandatory requirement for this criterion to submit a copy of your company's signed OHS Policy.

Documentary evidence could include:

- a copy of a signed OHS Policy
- extract from induction booklet showing OHS Policy is communicated during induction
- extract from a procedure for OHS Policy to be displayed on site notice board/reception area/visitor areas
- extract from procedure indicating OHS Policy is to be included in tender documentation
- OHS Plan (showing OHS Policy is communicated)
- project start-up procedures
- safety inspection checklist, including check for OHS Policy being displayed

1.3 Do you develop site specific OHS project plans for each construction project?

Explain the process used to develop these plans.

Are these OHS plans signed off/authorised by a senior management position?

Documentary evidence could include:

- a procedure indicating that site-specific OHS project plans are to be developed for each project
- a procedure or documented process for the development of site-specific OHS plans, including how often they are developed
- an extract from a site-specific OHS project plan showing plan is signed by a senior manager
- an extract from a procedure requiring site-specific OHS plans to be signed off by a senior manager
- company action plans (including requirement for site-specific OHS plans to be developed)
- position description/role description indicating site-specific OHS plans are to be developed and signed off by a senior manager

1.4 Does a senior manager visit project sites to discuss OHS issues with site management?

**Do they address relevant OHS consultative forums, such as the site OHS committee?
Is there a program for senior managers to participate in other on-site task observations, such as safety walks, inspections or audits?
Explain the arrangements that you have in place to ensure that this occurs regularly.**

Documentary evidence could include:

- site safety committee meeting records showing senior management representatives have attended
- records of site safety walks showing that senior managers have participated
- records of toolbox talks where senior managers have discussed OHS issues
- a position statement or role description that outlines senior management involvement in on-site audits or inspections
- records of pre-start inspections and meetings including senior managers
- project OHS audit reports indicating senior management involvement
- a procedure outlining the requirement for involvement of senior managers in audits, inspections and consultation on OHS
- line management accountability matrix including Key Performance Indicators (KPIs) for site visits
- extract from health and safety management procedures
- records of safety management meetings
- management and investigation procedures

1.5 What role does the senior management have in the OHS reporting process?

**Does your company have a process at the senior management level for monitoring, resolving and preventing significant OHS issues (e.g. fatality, serious injury, incident, non-compliance)?
Explain the details of this process.**

Documentary evidence could include:

- a position statement or role description that outlines senior manager involvement in the OHS reporting process
- evidence of OHS reports being sent to senior management
- incident reporting and investigation procedures including senior management role
- Board meeting minutes including review of OHS issues (incidents, non-compliance etc)
- monthly OHS report and actions arising
- copies of corrective action close-outs
- reports from senior management to the Board regarding OHS issues
- records of actions taken by management to address OHS issues identified (change procedures, toolbox talk, OHS alert etc)
- hazard identification procedure
- continuous improvement procedure
- document outlining roles and responsibilities of senior management
- OHSMS review procedure/records
- emergency procedures

2.

Integration of safe design principles into the risk management process

This should be addressed by providing information and documentary evidence in response to the four questions listed at 7.2 on the Contractor Application Form.

For criterion 2.1. the following applies:

- For 'Construct Only' contracts, the design risk assessment should be undertaken by the client and/or designer.
- For 'Design and Construct' contracts, the design risk assessment needs to be undertaken at the earliest stage of the project.

2.1 How does your company request/conduct a design risk assessment at the design stage of the project to identify any OHS issues that may arise in the construction phase?

Explain the process that is used.

Documentary evidence could include:

- evidence of key stages in project safety planning in the company's OHSMS
- procedure for conducting a design risk assessment/concept design risk assessment
- procedure requiring design risk assessments to be undertaken for all projects
- procedure to ensure client/designer has conducted a design risk assessment
- design review checklist
- safe design analysis process
- design development and review procedure
- design management plan
- minutes from meeting in which design risk assessment results are discussed
- outline of independent designers' responsibilities during the design phase (including the requirement for a risk assessment)
- OHS qualitative risk assessment reports (including reports regarding design risk assessments)
- copy of design consultation/review forms/records
- project risk register which includes design-related risks

2.2 For those OHS risks identified at the initial design stage and unable to be eliminated, how are they incorporated into your contractor and subcontractor safety plans for the project?

Documentary evidence could include:

- OHS risk planning form including how design risks are to be incorporated into safety plans
- procedure for managing risks including incorporation of any design risks into safety plans
- flowchart outlining hazard identification and risk management process, including design hazards
- procedure requiring subcontractor safety plans to be assessed and approved by contractor
- procedure requiring subcontractors to be inducted into contractor's safety plan
- hazard management procedure for construction phase
- design management procedure
- project OHS hazard workshop minutes/records, including actions arising (including design hazards identified and discussed)
- sample project risk register (including design risks)

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- procedure for revising and reissuing safety plan
 - job safety analysis procedure (including design risks)

2.3 Does your company assess and control those design-related OHS risks that will impact on safety during the construction phase?

How does your company do this?

Documentary evidence could include:

- flowchart showing risk assessment and control procedure (including design-related risks)
- procedure for the assessment and control of OHS risks (including design-related risks)
- OHS risk planning matrix (incorporating design risks)
- records of design changes/variations and actions taken
- table of OHS risks and control measures (including design-related risks)
- sample project risk register and control measures (including design-related risks)
- sample project risk assessment (template)
- evidence of key stages involving design in project safety planning in the company's OHSMS
- site-specific safety checklist
- design review meeting agenda/minutes
- example of a company-specific process for managing risks (including design-related risks)

2.4 In the event of any design changes during the construction phase, how are the new OHS risks managed?

Who is involved in the decision-making processes for these changes?

How is this communicated to site workers?

Documentary evidence could include:

- template for design change review
- procedure for the review of design changes, including who is to be involved
- position/role description indicating authority to approve design changes
- procedure for the assessment of risks associated with any design changes
- procedure for continuous improvement
- risk assessment procedure, forms and templates
- procedure for updating safety plans and Job Safety Analysis (JSA)/Safe Work Method Statements (SWMS) when design changes are identified
- excerpt from site safety plan showing plan has been revised and reissued
- procedure for communication of any design changes and changes in risks to those involved in the project
- communication/induction of relevant workers into new JSA/SWMS resulting from design changes.
- risk register indicating where risks and controls have been updated
- toolbox talk or site safety meeting record of design changes being communicated
- design control/management procedure
- outline of decision-making process for design changes
- safety audit forms
- OHS communication and consultation procedures

3.

Whole-of-project consultation and communication

This should be addressed by providing information and documentary evidence in response to the five questions listed at 7.3 on the Contractor Application Form.

3.1 Does your company have a formal arrangement with all workers on the process for consultation on health and safety issues?

Outline the arrangements your company has in place, and provide a broad overview of the sort of issues that are included in the OHS consultation process.

Documentary evidence could include:

- record of toolbox talk
- record of site safety committee meeting/minutes
- constitution for OHS Committee
- site induction cards/booklets/procedures
- site information booklets
- procedure for site safety committee set-up and frequency of meetings
- procedure for toolbox talks, including their frequency
- procedure for the distribution of safety committee minutes
- procedure for pre-start safety meeting
- company's formal consultation procedure/process
- minutes from weekly project team meetings
- photo of notice board displaying OHS information
- information and training programmes (focusing on OHS consultation)
- procedure for consultation and communication on OHS issues
- safety alerts/bulletins
- flowchart showing steps in the consultation process

3.2 Does your company have a formal process for communicating OHS information to all workers on site?

What sort of OHS information is communicated and how does your company do this? Does this include notifying workers of their representatives for health and safety, and how is this done?

Documentary evidence could include:

- flowchart showing steps in the consultation process
- communications policy
- consultation procedure
- safety alerts/bulletins
- record of toolbox talk/daily start-up meeting
- record of site safety committee meeting/minutes
- process for nominating, electing, and communicating the identity of health and safety representatives
- site induction cards/booklets (including identification of the health and safety representatives)

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- procedure for site safety committee set-up and frequency of meetings
 - procedure for toolbox talks, including their frequency
 - procedure for the distribution of safety committee minutes
 - procedure for pre-start safety meeting
 - company newsletter/booklets/guidance material on OHS
 - records of OHS information sessions
 - copy of HSR reports/memos to staff
 - minutes from weekly project team meetings
 - photo of notice board displaying OHS information (including names of health and safety representatives)
 - position/job description outlining responsibility for consultation

3.3 Explain the nature of the reports that are provided to any site safety committees.

Do these reports include information on any of the following: OHS incidents, inspections, corrective actions, hazards identified, job safety analysis, audits, inspections by regulatory agencies etc?

Documentary evidence could include:

- report from project manager to site safety committee covering the elements listed
- any of the above mentioned reports which include sign-off by site safety committee
- report on OHS performance discussed by site safety committee (minutes of meeting)
- incident/accident investigation checklist/procedure requiring notification to the site safety committee
- procedure requiring communication to the site safety committee of actions to be taken as a result of any incident/accident investigation
- procedure for OHS reporting, including what is to be reported to the safety committee
- copy of site inspection/audit/incident/non-conformance reports indicating they are provided to the site safety committee
- example of documents circulated to staff at safety meetings
- minutes from site safety committee meeting where OHS information/statistics have been considered

3.4 Does your company have a formal procedure for resolving OHS issues and disputes that affect workers on site?

What are your company's processes for resolving OHS issues within the workplace?

Documentary evidence could include:

- procedure for dispute resolution
- procedure for OHS issue resolution
- complaints procedure
- incident investigation procedure
- flowchart outlining dispute resolution/OHS issue resolution process
- site induction booklet/procedure showing all workers are made aware of dispute resolution/OHS issue resolution process
- communication and consultation procedure
- procedure outlining to whom disputes and OHS issues are to be reported
- project code of conduct/site safety rules

3.5 Does your company ensure that workers, or their safety representatives are involved in the development of site safety procedures?

What arrangements do you have in place for this?

Documentary evidence could include:

- procedure requiring all workers be inducted into site safety procedures
- procedure requiring relevant workers be involved in developing site safety procedures
- JSA/SWMS showing positions of those involved in developing the JSA/SWMS
- tender document/procedure requiring subcontractors to develop and submit SWMS
- minutes of safety committee meetings where JSA/SWMS have been reviewed
- safety walk checklist including list of attendees (position)
- induction booklet/procedure outlining worker involvement in the development of site safety procedures or induction into those procedures
- procedure for JSA/SWMS development
- JSA/SWMS development checklist
- subcontractor OHS plan
- procedure for consultation and communication
- position/job description outlining worker involvement in developing site safety procedures
- procurement procedure outlining requirements of subcontractors

4.

Demonstrated effective subcontractor OHS management

This should be addressed by providing information and documentary evidence in response to the five questions listed at 7.4 on the Contractor Application Form.

4.1 Does your company require an appropriate OHS plan from those subcontractors engaged to work on your projects?

What are the minimum OHS requirements that are to be incorporated into the plan?

Documentary evidence could include:

- excerpt from tender requirements showing OHS Plan is required
- procedure for engaging subcontractors
- procurement process excerpt
- safety information start-up pack for subcontractors
- pre-start subcontractor requirements
- subcontractor document checklist
- site induction procedure/booklet/checklist
- duty/responsibility statement for subcontractors (either from OHS plan or OHSMS)
- subcontractor/supplier assessment checklist
- subcontractor management procedure
- subcontractor tender and award process

4.2 Does your company have a common system of site induction for all subcontractors and workers? Describe the induction process.

It is a mandatory requirement for this criterion to submit a copy of your site induction plan.

Documentary evidence could include:

- site induction booklet
- site induction procedure
- subcontractor tender documents clauses including requirement for induction
- subcontractor pre-start requirements
- pre-start checklist
- copy of site induction forms/checklists
- responsibility matrix
- induction manual
- site specific induction pack
- induction register
- communication and consultation procedure, including process for site induction

4.3 On what, and how often, does your company provide OHS information to your subcontractors?

What is your process for disseminating this OHS information?

Documentary evidence could include:

- company safe work instructions
- tender documentation including OHS information
- induction pack/procedure/checklist
- communication and consultation procedure
- photo of site notice board with daily hazard sheet
- toolbox talk records
- pre-start meeting records
- safety alerts/bulletins
- generic/company SWMS
- roles and responsibilities matrix, including what information and to whom it should be communicated
- subcontractor management procedure
- record of subcontractor induction into SWMS/risk register
- information register, including what sent and to whom

4.4 What role does your company play in the Job Safety Analysis process and in the subsequent development of the subcontractor's Safe Work Method Statements?

How does your company do this?

Documentary evidence could include:

- subcontractor tender requirements
- procedure for JSAs and SWMS
- induction procedure/booklet/checklist
- subcontractor requirements/responsibilities
- procedure for review of subcontractor SWMS
- sample JSA/SWMS included in subcontractor tender documentation
- pre-start checklist/requirements
- consultation and communication procedure including involvement of subcontractors in development of SWMS

4.5 Does your company involve subcontractors in any OHS inspections and audits?

What is your process for doing this?

What records are kept of this process?

Does this include monitoring the safety of plant, substances, equipment and temporary structures used by subcontractors?

Documentary evidence could include:

- record-keeping procedures
- inspection/audit procedures
- audit/inspection checklist
- responsibility matrix/position description of who is responsible for audits and who is involved
- site inspection/audit records including attendee list
- schedule for inspections/audits including who is to be involved
- procedure for use of plant, substances and equipment
- pre-start checklist
- pre-start requirements
- subcontractor safety notification
- subcontractor management procedures

5.

Whole-of-project OHS performance measurement

This should be addressed by providing information and documentary evidence in response to the five questions listed at 7.5 on the Contractor Application Form.

5.1 What sort of notifiable incidents and non-compliance issues do your subcontractors report to you?

What is the reporting process?

Documentary evidence could include:

- company reporting procedures
- incident/accident reporting procedures
- non-compliance reporting procedures
- subcontractor requirements
- incident management and investigation procedures
- incident/non-compliance report forms
- OHS inspection procedures
- OHS checklist
- position/role description including requirement to report incidents and non-compliance issues
- induction booklet/procedure/checklist requiring subcontractors to report incidents and non-compliance issues
- subcontractor management procedures
- incident register showing reports from subcontractors
- flowchart for incident reporting process

5.2 What are your company's arrangements for addressing non-conformance with procedures, or non-compliance with legislation, within your workplace?

Include details on how your company would undertake any investigation process, and how they would implement any corrective actions and implement appropriate preventative measures?

Documentary evidence could include:

- incident notification and investigation procedure
- procedure for disciplinary action
- examples of notices issued regarding non-conformance
- auditing/investigation procedure (including non-conformance/compliance)
- OHS performance reporting procedure
- consultation and communication procedure including communication of corrective actions and preventative measures
- non-conformance warning system
- corrective actions or action plans raised for non-conformances, including actions taken
- hazard identification procedure
- OHS training procedure
- revised JSA/SWMS or action plan
- incident reporting and review flowchart

5.3 What OHS performance data does your company measure across the life of the project and across all workers involved in the project?

**Does your company include any measures for positive performance indicators?
Explain how your company collects, measures and analyses this information.**

Documentary evidence could include:

- OHS performance monitoring procedure
- OHS performance reporting procedure
- position description/role outlining responsibility for collecting and collating OHS performance data
- examples of period safety reports (including audit reports) including safety statistics and information
- injury analysis reports
- accident/near miss analysis
- monthly project OHS reports
- business unit/region/group OHS report
- OHS performance report for individual subcontractors
- KPI reports
- KPIs including positive performance indicators set in OHS plans/OHSMS

5.4 Who in the company receives the OHS performance reports?

**At what level in the company is this OHS performance information reviewed and assessed?
Explain the details of this process.**

Documentary evidence could include:

- position description/role outlining responsibility for reviewing OHS performance information
- copy of Board/management meeting minutes where OHS information has been reviewed and assessed
- procedure for the review of OHS information and performance reports
- incident/non-conformance reporting procedure
- example of regular OHS performance reports being signed off by management
- leadership commitment programme (including role in reviewing OHS performance)
- records of review of OHS performance reports, including who reviewed them
- documented outcomes from the review of OHS performance reports

5.5 After any incident or accident investigation, what is your whole-of-company process for re-evaluating your company's work practices to prevent any further unsafe practices occurring on other projects or work sites?

Documentary evidence could include:

- procedure for continuous improvement
- incident investigation and management procedure including re-evaluation of work practices
- records of re-evaluation of work practices following incident investigation
- copy of reviewed JSA/SWMS
- safety alert/bulletin notifying of changes to work practices
- toolbox talk records where changes in work process have been communicated
- corrective action register including outcomes and target dates
- incident reports, results and recommendations
- incident reporting and review flowchart

6.

OHS training and competency to deal with safety risks

This should be addressed by providing information and documentary evidence in response to the six questions listed at 7.6 on the Contractor Application Form.

6.1 What are your company processes for providing training, or ensuring competency, in the knowledge of health and safety legislation and OHS management principles and practices, for senior managers, site manager and supervisors?

Outline both the mandatory training as well as any site, induction or hazard-specific training that you provide.

Documentary evidence could include:

- induction procedures/checklist/booklet
- training procedure
- procedure for identifying training needs
- position description/role outlining responsibility for assessing training needs and providing/organising training
- individual performance/competency assessments identifying training needs
- competency/training register
- hazard induction procedure/requirement
- list of mandatory training requirements based on position
- training matrix
- fitness for duty assessment
- subcontractor tender requirements including competency requirements (licences, tickets etc)

6.2 How does your company ensure that all employees and workers undertaking high risk activities which require appropriate certification, licences and permits to work are suitably qualified?

Explain your process.

Documentary evidence could include:

- subcontractor tender requirements including competency requirements (licences, tickets etc)
- list of mandatory training requirements based on job requirements
- competency/training register
- induction procedures/checklist/booklet
- pre-start requirements/checklist
- subcontractor assessment checklist
- procedure for checking licences and permits
- procurement procedure
- individual performance/competency assessments identifying training needs
- risk assessment procedure
- safety inspection record

6.3 Describe the arrangements your company has in place to ensure that any new or unforeseen workforce requirements are assessed to determine the needs for additional OHS training for your workers?

Outline the process for assessing the need for training as well as the procedures for providing the training.

Documentary evidence could include:

- risk assessment procedure
- individual performance/competency assessments identifying training needs
- competency/training register
- procedure for identifying training needs
- procedure for reviewing training and competency
- procedure for the provision of training
- position description/role outlining responsibility for assessing training needs and providing/organising training
- inspection procedures/checklist
- needs analysis process
- toolbox talk records
- hazard identification and control procedure (including need for training)
- risk register
- resource plan

6.4 What arrangements does your company have in place for ensuring that as employees are promoted, or placed in supervisory positions during the course of a project, that they are provided with suitable training to manage their OHS responsibilities?

Documentary evidence could include:

- individual performance/competency assessments identifying training needs
- competency/training register
- list of mandatory training requirements based on position
- training/competency procedure
- role/position description including areas required for competency
- training gap analysis record
- progression training matrix
- promotion requirements (including training needs)

6.5 What procedures has your company established to document and record training provided to your workers?

Documentary evidence could include:

- record keeping procedures
- training/competency register
- training assessment form
- attendance records for training
- training procedure outlining requirement for record keeping
- induction training records
- records of hazard induction, induction into SWMS
- human resources procedure for record keeping

6.6 Does your company evaluate the effectiveness of training programs delivered?

What is the process for doing this?

Documentary evidence could include:

- training evaluation forms (both template or completed evaluation)
- training review and evaluation procedure
- comments forms regarding training
- challenge test
- review of toolbox talks (agenda, attendance, information provided)
- post-training interview records
- deficiency reports
- position description/role outlining responsibility for evaluating effectiveness of training
- Board/management meeting minutes demonstrating review of training provided

Further information

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