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Occupational health and safety management system (OHSMS) – Internal audit report

Auditor details

Auditor name		Accreditation #	
Phone		Email	
Signature		Date	

Audit procedure

This audit was conducted in accordance with the procedures outlined in *Guidelines for accredited auditors (construction)*. The criteria used to assess the OHSMS are documented throughout the contents of this report.

Record of audit

This report contains a summary of the audit findings. Details of documentation reviewed, people interviewed and other observations are recorded in the auditor's notes and on the checklist on the following pages.

Audit findings

The key findings are summarised in the table below.

Element	Finding
OHS policy	<input type="checkbox"/>
Planning	<input type="checkbox"/>
Implementation	<input type="checkbox"/>
Measurement and evaluation	<input type="checkbox"/>
Management review	<input type="checkbox"/>

OHSMS audit checklist

OHS policy

Rating	Considerations	Comments
<input type="checkbox"/>	Authorised by top management.	
<input type="checkbox"/>	Clearly states overall OHS objectives.	
<input type="checkbox"/>	Appropriate to nature and scale of organisation's risks.	
<input type="checkbox"/>	Commitment includes establishing measurable objectives and targets to ensure continued improvement aimed at eliminating work related injury and illness.	
<input type="checkbox"/>	Commitment includes complying with relevant OHS legislation and other requirements placed on the organisation or to which the organisation subscribes.	
<input type="checkbox"/>	Documented, implemented, maintained and communicated to all employees.	
<input type="checkbox"/>	Available to all interested parties.	
<input type="checkbox"/>	Periodically reviewed to ensure it remains relevant and appropriate to the organisation.	

Planning

Rating	Considerations	Comments
<input type="checkbox"/>	Procedures established, implemented, documented and maintained for hazard identification, hazard/risk assessment and control of hazards/risks	

	of activities, products and services over which the organisation has control or influence.	
<input type="checkbox"/>	Methodology for hazard identification, hazard/risk assessment and control of hazards/risks, based on operational experience and commitment to eliminate workplace illness and injury.	
<input type="checkbox"/>	Methodology up to date.	
<input type="checkbox"/>	Procedures established, implemented and maintained to identify and provide 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.	
<input type="checkbox"/>	Information up to date.	
<input type="checkbox"/>	Communicate relevant information on legal and other requirements to employees.	
<input type="checkbox"/>	Documented OHS objectives and targets established, implemented and maintained at each relevant function and level within the organisation.	
<input type="checkbox"/>	In establishing and reviewing OHS objectives, hazards and risks, technological options, operational and business requirements and views of interested parties are considered.	
<input type="checkbox"/>	OHS objectives and targets are consistent with WHS policy, including commitment to measuring and improving OHS performance.	
<input type="checkbox"/>	Management plans established and maintained for achieving objectives and targets.	
<input type="checkbox"/>	Responsibility designated for achieving objectives and targets at relevant functions and levels of the organisation.	
<input type="checkbox"/>	Means and timeframes by which objectives and targets are to be achieved outlined.	

Viking Integrated Management System:	DOC_V_FOR_010_REV0 – Internal Audit Form		
Published Date: 18/09/2023	Rev: 0	Date Reviewed: 18/09/2023	Page 2 of 10

<input type="checkbox"/>	Procedures established to ensure that current plans are reviewed and amended to address changes at regular and planned intervals and whenever changes to activities, procedures or services of the organisation or significant changes in operating conditions occur.	
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Implementation

Rating	Considerations	Comments
<input type="checkbox"/>	Management have identified and provided resources (human resources, specialised skills, technology, finances) required to implement, maintain and improve the OHSMS.	
<input type="checkbox"/>	Areas of accountability and responsibility of all personnel involved in the operation of the OHSMS are defined, documented and communicated.	
<input type="checkbox"/>	Areas of accountability and responsibility clarified for contractors.	
<input type="checkbox"/>	A specific management representative is appointed, with defined roles, responsibilities and authority for establishing, implementing and maintaining OHSMS requirements and reporting on OHSMS performance to top management for review and improvement.	
<input type="checkbox"/>	In consultation with employees, training needs have been identified relating to performing work activities competently, including OHS training.	
<input type="checkbox"/>	Procedures are in place to ensure that OHS competencies are developed and maintained.	
<input type="checkbox"/>	Procedures for OHS training are reflective of the characteristics and composition of workforce, which impacts on OHS management and responsibilities, hazards and risks.	

<input type="checkbox"/>	All personnel (including contractors and visitors) have undertaken training appropriate to identified needs.	
<input type="checkbox"/>	Training is delivered by people with appropriate knowledge, skills and experience in OHS and training.	
<input type="checkbox"/>	Documented procedures have been agreed to by employees for employee involvement and consultation in OHS issues.	
<input type="checkbox"/>	Information about consultative arrangements is made available to interested parties.	
<input type="checkbox"/>	Employees involved in developing, implementing and reviewing policies and procedures for hazard identification, hazard/risk assessment and control of hazards/risks.	
<input type="checkbox"/>	Employees consulted when changes affect workplace OHS.	
<input type="checkbox"/>	Employee and employer representatives received appropriate training to be effectively involved in developing, implementing and reviewing OHS arrangements.	
<input type="checkbox"/>	Procedures developed to ensure that pertinent WHS information is communicated to and from employees and other interested parties.	
<input type="checkbox"/>	Appropriate procedures established for relevant and timely reporting of information to ensure monitoring and performance improvements to OHSMS.	
<input type="checkbox"/>	Reporting procedures include OHS performance reporting (including results of OHS audits and reviews).	
<input type="checkbox"/>	Reporting procedures include incidents and system failures.	
<input type="checkbox"/>	Reporting procedures include hazard identification.	
<input type="checkbox"/>	Reporting procedures include hazard/risk assessment.	
<input type="checkbox"/>	Reporting procedures include preventive and corrective action.	

Viking Integrated Management System:		DOC_V_FOR_010_REV0 – Internal Audit Form	
Published Date: 18/09/2023	Rev: 0	Date Reviewed: 18/09/2023	Page 4 of 10

<input type="checkbox"/>	Reporting procedures include statutory reporting requirements.	
<input type="checkbox"/>	Information is established, implemented and maintained in a suitable medium (i.e. print or electronic) to describe the core elements of the management system and their interaction and provide direction to related documentation.	
<input type="checkbox"/>	Procedures established, implemented and maintained for controlling relevant documents and data required to be stored.	
<input type="checkbox"/>	Document control procedures ensure that documents can be readily located	
<input type="checkbox"/>	Document control procedures ensure that documents are periodically reviewed, revised as necessary and approved for adequacy by competent and responsible personnel.	
<input type="checkbox"/>	Document control procedures ensure that current versions of relevant documents and data are available at all locations where operations essential to effective functioning of OHSMS are performed.	
<input type="checkbox"/>	Document control procedures ensure that obsolete documents and data are promptly removed from all points of issue and points of use or otherwise assured against unintended use.	
<input type="checkbox"/>	Document control procedures ensure that archival documents and data retained for legal or knowledge preservation purposes or both are suitably identified.	
<input type="checkbox"/>	Documentation and data are legible, dated (with dates of revision) and readily identifiable and maintained in an orderly manner for a specified period.	

<input type="checkbox"/>	Procedures and responsibilities are established and maintained concerning the creation and modification of the various types of documents and data.	
<input type="checkbox"/>	Organisation precludes the use of obsolete documents.	
<input type="checkbox"/>	A documented risk management process is established, implemented and maintained.	
<input type="checkbox"/>	Hazard identification considers situation or events or combination of circumstances that has potential to give rise to injury or illness.	
<input type="checkbox"/>	Hazard identification considers the nature of potential injury or illness relevant to the activity, product or service.	
<input type="checkbox"/>	Hazard identification considers past injuries, incidents and illnesses.	
<input type="checkbox"/>	The hazard identification process considers the way work is organised, managed and undertaken, and any changes that occur within these dimensions.	
<input type="checkbox"/>	The hazard identification process considers the design of workplaces, work processes, materials, plant and equipment.	
<input type="checkbox"/>	The hazard identification process considers workplaces, plant, equipment, and the fabrication, installation, commissioning, handling and disposal of materials.	
<input type="checkbox"/>	The hazard identification process considers the purchasing of goods and services.	
<input type="checkbox"/>	The hazard identification process considers the contracting and subcontracting of plant, equipment, services and labour, including contract specification and responsibilities to and by contractors.	
<input type="checkbox"/>	The hazard identification process considers the inspection, maintenance, testing, repair and replacement of plant and equipment.	

Viking Integrated Management System:	DOC_V_FOR_010_REV0 – Internal Audit Form		
Published Date: 18/09/2023	Rev: 0	Date Reviewed: 18/09/2023	Page 6 of 10

<input type="checkbox"/>	For hazard/risk assessments, control priorities are assigned and based on established risk levels.	
<input type="checkbox"/>	Hazards/risks identified through risk assessment, are controlled through the hierarchy of controls.	
<input type="checkbox"/>	The process of hazard identification, hazard/risk assessment and the control of hazards/risks is subjected to documented evaluation of effectiveness and modified as necessary.	
<input type="checkbox"/>	All potential emergency situations are identified and emergency procedures documented for preventing and mitigating associated illness and injury.	
<input type="checkbox"/>	Emergency preparedness and response procedures are reviewed and revised where necessary, especially after the occurrence of incidents or emergency situations.	
<input type="checkbox"/>	Emergency preparedness and response procedures are periodically tested.	

Measurement and evaluation

Rating	Considerations	Comments
<input type="checkbox"/>	Documented procedures are established, implemented and maintained to regularly monitor and measure the key characteristics of operations and activities that can cause illness and injury.	
<input type="checkbox"/>	The effectiveness of monitoring and measurement methods is evaluated.	
<input type="checkbox"/>	Appropriate equipment for monitoring and measuring OHS risks is identified, calibrated, maintained and stored as necessary and records retained in accordance with procedures.	

<input type="checkbox"/>	Procedures are established, implemented and maintained to monitor the performance and effectiveness of relevant operational controls and conformance with organisational objectives and targets.	
<input type="checkbox"/>	Procedures are established, implemented and maintained to monitor compliance with relevant OHS legislation.	
<input type="checkbox"/>	Situations where employee health surveillance is required are identified, and appropriate systems are implemented.	
<input type="checkbox"/>	Employees have access to individual health surveillance results.	
<input type="checkbox"/>	Where required by legislation, the health of employees exposed to specific hazards is monitored and recorded.	
<input type="checkbox"/>	Procedures are established, implemented and maintained for investigating, responding to and taking action to minimise any harm caused by incidents.	
<input type="checkbox"/>	Procedures are established, implemented and maintained for investigating and responding to system failures.	
<input type="checkbox"/>	Procedures are established, implemented and maintained for initiating and completing appropriate corrective and preventive action.	
<input type="checkbox"/>	Changes in OHSMS procedures resulting from incident investigations, and corrective and preventive action implemented, are recorded.	
<input type="checkbox"/>	Procedures are established, implemented and maintained for identifying, maintaining and disposing of OHS records and results of audits and reviews.	
<input type="checkbox"/>	OHS records legible, identifiable and traceable to the activity, product or service involved.	

Viking Integrated Management System:	DOC_V_FOR_010_REV0 – Internal Audit Form		
Published Date: 18/09/2023	Rev: 0	Date Reviewed: 18/09/2023	Page 8 of 10

<input type="checkbox"/>	OHS records stored and maintained in order to be readily retrievable and protected against damage, deterioration or loss. Retention times established and recorded.	
<input type="checkbox"/>	Records maintained appropriately to demonstrate conformance with OHSMS criteria/components.	
<input type="checkbox"/>	Audit program and procedures established, implemented and maintained for periodic OHSMS audits to be undertaken by a competent person.	
<input type="checkbox"/>	Audit program and procedures facilitate determination of whether the OHSMS conforms to planned arrangements for OHS management including OHSMS components/criteria.	
<input type="checkbox"/>	Audit program and procedures facilitate determination of whether the OHSMS has been properly implemented and maintained.	
<input type="checkbox"/>	Audit program and procedures facilitate determination of whether the OHSMS is effective in meeting the organisation's policy and OHS objectives and targets.	
<input type="checkbox"/>	Audit program and procedures facilitate determination of whether the OHSMS provides information on the results of audits to management and employees.	
<input type="checkbox"/>	Audit program, including any schedule, based on the OHS importance of the activity concerned and results of previous audits.	
<input type="checkbox"/>	Audit procedures cover scope, frequency, methodologies and competencies, responsibilities and requirements for conducting audits and reporting results.	

Management review

Viking Integrated Management System:		DOC_V_FOR_010_REV0 – Internal Audit Form	
Published Date: 18/09/2023	Rev: 0	Date Reviewed: 18/09/2023	Page 9 of 10

Rating	Considerations	Comments
<input type="checkbox"/>	Top management undertakes OHSMS reviews at intervals to ensure its continuing suitability, adequacy and effectiveness.	
<input type="checkbox"/>	The management review process is documented and ensures that necessary information is collected to allow management to undertake the evaluation.	
<input type="checkbox"/>	Management reviews the continued relevance of and changes where appropriate, the policy, objectives, responsibilities and other elements of the OHSMS, in light of the OHSMS audit results, changing circumstances and commitment to continual improvement.	

Additional information

Viking Integrated Management System:	DOC_V_FOR_010_REV0 – Internal Audit Form		
Published Date: 18/09/2023	Rev: 0	Date Reviewed: 18/09/2023	Page 10 of 10