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| C:\Users\susanb\AppData\Local\Microsoft\Windows\Temporary Internet Files\Content.Word\PRIMARY_A_Vertical_Housed_RGB.PNG | health & safety MANAGEMENT system REVIEW and audit requirements |

# Purpose

To describe the requirements for management reviews and internal and external audits of the University’s health and safety management system.

# Scope

This process applies to all staff, students, contractors, and other personnel at workplaces under the management or control of the University of Melbourne.

# Definitions

**Audit**

A systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled. (AS ISO 45001)

**Corrective action plan**

A plan completed by the auditee to address deficiencies identified in the audit report.

**External audit**

An audit conducted by a third party for the purpose of certification to a recognised standard and/or self-insurance compliance.

**Internal audit**

An audit conducted by a University staff member or contractor for the purpose of:

* reviewing conformance to the management system.
* reviewing compliance with legal obligations.
* preparing for external audits.
* identifying opportunities for continuous improvement; and
* maintaining compliance with conditions of a self-insurance licence. (AS 4801)

**Key performance indicator (KPI)**

Quantitative or qualitative measurement that gives an indication of progress against a specific health and safety objective or target.

**Health and safety management system**

That part of the overall management system which includes organisational structure, planning activities, responsibilities, practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining the Health & Safety Policy, and so managing the risks associated with the business of the organisation.

# Requirements

## University management review

### 4.1.1 University health and safety management system review

The Director, Health & Safety must review the University’s Health and safety policy and strategic objectives every five years.

Annually, the Director, Health & Safety must review:

* University operational objectives and associated KPIs
* University operational targets and associated KPIs
* responsibilities documented in the health and safety procedures and other documents.
* other elements of the health and safety management system identified as requiring review.

Reviews must take into account:

* internal audit annual reports
* results of external audits
* accident/incident data
* changes in legislation
* changes within the University (for example, structure, activities, or campuses)
* relevance, practicability, and readability of documents under review.

### 4.1.2 University health and safety management system reporting

Following each review, the Director, Health & Safety will report to the Occupational Health and Safety (OHS) Committee on the review outcomes and any resulting recommended changes to the health and safety management system. Following OHS Committee approval, revised documents will then be forwarded to the Risk Management Advisory Group for review and approval by the Vice Principal, Administration & Finance and CFO.

The Director, Health & Safety is responsible for communicating changes to the health and safety management system to all relevant areas of the University.

## 4.2 Faculty/divisional management review

### 4.2.1 Faculty/divisional health and safety management system review

The Dean/Head of division must ensure the following are reviewed once a year:

* division operational objectives and associated KPIs
* division operational targets and associated KPIs
* assigned responsibilities (for example, those documented in position descriptions)
* other elements of the health and safety management system identified as requiring review.

Reviews must take into account:

* results of internal health and safety management system audits
* results of external health and safety management system audits
* accident/incident data
* changes in legislation
* relevant changes in the Faculty/division (for example, structure, activities or campuses)
* relevance, practicability, and readability of documents reviewed.

### 4.2.2 Faculty/divisional health and safety management system reporting

The Dean/Head of division must ensure that review outcomes are reported to the division health and safety committee. The committee must discuss the review and make any changes necessary to maintain the relevance of the system and ensure its continual improvement. Authorisation of changes must be sought from relevant parties.

The Dean/Head of division must ensure changes made to the system as a result of a review are implemented.

The division health and safety committee are responsible for communicating changes to all relevant parts of the division and to Director, Health & Safety where appropriate.

## 4.3 Monitoring implementation of changes

The Health and Safety Business Partner must develop strategies to promulgate and track adoption of revised University and local health and safety management system.

## 4.4 Internal audits

The Director, Risk and Assurance, in consultation with the Director, Health & Safety and Deans/Heads of divisions, must develop an annual internal health and safety audit schedule.

The Director, Risk and Assurance must ensure:

* the internal audit schedule is based on previous audit results, and the level of health and safety risk associated with the activities and operations of the division or local area to be audited
* for health and safety management system audits, each Faculty, division, non-faculty department and wholly owned subsidiary is audited at least once over a four-year cycle.
* internal auditors are sufficiently qualified, competent and experienced to perform health and safety audits, or else supported by other experts to enable them to perform audits competently.
* internal auditors are independent of the direct management control of the faculty, division, non-faculty department and wholly owned subsidiary that they are auditing.

The University will audit its health and safety management system to the requirements of the National Self-Insurer OHS Audit Tool.

The Director, Risk and Assurance, in consultation with the Director, Health & Safety, will develop, publish and maintain the Internal health and safety audit methodology. The methodology must include:

* definitions for internal audit findings
* scope of internal audits
* opening meeting requirements
* audit process requirements
* closing meeting requirements
* audit report requirements.

The Director, Risk and Assurance must ensure that an interim internal audit report consistent with the Internal health and safety audit methodology is provided to the Dean/Head of division four weeks from the internal audit closing meeting. The report must include a corrective action report for each *non-conformance* and *requires correction* finding.

Within four weeks of receiving the interim report, the Dean/Head of division must ensure that a corrective action plan is provided to the Director, Risk and Assurance, for each *non-conformance* finding and *requires correction* finding. Corrective action plans must include:

* audit criterion
* audit result
* audit finding description (from audit report)
* proposed corrective action to address adverse audit finding(s)
* timeframe or date and priority by which planned corrective action(s) should be completed.
* responsible officer for ensuring planned corrective action(s) is completed.

Within three months of receiving the interim report, the Dean/Head of division must ensure that each *non-conformance* finding and *requires correction* finding has been actioned in accordance with the corrective action plan.

The Dean/Head of division must ensure that the division’s audit reports are tabled at the budget division’s health and safety committee meetings.

The Director, Risk and Assurance must report health and safety internal audit results annually to the OHS Committee and the Risk Management Advisory Group.

## 4.5 External audits

The Director, Health & Safety will select competent and qualified external auditors to certify the University's health and safety management system to the standards of the National Self-Insurer OHS Audit Tool.

The Director, Health & Safety will advise certification auditors on the planning, scheduling, and scope of audits.

The Director, Health & Safety will advise Deans/Head of divisions of the certification auditor's proposed audit schedule.

The Director, Health & Safety will distribute relevant sections from certification audit reports to Deans/Head of divisions that have been subject to certification audits.

The Dean/Head of division will ensure that the audit reports are tabled at Faculty/divisional health and safety committee meetings.

The Director, Health & Safety will report external audit results annually to the OHS Committee, Risk Management Advisory Group and other senior management committees as required.

# References

* AS/NZS ISO 45001: Requirements with guidance for use Occupational health and safety management systems - Requirements with guidance for use
* National Self-Insurer OHS Audit Tool v3
* [IAF MD 5: Determination of Audit Time of Quality, Environmental, and Occupational Health & Safety Management Systems](https://www.iaf.nu/articles/Mandatory_Documents_/38)
* ISO/IEC 17021-1: Conformity Assessment – Requirements for bodies providing audit and certification of management systems

# Responsibilities

Director, Risk and Assurance

Director, Health & Safety

Dean/Head of division

Local Health and Safety Business Partner

# Associated documentation

## 7.1 Forms

External Corrective Action Plan

## 7.2 Guidance

[Health & Safety: Internal audit methodology](https://safety.unimelb.edu.au/__data/assets/word_doc/0008/4587128/Internal-audit-methodology.docx)

[Health & Safety: Audit workbook](https://safety.unimelb.edu.au/__data/assets/word_doc/0008/4682717/health-and-safety-audit-workbook.docx)

[Health & Safety management system review web site](https://safety.unimelb.edu.au/management/review)