

AUDITING AND PLANNING

Facilitator Guide



Timings	Facilitator Notes	Resources
1 h 30 min	Discuss the learning outcomes for auditing and planning unit.	Slide 1
	DISCUSS <i>Refer Student Notes – Health and Safety Auditing and Planning</i> <i>Refer WHS Act 2011 s19</i> Discuss the meaning of audit and the legislation that applies	Slide 2 Slide 3
	DISCUSS <u>Worksafe QLD Website – Due diligence</u> Discuss Due Diligence in relation to Health and Safety Auditing and Planning and have class reference WorkSafe QLD website for additional information, if required.	Slide 4 Slide 5
	DISCUSS <i>Refer WHS Regulation 2011 s34</i> Discuss the duty to identify hazards and the hierarchy of controls ASK Ask students for examples of how auditing and planning may fit into the hierarchy of controls	Slide 6 Slide 7
	DISCUSS <i>Refer Student Notes – Management systems</i> <i>Refer Student Notes – Example format for procedures</i> <i>Refer Student Notes – Effective work health and safety management</i> <i>Refer Student Notes - Requirements</i> Discuss management systems and emphasise that the dots points are not exclusive and others may be added depending on type of work. ACTIVITY Ask students for examples of other inclusions relevant to their workplace	Slide 8 Slide 9 Slide 10

	DISCUSS <i>Refer Student Notes – The audit program - Definitions</i> <i>Refer Student Notes – Objectives of an audit</i> Discuss the audit program definitions and objectives of an audit.	Slide 11
	DISCUSS <i>Refer Student Notes – Types of audits</i> Discuss the types of audit; • Management systems audit • Compliance audit • Procedural audit ASK Ask students to offer an example from each category relevant to their workplace	Slide 12 Slide 13 Slide 14 Slide 15
	DISCUSS <i>Refer Student Notes – What standards should be used for the audit?</i> Discuss what standards should be used for the audit ASK Ask students for other Standards applicable eg Electrical Safety Act and Regs (types of work undertaken and requirements for electrical testing/safety switches)	Slide 16
	DISCUSS <i>Refer Student Notes – The audit process</i> <i>Refer Student Notes – Planning</i> Discuss the audit process and planning, including; • Set the scope of the audit • Develop audit checklists • Select audit team • Preparing the organisation for the audit ASK	Slide 17

	Ask students for examples of: • The people who may be required for interview • Documentation required for review	
	DISCUSS <i>Refer Student Notes - Desktop audit</i> Discuss desktop audit ASK Ask students why reference to the H&S manual may be integral to audit (refer to slide notes)	Slide 18
	DISCUSS <i>Refer Student Notes - Opening meeting</i> Discuss who might be involved in meeting, scope and duration of meeting	Slide 19
	DISCUSS <i>Refer Student Notes - Conducting the audit</i> <i>Refer Student Notes - Interviews</i> Discuss conducting an audit and interviews	Slide 20 Slide 21 Slide 22
	DISCUSS <i>Refer Student Notes - Inspection and Verification</i> Discuss how the inspection is used to verify what the company manual states against what is actually happening.	Slide 23
	DISCUSS <i>Refer Student Notes - Determine audit findings</i> ASK Ask students what action auditor should take is a serious risk to health and safety has been identified	Slide 24
	DISCUSS <i>Refer Student Notes - Close audit meeting</i> Discuss structure and format of meeting	Slide 25

	DISCUSS <i>Refer Student Notes - Audit report</i> Discuss format, contents and expected due date of audit report	Slide 26
	DISCUSS <i>Refer Student Notes - Follow-up audit</i> ASK Ask class whether physical verification of compliance is required or whether written confirmation by manager is satisfactory.	Slide 27

Version	Date	Author
1	30/06/2018	WHSQ