***This PART B application is for the consultants in all groups.***

**PRE-QUALIFICATION STATUS**

The details of all groups, categories and levels and their respective eligibility criteria are available on the VicRoads web site - *www.vicroads.vic.gov.au*

Is your organisation currently pre-qualified with VicRoads YES/ NO

**NEW PRE-QUALIFICATION CATEGORIES AND LEVELS**

Please indicate the new category(s) and level(s) you wish to pre-qualify for by listing below.

|  |  |  |
| --- | --- | --- |
| **Group** | **Category** | **Level(s)** |
|  |  |  |
|  |  |  |

**EXPERIENCE & PERSONNEL INFORMATION**

The eligibility criteria for your nominated categories and levels include requirements for:

* Experience in previous works and
* Experienced key personnel

On the forms enclosed you must provide information to satisfy the eligibility criteria for the categories and levels sought: These forms are:

(a) the **SUMMARY OF CURRENT & PREVIOUS WORKS** form which provides for details of experience in previous works. Information should be provided for the last three years. For **three of these projects**, include the name and contact details for a senior company representative of the client who may be contacted as a referee.

(b) the **PERSONNEL EXPERIENCE SUMMARY** form which provides for details of the experience of personnel , their qualifications and areas of specialisation.

MANAGEMENT SYSTEMS

All consultants seeking pre-qualification should have an operational Quality Management System and may require an OH&S Management System (refer to the eligibility criteria for Management System requirements.)

Refer to the Management System Guidelines and Checklists included as attachments to Part B

*For new applicants, appropriate supporting documentation, as required by the eligibility criteria, in the format of, certificates, declarations and checklists must be submitted with the application.*

|  |  |  |
| --- | --- | --- |
| **SYSTEM:**  | **Quality** | **OH&S** |
| **System Standard Adopted** | AS/NZS ISO 9001:2000 🞐AS/NZS ISO 9001:2008 🞐List any exclusions by Clause No:……………………………………..  | Safety Map Level 1 🞐AS/NZS 4801:2001 🞐VR Checklist 🞐 |
| **Approval****Type OR****Status***(tick one only)* | 3rd Party Certification 🞐Audited to VR Checklist 🞐Operational System 🞐Other (details required) 🞐 | 3rd Party Certification 🞐Audited to VR Checklist 🞐Operational System 🞐Other (details required) 🞐 |
| **Name of****Approval Organisation** |  |  |
| **Approval Date** |  |  |
| **Expiry** **Date** |  |  |
| **Registration File No.** |  |  |

Other applicable comments on the management systems (including any non-compliance to the above requirements):

………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………

**SUMMARY OF CURRENT & PREVIOUS WORKS** *(Note multiple copies of this page may be submitted for applicable projects/contracts.)*

|  |  |  |  |
| --- | --- | --- | --- |
| **DATES**Start:Completion: | **NAMES**Client:Representative: | **VALUE**Original Sum:Final Sum: | **WORK DETAILS**Project Description and Location:Client Contact Information - phone numbers (required for 3 projects) |
|  |  |  |  |

**PERSONNEL EXPERIENCE SUMMARY**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Professional/Technical Qualification** | **Present Position &****Area of Expertise** | **Experience**(Indicate type of work. Give location and brief description of Project.State position held and duration thereof.) |
|  |  |  |  |

**VICROADS DECLARATION FORM**

**FOR AUDITOR CONDUCTING MANAGEMENT SYSTEM REVIEWS**

|  |  |
| --- | --- |
| **Company Name** being audited:  |  |
| **Trading Name** (if applicable):  |  |
| **ACN No**. of company being audited:  |  |

|  |  |
| --- | --- |
| Name of Audit Company: |  |
| Name of Auditor: |  |
| Auditor’s qualifications and date qualified: |  |
| Body certifying Auditor’s qualifications: |  |

**VicRoads Checklists** (insert Version No: – refer VicRoads website Part B applications for latest versions)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Quality | Version No: | OH&S | Version No: | EMS | Version No: |

**DECLARATION:**

I have reviewed the company’s systems against the relevant VicRoads checklists above and certify that the systems satisfy the requirements of the checklists.

|  |  |  |
| --- | --- | --- |
| **System** | **Company Document No. & Revision No.** | **Complies** |
| Quality: |  | Yes/No |
| OH&S: |  | Yes/No |
| EMS: |  | Yes/No |

Signature: Date: ………………………………

**Comments:**

…………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………........

**MANAGEMENT SYSTEM GUIDELINES**

1. **Management Systems - General**

All consultants wishing to pre-qualify will be required to have a Quality Management System. Consultants wishing to pre-qualify for formal tenders (greater than $100,000) must have an established Quality Management System that meets VicRoads requirements (verification to VicRoads checklist or 3rd party certification).

Consultant will also be required to have management systems that meet all the eligibility criteria for the levels nominated for pre-qualification. This may require 3rd party certification of the Quality Management Systems and/or an approved OH&S Management System.

Applications not accompanied by the required information and/or certifications required by the eligibility criteria will not be considered.

Consultants seeking **renewal or an upgrading** of their pre-qualification level are to submit a copy of the most recent internal or external system audit report of the Company's Quality and/or OH&S Management Systems conducted by a qualified auditor in accordance with ISO 19011 "Guidelines for quality and/or environmental management system auditing". The audit should be of a depth sufficient to provide evidence of the operation of the Company's management systems as they apply to VicRoads work.

**Prior to submission** to VicRoads of an **initial** application for pre-qualification, consultants may be required by the eligibility criteria to have their required Management System(s) reviewed and approved by one of the following methods:

* Third Party Certification - (3rd Part Cert.)
* Audited against the VicRoads checklist by a Certified auditor - (VR Checklist)

*(refer to the "Declaration by Auditor Conducting Management System Reviews" form and VR Management System Checklists for Quality and OH&S)*

**1.1 Third Party Certification**

 Third party certification by an accreditation body of the respective Quality and OH&S Management Systems will be accepted as verification to VicRoads eligibility criteria requirements where it has been obtained to the following standards:

(i) Quality Management System

* AS/NZS ISO 9001: 2008
1. OH&S Management System
* SafetyMAP Level 1 or greater
* AS 4801 2001: OHS - Management Systems

 Proof of such certification must be submitted with the application.

**1.2 VicRoads Checklists (Quality Management, OH&S)**

 Where the eligibility criteria requires "approved as meeting VicRoads requirements" as the minimum requirement, Consultants whose Management Systems are not certified as per 1.1 must supply evidence to demonstrate their commitment to and implementation of the required management systems as follows.

 **Prior to submission** to VicRoads of an **initial** application for pre-qualification consultants are required to submit their Quality Management System and if required their OH&S system to a suitably qualified auditor**\*** for review against the VicRoads documents for the management system as follows:

1. Quality

VicRoads Pre-qualification Scheme - Quality Management System Checklist - AS/NZS ISO 9001:2000

1. OH&S

VicRoads Pre-qualification Scheme - OH&S System Checklist

 Consultants are required to obtain written certification from suitably qualified auditor/s**\*** that their management systems satisfy VicRoads requirements and submit such details of certification with the application for pre-qualification. (See the attached Auditor Declaration Form)

 **Consultants are responsible for the cost of these reviews.**

 **\* Suitably qualified auditors are deemed by VicRoads to be the appropriate management system auditor as follows:**

 • JASANZ accredited 3rd Party Certification Company, employing QSA registered auditors experienced in the Civil Construction industry.

 OR

 • QSA registered auditors, experienced in the Civil Construction industry.

 (QSA internet site: [www.qsanet.com](http://www.qsanet.com/).)

 OR for OH&S

 • Certified Safety Auditor Pty Ltd (CSA) as a certified Safety Auditor (External).

**1.3** **Operational - Quality Management System , OH&S System**

Where the eligibility criteria only requires that a Quality Management System and/or OH&S management system is **operational**, it should be based on a relevant standard as listed in 1.1 and should be able to satisfy the requirements of the relevant VicRoads Checklist where applicable.

A statement should be provided with the application confirming the details of the system and the consultant's commitment to the management system.

QUALITY MANAGEMENT SYSTEM CHECKLIST - ISO 9001:2008

(STATUS A = Acceptable; N = Not Acceptable; N/A = Not Applicable)

| **Item****No.** | **ISO****Ref** | **Standard Requirements** | **Status**A,N,N/A | **Comments** |
| --- | --- | --- | --- | --- |
|  | **4** | **Quality Management System (QMS)** |  |  |
|  | 4.2.1 & 5.1& 5.3& 5.4 | Does the QMS documentation include:* documented statements of quality policy and objectives promulgated by management that are consistent and measurable and provide commitment to continual improvement.
* a quality manual
* required documented procedures (refer below)
* documents, including records, to ensure planning, operation and control of processes and the sequence and interaction of these processes
* required records.

  |  |  |
|  | 4.2.2 | Does the **Quality Manual** include:* the scope of the QMS and exclusions
* the documented procedures or references to them
* a description of the interaction between the processes.
 |  |  |
|  | 4.2.3 | Is there a procedure for the **Control of Documents** that defines: * the approval, review and update of documents
* the identification of the revision status and format of changes to documents
* the identification and use of obsolete documents
* the identification and control of necessary external documents
* how the latest version of the documents are available on site (if applicable).
 |  |  |
|  | 4.2.4 | Is there a procedure for the **Control of Records** that covers the identification, storage, protection, retrieval, retention time and disposition.Are records readily identifiable and retrievable. |  |  |
|  | **5** | **Management Responsibility** |  |  |
|  | 5.5 | **Responsibility, authority and communication**Has management ensured that Responsibility and Authority are defined and communicated within the organization.Has a member of the organizations management been appointed with the responsibility and authority to manage the QMS.Are appropriate communication processes established within the organization. |  |  |
|  | 5.6 | **Management Review**Has management planned the reviewof the QMS including assessing opportunities for improvement using all available inputs. Are records of the reviews maintained/actioned? |  |  |
|  | **6** | **Resource management** |  |  |
|  |  | **Provision of Resources**Are resources provided to implement, maintain and improve the QMS and to meet customer requirements. |  |  |
|  | 6.2 | **Human Resources**Are personnel with the necessary competence performing work affecting the conformity of the product.Is training provided to meet required competenciesAre personnel aware of the relevance and importance of their activities and their contribution to the quality objectives.Are appropriate records maintained. |  |  |
|  | 6.4 | **Work Environment**Does the organization manage the conditions under which work is performed that is needed to achieve conformity to product requirements. |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **7** | **Product realization** |  |  |
|  | 7.1 | **Planning & product realization**Is a quality plan prepared for a specific project/contract detailing the processes and documents, including as appropriate, the verification, validation, monitoring, measurement, inspection and test activities and the criteria for product acceptance. Are appropriate records maintained. |  |  |
|  | 7.2 | **Customer related Processes**Does the organization determine and review requirements related to the product (including maintenance) prior to tendering.Are records and actions from the review maintained.Are documents amended and relevant personnel notified when changes are made to the product.Are there affective arrangements for dealing with customer complaints. |  |  |
|  | 7.37.3.1 | **Design and Development** Does the organization plan and control the development of a product by determining:* the stages
* the appropriate review, verification and validation
* the responsibilities and authorities.
 |  |  |
|  | 7.3.2 | Are design and development inputs determined and records maintained for* the functional and performance requirements
* applicable statutory and regulatory requirements.
 |  |  |
|  | 7.3.3 | Are design and development outputs approved and do they:* meet the input requirements
* contain or reference acceptance criteria
 |  |  |
|  | 7.3.4 | Are systematic review of design and development performed at suitable stages to:* evaluate the ability of the results to meet requirements
* identify any problems and propose necessary actions.
 |  |  |
|  | 7.3.57.3.6 | Are planned verification and/or validation requirements performed and are outcomes and necessary actions recorded.  |  |  |
|  | 7.3.7 | Are design and development changes identified, reviewed verified, validated as appropriate and approved. Are records maintained of the changes, review of the changes and necessary actions. |  |  |
|  | 7.47.4.1 | **Purchasing**Does the organization ensure that a purchased product confirms to specified requirements. Is the type and extent of control of the supplier dependant on the effect of the purchased product on the final product.Does the organization evaluate and select suppliers on their ability to meet the organization's selection criteria. Are results and actions of evaluations recorded. |  |  |
|  | 7.4.2 | Does the purchase information define the specified requirements  |  |  |
|  | 7.4.3 | Does the organization establish and implement the inspection of other activities to ensure product verification. |  |  |
|  | 7.57.5.1 | **Production and Service Provision**Has the organization controlled processes for planing and production that include, as applicable:* the specifications of the product
* the availability of work instructions, as necessary
* the use of suitable equipment
* the availability and use of monitoring and measuring devices
* the implementation of monitoring and measuring and
* the release of hold points.
 |  |  |
|  | 7.5.2 | Are processes validated where the resulting output cannot be verified by subsequent monitoring or measurement. |  |  |
|  | 7.5.3 | Is the product identified where appropriate.Is the product status identifiable with respect to monitoring and measuring requirements. |  |  |
|  | 7.6 | **Control of Monitoring and Measuring Equipment**Where necessary, is measurement equipment identifiable and calibrated to appropriate standards and at nominated intervals and are calibration records maintained. |  |  |
|  | **8** | **Measurement, analysis and improvement** |  |  |
|  | 8.1 | **General**Does the organization plan and implement the monitoring, measurement , analysis and improvement processes needed to:* demonstrate conformity of product
* ensure conformity of the QMS
* continually improve the effectiveness of the QMS.

  |  |  |
|  | 8.2 | **Monitoring and measurement** |  |  |
|  | 8.2.1 | Customer satisfactionAre methods determined for the monitoring of Contractor Performance Reports |  |  |
|  | 8.2.2 | Internal Audits.Is there a planned audit program covering and including processes relative to their status and importance.  |  |  |
|  | 8.2.2(cont.) | Is there a documented procedure defining the responsibilities and requirements for planning and conducting audits, and for reporting results and maintaining records. |  |  |
|  | 8.2.2(cont.) | Are the actions to eliminate detected nonconformities followed up and verified. |  |  |
|  | 8.2.4 | Is there evidence of specification criteria in ITP's and the authorisation for release of the product (including Hold Points if appropriate)  |  |  |
|  | 8.3 | **Control of nonconforming product**Is there a documented procedure defining the controls and related responsibilities and authorities for dealing with a nonconforming product. |  |  |
|  | 8.3 | Are there records of nonconformities, actions taken, including concessions obtained.  |  |  |
|  | 8.4 | **Analysis of data**Are records available from processes to verify conformity to product requirements. |  |  |
|  | 8.58.5.1 | **Improvement**Does the organization continually improve the effectiveness of the QMS through the use of quality policy, quality objectives, audit results, corrective and preventative actions and management reviews. |  |  |
|  | 8.5.28.5.3 | Is there a procedure to manage nonconformities and potential nonconformities.  |  |  |
|  | **NOTE:** | Any ambiguity in this checklist shall be referred to the International standard for resolution. |  |  |

**OH&S MANAGEMENT SYSTEM CHECKLIST - AS 4801:2001**

**(STATUS A = Acceptable; N = Not Acceptable; N/A = Not Applicable)**

| **Item****No.** | **ISO****Ref** | **Standard Requirements** | **Status****A,N,N/A** | **Comments** |
| --- | --- | --- | --- | --- |
|  | 4.1 General Requirements | Has the organisation an established and maintained OHSMS |  |  |
|  | **4.2** | **OHS policy** |  |  |
| 1. 2
 | 4.2  | Is there an OH&S policy authorised by the organisation’s top management that clearly states overall OHS objectives and demonstrates a commitment to improving OHS performance. |  |  |
| 1. 3
 | 4.2 (a) | Is the policy appropriate to the nature and scale of the organisation’s OHS risks |  |  |
| 1. 2
 | 4.2 (b) | Does the policy shall include the commitment to establish measurable objectives and targets to ensure continued improvement aimed at elimination of work‑related injury and illness |  |  |
| 1. 3
 | 4.2 (c) | Does the policy include a commitment to comply with relevant OHS legislation and with other requirements placed upon the organisation or to which the organisation subscribes |  |  |
| 1. 2
 | 4.2 (d) | Is the policy documented, implemented, maintained and communicated to all employees |  |  |
| 1. 2
 | 4.2 (e) | Is the policy available to interested parties |  |  |
| 1. 3
 | 4.2 (f) | Is the policy reviewed periodically to ensure it remains relevant and appropriate to the organisation. |  |  |
|  | **4.3**  | **Planning** |  |  |
| 1. 2
 | 4.3.1  | **Planning Identification of hazards, assessment and control of risks**Has the organisation established, implemented and maintained documented procedures to identify the OHS hazards/risks and access and control the associated hazard/risks of activities, products and services over which an organisation has control or influence, including activities, products or services of sub-contractors and suppliers. |  |  |
| 1. 3
 | 4.3.1 (cont.) | Has the organisation developed its methodology for hazard identification, hazard/risk assessment and control of hazards/risks, based on its operational experience and its commitment to eliminate workplace illness and injury. Is the methodology kept up‑to‑date. |  |  |
| 1. 2
 | 4.3.2  | **Legal Requirements** Has the organisation established, implemented and maintained procedures to identify and have access to all legal and other requirements that are directly applicable to the OHS issues related to its activities, products or services, including relevant relationships with contractors or suppliers. |  |  |
| 1. 3
 | 4.3.2 (cont.) | Does the organisation keep this information up‑to‑date. Is relevant information on legal and other requirements communicated to employees. |  |  |
| 1. 2
 | 4.3.3  | **Objectives & Targets**Has the organisation established, implemented and maintained documented OHS objectives and targets, at each relevant function and level within the organisation.Are the organisations objectives and targets consistent with the OHS policy, including the commitment to measuring and improving OHS performance. |  |  |
| 1. 2
 | 4.3.4  | **OHS Management Plans**Has the organisation established and maintained management plans for achieving its objectives and targets. Do they include:a) designation of responsibility for achievement of objectives and targets at relevant functions and levels of the organisation; andb) outlining the means and timeframe by which objectives and targets are to be achieved. |  |  |
| 1. 3
 | 4.3.4 (cont.) | Are procedures established to ensure that current plans are reviewed, and if necessary amended to address such changes at regular and planned intervals, and whenever there are changes to the activities, products, or services of the organisation or significant changes in operating conditions. |  |  |
|  | **4.4.** | **Implementation** |  |  |
|  | **4.4.1** | **Structure and responsibility** |  |  |
| 1. 2
 | 4.4.1.1  | **Resources**Has management identified and provided the resources required to implement, maintain, and improve the OHSMS. Do resources include human resources and specialised skills, technology and financial resources. |  |  |
| 1. 3
 | 4.4.1.2  | **Responsibility & Accountability** Does the organisation define, document and communicate the areas of accountability and responsibility (including those imposed by OHS legislation) of all personnel involved in the OHSMS's operation.Where sub-contractors are involved, are these areas of accountability and responsibility clarified with respect to those sub-contractors.Has the organisation’s top management appointed a specific management representative(s) who, irrespective of other responsibilities, has defined roles, responsibilities and authority for:a) ensuring that OHSMS requirements are established, implemented and maintained in accordance with this Standard; andb) reporting on the performance of the OHSMS to top management for review and as a basis for improvement of the OHSMS. |  |  |
|  | **4.4.2** | **Training and competency** |  |  |
| 1. 2
 | 4.4.2  | Has the organisation in consultation with employees identified training needs in relation to performing work activities competently, including OHS training.Are procedures in place to ensure that OHS competencies are developed and maintained. Are personnel assessed as competent, on the basis of skills achieved through education, training or experience, to perform assigned tasks taking into account the OHS obligations, hazards and risks associated with the work activities. |  |  |
| 1. 2
 | 4.4.2 (cont) | Have procedures been developed for providing OHS training. Do these procedures take into account:a) the characteristics and composition of the workforce which impact on occupational health and safety management; andb) responsibilities, hazards and risks. |  |  |
| 1. 3
 | 4.4.2 (cont) | Does the organisation ensure that all personnel (including sub-contractors and visitors) have undertaken training appropriate to the identified needs. |  |  |
| 1. 2
 | 4.4.2 (cont) | Is the training carried out by persons with appropriate knowledge, skills and experience in OHS and training. |  |  |
|  | **4.4.3** | **Consultation, communication and reporting** |  |  |
| 1. 3
 | 4.4.3.1  | **Consultation** Are employees involved in the development, implementation and review of policies and procedures hazard identification, hazard/risk assessment and control of hazards/risks |  |  |
| 1. 2
 | 4.4.3.1 (cont.) | Are employees consulted where there are any changes that affect workplace OHS |  |  |
| 1. 3
 | 4.4.3.1 (cont.) | Do employees select those who will represent them on OHS matters |  |  |
| 1. 2
 | 4.4.3.1 (cont.) | Are employees informed as to who is/are their employee OHS representative(s) and specified management representative(s). |  |  |
| 1. 3
 | 4.4.3.1 (cont.) | Are there documented procedures, agreed to by employees, for employee involvement and consultation in OHS issues. Is information regarding the arrangements made available to interested parties. |  |  |
|  | 4.4.3.1 (cont.) | Do those representing the employees and employer receive appropriate training to undertake effectively their involvement in the development, implementation and review of OHS arrangements. |  |  |
| 1. 2
 | 4.4.3.2  | **Communication** Does the organisation have procedures for ensuring that pertinent OHS information is communicated to and from employees and other interested parties. |  |  |
| 1. 2
 | 4.4.3.3  | **Reporting** Are appropriate procedures for relevant and timely reporting of information established to ensure the OHSMS is monitored and performance improved.  |  |  |
| 1. 3
 | 4.4.3.3 (cont.) | Do reporting procedure cover the following:- OHS performance reporting (including results of OHS audits and reviews). - Reporting of incidents and system failures.- Reporting on hazard identifications. - Reporting on hazard/risk assessment. - Reporting on preventive and corrective action. - Statutory reporting requirements. |  |  |
|  | **4.4.4** | **Documentation** |  |  |
| 1. 2
 | 4.4.4  | Does the organisation establish, implement and maintain information, in a suitable medium such as in print or electronic form, to a) describe the core elements of the management system and their interaction; andb) provide direction to related documentation. |  |  |
|  | **4.4.5**  | **Document & Data Control** |  |  |
| 1. 3
 | 4.4.5  | Has the organisation established, implemented and maintained procedures for controlling all relevant documents and data required by this Standard. |  |  |
| 1. 2
 | 4.4.5 (cont.) | a) Can documents and data readily located. |  |  |
| 1. 3
 | 4.4.5 (cont.) | b) Are documents and data periodically reviewed, revised as necessary and approved for adequacy by competent and responsible personnel. |  |  |
| 1. 2
 | 4.4.5 (cont.) | c) Are current versions of documents and data available at all locations where operations essential to the effective functioning of the OHSMS are performed. |  |  |
| 1. 3
 | 4.4.5 (cont.) | d) Are obsolete documents and data promptly removed from all points of issue and points of use or otherwise assured against unintended use. |  |  |
| 1. 2
 | 4.4.5 (cont.) | e) Are archival documents and data retained for legal or knowledge preservation purposes or both, suitably identified. |  |  |
| 1. 3
 | 4.4.5 (cont.) | Have procedures and responsibilities been established and maintained concerning the creation and modification of the various types of documents and `data and does this preclude the use of obsolete documents. |  |  |
|  | **4.4.6** | **Hazard identification, risk assessment and control of risks** |  |  |
| 1. 2
 | 4.4.6.1  | **General**Has the organisation established, implemented and maintained documented procedures to ensure that:a) hazards are identified;b) hazards/risks are assessed;c) hazards/risks are controlled; and then d) steps (a) to (c) are evaluated. |  |  |
| 1. 3
 | 4.4.6.2  | **Hazard Identification**Does the identification of hazards in the workplace shall take into account:a) the situation or events or combination of circumstances that has the potential to give rise to injury or illness;b) the nature of potential injury or illness relevant to the activity, product or service; andc) past injuries, incidents and illnesses. |  |  |
| 1. 2
 | 4.4.6.2(cont.) | Does this identification process also include consideration of:i) the way work is organised, managed, carried out and any changes that occur in this;ii) the design of workplaces, work processes, materials, plant and equipment;iii) the fabrication, installation and commissioning and handling and disposal (of materials, workplaces, plant and equipment);iv) the purchasing of goods and services;v) the contracting and subcontracting of plant, equipment, services and labour, including contract specification and responsibilities to and by contractors; andvi) the inspection, maintenance, testing, repair and replacement (of plant and equipment). |  |  |
| 1. 3
 | 4.4.6.3  | **Risk assessment**Are all risks associated with each identified hazard assessed and have risk control priorities been assigned, based on the established level of risk. |  |  |
| 1. 2
 | 4.4.6.4 Risk Control | **Risk Control** Are all risks, identified through the assessment process as requiring control, controlled through a preferred order of control methods (commonly referred to as a hierarchy), based on reasonable practicability. Is elimination the first control method to be considered. |  |  |
| 1. 3
 | 4.4.6.5 Evaluation | **Evaluation**Are the hazard identification, hazard/risk assessment and control processes of hazards/risk subjected to a documented evaluation of effectiveness and modified as necessary. |  |  |
|  | **4.4.7** | **Emergency preparedness and response** |  |  |
| 1. 2
 | 4.4.7  | Are all potential emergency situations identified and emergency procedures documented for preventing and mitigating the associated illness and injury.Has the organisation periodically tested such procedures. |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **4.5**  | **Measurement and evaluation** |  |  |
|  | **4.5.1** | **Monitoring and measurement** |  |  |
| 1. 3
 | 4.5.1.1  | **General**Has the organisation established, implemented and maintained documented procedures to monitor and measure on a regular basis the key characteristics of its operations and activities that can cause illness and injury. Is the effectiveness of these measuresevaluated. |  |  |
|  | 4.5.1.1 (cont.) | Is appropriate equipment for monitoring and measurement related to health and safety risks identified, calibrated, maintained and stored as necessary. Are records of this process retained according to the organisation’s procedures. |  |  |
|  | 4.5.1.1 (cont.) | With regard to the **OHSMS**, has the organisation established, implemented and maintained procedures to monitor:a) performance, effectiveness of relevant operational controls and conformance with the organisation’s objectives and targets; andb) compliance with relevant OHS legislation. |  |  |
| 1. 2
 | 4.5.1.2  | **Health Surveillance**Has the organisation identified those situations where employee health surveillance is required and implemented propriate systems. Do employees have access to their own individual results.Where specified by legislation, is the health of employees exposed to specific hazards monitored and recorded. |  |  |
|  | **4.5.2** | **Incident investigation, corrective and preventative action** |  |  |
| 1. 3
 | 4.5.2  | Has the organisation established, implemented and maintained procedures for:a) investigating, responding to, and taking action to minimise any harm caused from, incidents;b) investigating and responding to system failures; andc) initiating and completing appropriate corrective and preventive action.Has the organisation implemented and recorded any changes in the OHSMS procedures resulting from incident investigations and corrective and preventive action. |  |  |
|  | **4.5.3** | **Records and records management** |  |  |
| 1. 2
 | 4.5.3  | Has the organisation established, implemented and maintained procedures for the identification, maintenance and disposition of OHS records, as well as the results of audits and reviews.Are OHS records legible, identifiable and traceable to the activity, product or service involved. Are OHS records stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Are their retention times established and recorded. |  |  |
|  | **4.5.4** | **OHMS audit** |  |  |
| 1. 3
 | 4.5.4.  | Has the organisation shall established, implemented and maintained an audit program and procedures for periodic OHSMS audits to be carried out by a competent person, in order to:a) determine whether the OHSMS:i) conforms to planned arrangements for OHS management including the requirements of the current version of AS/NZS 4801;ii) has been properly implemented and maintained; andiii) is effective in meeting the organisation’s policy as well as objectives and targets for continual OHS improvement; andb) provide information on the results of audits to management and employees.Is the audit program, including any schedule, based on the OHS importance of the activity concerned, and the results of previous audits. Do the audit procedures cover the scope, frequency, methodologies and competencies, as well as the responsibilities and requirements for conducting audits and reporting results. |  |  |
|  | **4.6** | **Management review** |  |  |
| 1. 2
 | 4.6  | Has the organisation’s top management, at intervals that it determines, reviewed the OHSMS, to ensure its continuing suitability, adequacy and effectiveness. Does the management review process ensure that the necessary information is collected to allow management to carry out this evaluation and is this review documented.Has management reviewed the continued relevance of, and changed where appropriate, policy, objectives, responsibilities and other elements of the OHSMS, in the light of OHSMS audit results, changing circumstances and the commitment to continual improvement. |  |  |
| 1. 3
 |  |  |  |  |