



OS&H MANAGEMENT SYSTEM AUDIT REPORT

AUDITED ORGANISATION/BRANCH:	Redlion Bus & Coach - Esperance Regional	AUDIT REPORT NO:	CP/S/2014/211
ADDRESS:	86 Norseman Rd, ESPERANCE	FILE REFERENCE NO:	3137/11/2
CONTACT NAME	J. Sortberg	DATE OF AUDIT	07/05/2014
AUDITOR:	Kieran Kilgallon	PAGE:	1 of 10
SCOPE OF AUDIT	To review Redlion's OS&H Management Plan and perform a Site Inspection for compliance with relevant legislation such as OS&H Act 1984 and OS&H Regulations 1996		

SUMMARY OF AUDIT:

The compliance audit consisted of a series of questions based on the scope of AS 4801 – OS&H Management Systems and a site inspection to verify the implementation of the stated response to those questions.

In addition to the issues raised at this audit the previous visit identified some issues which have not been adequately addressed:

NCR's:

NCR/2011/455 - A Hazard Register should be developed to show how hazards associated with every work activity have been identified and risks reduced as far as reasonably practicable. Examples of a Hazard Register have previously been provided. Remains OPEN

NCR/2013/525 - An MSDS register was sighted and is controlled by an on-line database. 402 Chemicals have been listed and however the Hazchem Risk Assessments had not been performed. OSH Reg's 1996, r5.15 states that an assessment must be made of the risk or harm occurring to a person exposed to hazardous chemicals. Remains OPEN.

CAR's:

CAR/2011/461 - Internal Audits are not performed or scheduled at this time. Redlion's SMP states that audits will be conducted. It is recommended that the processes and documentation involved in achieving OSH Objectives stated in the OSH Policy be formally reviewed on a regular basis. – Remains OPEN.

CAR/2013/522 - Evidence of suitable OSH objectives and targets could not be demonstrated. Remains OPEN.

CAR/2013/523 - Training in an Emergency Response Procedure has not been carried out and the topic is not discussed as part of the Induction Package or Procedure 14.3. There is no procedure that describes the responsibilities and actions of an Emergency Control Organisation eg Chief Warden. A procedure should be created and exercised for evaluation. It was stated that an evacuation drill was carried out on 04/04/14 in order to evaluate the process currently in place. The procedure and training will take into consideration the results from the drill including appointing a Chief Warden and allocation of responsibilities. Remains OPEN

CAR/2014/591 - It was noted that the new pallet racking is installed in the 'boiler room' did not have the SWL displayed.

CAR/2014/592 – It was noted that flammable products in 'C' Shed were not stored in an appropriate Flammable Goods cabinet.

Opportunities for Improvement:

O-01 - It was noted that some policies and documents in the SMP were not signed and dated by management.

O-02 - A formal Induction package for Contractors is to be developed and is to include the checking of High Risk licenses and JSA's appropriate to the task being undertaken, eg working on the roof of a bus.

O-03 - Some documents and forms are not date or version controlled eg the Notice to Drivers and OSH Meeting. This has yet to be fully addressed.

O-04 –The new Hazard Report form includes a section for Risk Assessment and control however the risk assessment component is only visible when accessing the hazard online. It was stated that the form will be modified

O-05 - Regular, documented workplace inspections are required to be performed.

O-06 – A Site Risk Assessment should be performed against Dangerous Goods Safety Regulations 2007. This should be completed when the newly acquired bunded fuel tank is commissioned for use.

O-07- It is recommended that more JSA's and Safe Work Procedures be developed for other tasks such as the new Bus Lifters.

O-08 - The Site Rules dated 15/12/11. It is recommended that due to the recent acquisition of a fuel tank that the Visitors Site Rules be updated.

O-09 - The site diagram should be updated to include the newly acquired refuelling facility

O-10 - It should be confirmed that the Workshop First Aid Kit is checked regularly; either placed on a call-out schedule in the Equipment Maintenance Register or as part of the Workplace Inspection Checklist

O-11 - The standard of housekeeping in 'C' Shed was poor

NCR's raised: Nil

NCR's remaining open: 2

CAR's raised: 2

CAR's remaining open: 3

Opportunities for Improvement: 11

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-1: General Requirements	The organisation shall establish and maintain an OHSMS.	A new Safety Management Plan has been developed utilising existing systems combined with the SBS Safety Management System and contains documents relating to all aspects of the safe working and safety compliance. It was noted that some policies and documents were not signed by management. This issue is raised as Opportunity for Improvement O-01.
Element 4-2: OSH Policy	The organisation's OHS policy shall be authorised by the organisation's top management and clearly state the overall OHS responsibilities and objectives and demonstrates a commitment to improving OHS performance and compliance with relevant OHS legislation.	The OSH Policy, dated 13/11/13, was appropriate for the business and was signed by top level management and should be reviewed every 2 years. The policy was located in the SMP and forms part of the Induction package. It was also displayed in a prominent position of the Reception area.
Element 4-3-1: Planning – Identification of Hazards, Hazard/Risk Assessment and Control of Hazards/Risks	The contractor shall establish, implement and maintain documented procedures for hazard identification, hazard/risk assessment control of activities.	The SMP and Bus Driver's Manual contains Incident and Injury Report Forms, Pre-Start Checklists, Defect Sheets, etc. Deficiencies relating to the lack of a Depot Hazard Register, JSA's, and Work Instructions are discussed at 4.4.6.4.
Element 4-3-2: Legal and Other Requirements	How does the organisation keep itself aware of the applicable OSH legislation, regulations and other requirements so it can comply with these requirements, communicate them and incorporate these requirements into the OHSMS, procedures and instructions?	The Operations Manager, Mr Jeff Sortberg, is included in the Motor Trades Association mailing list, the WorkSafe WA mailing list and regularly receives the OSH Professionals newsletter. Shortcut links to Safetyline, Fleetsafe, Safety in Australia, Everything OSH and Eye on Safety were noted on the computer. Networking with other local business such as The Esperance Port Authority and the Shire Council also occurs.
Element 4-3-3: Objectives and Targets	How are specific and measurable OSH objectives and targets set to give direction and impetus to the continual improvement of overall workplace health and safety?	OSH objectives and targets were not demonstrated. An example checklist was provided at the previous audit that shows both lead and lag indicators such as LTI's, Toolbox Meetings and Workplace Inspections. These objectives and targets should be discussed and documented on at least an annual basis to reflect the statements made within the OSH Policy. Evidence of suitable OSH objectives and targets could not be demonstrated. This issue is raised at the previous audit as CAR/2013/522 and remains open.
Element 4-3-4: OHS Management Plans	The organisation shall systematically plan how it shall achieve its OHS policy and objectives by developing and implementing an ongoing OHS Improvement Plan. The Plan shall be aimed at improving all aspects of OHS in the workplace on the basis of continual improvement and state the person responsible and timeframe.	Evidence of Management decisions relating to safety planning exist by way of emails where the need for OSH Training such as First Aid training was discussed. There is no documented or formal improvement plan in place, however, improvements to the depot include; The addition of concrete had stand area at the rear of the workshop with plans to extend across to the wash facility. The addition of a bunded diesel tank and bowser. Improved layout of the workshop hot-works area and tyre storage. The creation of an i-pad reporting system for vehicle data and faults.

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-4-1-1: Structure and Responsibility - Resources	Describe how management shall identify and provide the resources required to implement, maintain, and improve their OHSMS.	Budget and training requirements are dealt with on an as needs basis through upper management. An example of this is the recent purchase of a home use computer for the Operations Manager and upcoming i-pad system for driver reporting.
Element 4-4-1-2: Responsibility and Accountability	The organisation shall define, document and communicate the areas of accountability and responsibility of all personnel involved in the operation of the OHSMS. The organisation shall appoint a specific representative who, irrespective of other duties, shall be responsible for implementation, maintenance, reporting and review of the OHSMS.	OSH Responsibilities are stated in the OSH Policy and Induction documentation. This was located in the Policies and Procedures Manual. Responsibilities are stated in the Job Descriptions for each position. JD for the General Manager, Operations Manager, Cleaner and Office Administrator were sighted. The JD for the Operations Manager, dated 17/04/14, includes responsibilities for monitoring safety standards, upholding safety requirements and building a safe working environment. Safety responsibilities are also a topic in the Induction package.
Element 4-4-2: Training and Competency	Describe the steps which shall be taken to ensure that employees working at all levels in the organisation, including contractors and visitors, are appropriately trained and competent so they are aware of the hazards of the workplace, their OSH responsibilities and how to carry out their tasks safely.	<p>A Training Needs Analysis checklist has been developed to identify the training required for the individual job positions at the company</p> <p>The Training Register also includes records for Port Access Security, Marine Security, Working with Children, First Aid and 'F' class licence and medical endorsements. The File-Maker Pro program sends email notifications of due and overdue licenses and training on a weekly basis.</p> <p>A register for training was located on the central drive and it is the responsibility of the Operations Manager to maintain it.</p> <p>A Driver Induction and a Workshop Induction package were sighted.</p> <p>An induction program has also been undertaken for existing workers due to the significant changes made to the SMP. The training includes OSH Policy, D&A Policy, Driver's Instructions, Accident/Incident Guidelines, Hazard Identification and reporting and an OSH Quiz.</p> <p>Induction Training records for a new driver – D. Witt were sighted dated 06/05/14. The records included an OSH competency test</p> <p>It was stated that new drivers were evaluated over a two week period. A Pre-Employment Driving Assessment for S. McCleary was sighted dated 13/03/14 and includes roadcraft, specific routes and licence checks.</p> <p>Visitors and Contractors sign in on the Visitors register and sign to acknowledge the Site Rules. An entry for D. Wyllie of Thermo Air was dated 25/02/14. It was stated that a formal Induction package for Contractors was being developed. This is will allow for the checking of high risk licenses and JSA's appropriate to the task being undertaken eg working on the roof of a bus. This is noted as Opportunity for Improvement O-02</p> <p>Weekly Driver's Licence checks are carried out against the DoT Website – email sighted for 03/05/14.</p> <p>The Employee Induction Package includes information relating to;</p> <ul style="list-style-type: none"> a) Student Behaviour Management including SBS video, b) Red Lion Roar Apr14 – Company Newsletter,

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
		<p>c) Instructions to Drivers, d) DPI Staying Alert at the Wheel – Driver Fatigue Handbook, e) OSH Policies and procedures f) OSH Quiz</p> <p>Training in an Emergency Response Procedure has not been carried out and the topic is not discussed as part of the Induction Package or Procedure 14.3. There is no procedure that describes the responsibilities and actions of an Emergency Control Organisation eg Chief Warden. A procedure should be created and exercised for evaluation. This issue was raised at the previous audit as CAR/2013/523. It was stated that an evacuation drill was carried out on 04/14/14 in order to evaluate the process currently in place. The procedure and training will take into consideration the results from the drill including appointing a Chief Warden and allocation of responsibilities.</p>
Element 4-4-3-1: Consultation	Describe the process of OSH consultation between management and employees. Consultation with employees and obtaining their input is essential for developing improving workplace OSH and in achieving goals and objectives.	<p>Informal meetings are held on a daily basis prior to the bus runs. Due to the relatively small workforce an 'open door' policy exists between management and employees.</p> <p>It was stated that prior to commencement of the school term staff meetings are held to discuss issues such as route changes, driver changes etc. A General Safety Meeting was held on 28/03/14 where Hazards, Bus Bays, Pick-up locations, Workshop radio channel frequencies were discussed.</p> <p>Workshop staff have been involved in the creation of JSA's. The operation of the Bus Washer was shown as an example.</p>
Element 4-4-3-2: Communication	Describe the way in which appropriate OSH information and data shall be disseminated and made available to employees, contractors, visitors and other interested parties.	<p>It was stated that communication is achieved through conveying messages to staff via text message, email, leaving notes in individual pigeon holes or general notices to staff on the noticeboard.</p> <p>Examples of this are the Notice to Staff relating to the company directive prohibiting Redlion vehicles from using the Smith Rd and Twilight Beach Rd intersection due to poor road layout.</p> <p>The Redlion Roar newsletter is also distributed periodically. The recent issues of Apr14 discussed issues such as; access to the workshop, use of the Wash Bay and replenishment of First Aid Kits.</p>
Element 4-4-3-3: Reporting	Appropriate procedures for relevant and timely reporting of information shall be established to ensure the OHSMS is monitored and performance improved.	<p>The requirement to report safety related issues is covered in the induction process and is documented in the Driver's Manual and the Induction procedure. There are also reminders in several of the Red Lion Roar newsletters.</p> <p>The Driver's Manual includes Hazard Report forms, Incident Report forms, Student Behaviour forms etc.</p> <p>Examples of reports for workplace injuries, accident reports and an OSH2 Report form, (PTA), were sighted.</p>

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Element 4-4-4: Documentation	The organisation shall establish, implement and maintain information to (a) describe the core elements of the management system and (b) provide direction to related documents.	The SMP, located on the company computer system, contains the organisation's operating procedures and is maintained by the Operations Manager and administration staff.
Element 4-4-5: Document and Data Control	<p>The organisation shall establish, implement and maintain procedures for controlling all relevant documents and data to ensure that:</p> <ul style="list-style-type: none"> • They can be readily located • They are periodically reviewed • Obsolete documents are removed from all points of issue and use • Documents are dated version controlled 	<p>A Document Register is located in File Maker Pro system and contains Master copies of all documents which can only be edited by selected staff. The Master copies are taken from the central drive so that only current versions are reproduced.</p> <p>New documents and forms are distributed to staff for comment prior to final issue. Some documents and forms are not date or version controlled eg the Notice to Drivers and OSH Meeting. This issue was raised at the previous audit as Opportunity for Improvement O-03 and has yet to be fully addressed.</p>
Element 4-4-6-1: Hazard Identification, Risk Assessment Control of Risks – General	<p>Have documented procedures been established, implemented and maintained to ensure that:</p> <ul style="list-style-type: none"> • Hazards are identified • Risks are assessed • Risks are controlled • The above steps are evaluated 	<p>It was stated that hazards and risks are identified and controlled by reviewing workplace inspections, accident investigations and hazard and near miss reports.</p> <p>The Driver's Manual contains; a Pre-start Checklist including a Fatigue Management sheet, Fuel, Tyre replacement and Fault Card, contact details of Schools, Hospitals, and Managers, the Code of Conduct from SBS, Emergency Incident Response, Incident report and Injury / First Aid form.</p> <p>OSH Regulations 1996, r3.1 states; A person who, at a workplace, is an employer, the main contractor, a self employed person, a person having control of the workplace or a person having control of access to the workplace must, as far as practicable — (a) identify each hazard to which a person at the workplace is likely to be exposed; and (b) assess the risk of injury or harm to a person resulting from each hazard, if any, identified under paragraph (a); and (c) consider the means by which the risk may be reduced.</p> <p>In previous audits it has been recommended that a Hazard Register should be developed to show how the hazards associated with every work activity have been identified and risks reduced as far as reasonably practicable. An example Hazard Register has been provided on several occasions.</p> <p>A Risk Registry was shown however it only showed the hazards recently assessed after completion of the new Hazard Report form and is therefore a reactive method of controlling hazards. It is a requirement of the Regulations to identify, assess and control all activities before exposing the workers to potential harm. This issue was previously raised as NCR/2011/455 and remains open.</p>

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Element 4-4-6-2: Hazard Identification	<p>The Hazard Identification, Risk Assessment and Control procedure shall take into account all activities, tasks and work processes which have the potential to cause death, significant injury, ill-health, damage or disruption. The process should consider:</p> <ul style="list-style-type: none"> • Past injuries or illness • The way work is organised and managed • The design of workplaces, processes, materials, plant and equipment • The handling and disposal of materials, plant and equipment • The purchasing of goods and services • Contractor OSH management • The inspection, maintenance and calibration of plant and equipment 	<p>Awareness of Hazard Identification and Reporting is conducted during the induction training. Hazard Report Forms are available in the Driver's Manual and on the computer system.</p> <p>Hazards are being reported but the majority were being reported verbally. The recently launched new SMP has provided a good impetus for a fresh approach to hazard reporting. The new Hazard Report form includes a section for Risk Assessment and control however the risk assessment component is only visible when accessing the hazard online. It was stated that the form will be modified. Raised as Opportunity for Improvement -04</p> <p>An example of the hazard identification process is the hazard identified at the intersection of Smith St and Twilight Beach Rd after extensive road works changed the layout and sighting distances. The hazard investigation lead to a decision that Redlion are prohibited from using this intersection. A corresponding Notice to Drivers was sighted. Hazard Report signed off on 17/02/14 and included in the Risk Register.</p> <p>There was no evidence to show that the workplace was regularly inspected to identify hazards. It was stated that this issue will be addressed by including Workplace Inspections as a KPI on the Objectives and Targets worksheet. The issue of performing regular, documented workplace inspections is raised as Opportunity for Improvement O-05.</p>
Element 4-4-6-3: Hazard / Risk Assessment	<p>All risks associated with each identified hazard shall be assessed and controlled priorities assigned. Risk Assessments shall be prepared in consultation with the managers, supervisors and employees engaged in, or having knowledge of, the identified tasks based on the established level of risk.</p>	<p>The new SMP includes a Risk Assessment process and forms but requires further implementation.</p> <p>The completion of a Depot Hazard register will go some way to addressing this issue. Deficiencies in this area will be addressed through NCR/2011/455 & the Opportunity for Improvement raised from 4.4.6.1. and 4.4.6.2</p> <p>A copy of a Dangerous Goods Risk Assessment was provided to assist in compliance with the Dangerous Goods Safety Regulations 2007. This should be completed when the newly acquired bunded fuel tank is commissioned for use. This issue is raised as Opportunity for Improvement O-06.</p>
Element 4-4-6-4: Control of Hazards / Risks	<p>All risks, identified through the assessment process, shall be controlled through a preferred order of control methods, (hierarchy of control), based on reasonable practicability. Copies of JSA's shall be made available to personnel carrying out the work. Personnel who undertake identified tasks shall be trained in the appropriate JSA/OP's. Copies of JSA/OP's shall be held by the Location Supervisors responsible for managing the identified tasks.</p>	<p>There were some JSA's but very few work instructions to direct staff on the safe method of performing tasks within the workshop. Some progress has been made as there were 10 JSA's listed and some general instructions included in the Workshop Induction eg Tyre Changing of Heavy and Light Vehicles dated 05/05/14. Other JSA's were in Draft format such as the JSA's for the Bus Wash System. It is recommended that more JSA's and Safe Work Procedures be developed for other tasks such as the new Bus Lifters. This issue is raised as Opportunity for Improvement O-07.</p> <p>A Visitors and Contractors Register was in regular use and includes an area to be signed as acknowledging the Site Rules dated 15/12/11. It is recommended that due to the recent acquisition of a fuel tank that the Visitors Site Rules be updated. This issue is raised as Opportunity for Improvement O-08.</p> <p>An MSDS register was sighted and is controlled by an on-line database. A recent stocktake identified 402 chemicals held on-site however the Hazchem Risk Assessments had not been</p>

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
		<p>performed. OSH Reg's 1996, r5.15 states that an assessment must be made of the risk or harm occurring to a person exposed to hazardous chemicals. It was stated that a reduction in the variety of chemicals held was planned and risk assessments on the remaining stock would then be performed. This issue was raised at the last audit as NCR/2013/525 and remains Open.</p> <p>An Equipment Maintenance Register and schedule was sighted and includes the calibration and maintenance records of equipment such as tension wrenches, floor jacks, axle stands, and plant etc, Example – Wheel Dolly was checked on 14/01/14. Maintenance and testing records for lifting equipment, chains and slings were checked. Vehicle Hoists checked on 31/10/13 and the 5 ton floor jack was checked on 14/01/14. Calibration records for the torque wrench S/N 01/92 were sighted dated 01/07/12. It is thought that two years would be a reasonable timeframe for recalibration given the frequency of usage.</p> <p>Electrical testing of portable equipment is carried out in-house was carried out on 03/04/13. A Pre-start Checklist for the forklift was in use. Maintenance had been carried out and the operators were appropriately licensed.</p>
Element 4-4-6-5: Evaluation	The process of hazard identification, hazard risk assessment and control of hazards / risks shall be subjected to a documented evaluation of effectiveness and modified as necessary.	It was stated that the whole SMP was reviewed in Feb14 when the new SMP was launched.
Element 4-4-7: Emergency Preparedness and Response	Describe the steps which shall be taken to establish and maintain plans and documented procedures to identify the potential for, and the responses to, emergency situations. Is emergency response equipment periodically checked? (First Aid Kits, Extinguishers, Etc) Are the emergency procedures tested periodically?	<p>Emergency Procedures are in place and the site diagram is displayed in the Administration building, dated 31/10/13. The site diagram should be updated to include the newly acquired refuelling facility. Raised as Opportunity for Improvement O-09. Operational Emergency Procedures are included in the Driver's Manual.</p> <p>The Emergency manifest was in place and includes information regarding the contact details of company representatives and neighbouring businesses.</p> <p>An Evacuation Drill was performed on 04/04/14. The drill will be evaluated and an improved</p> <p>A Bus Evacuation training session, simulating a fire on a bus, was conducted at the Safety Meeting of 28/03/14. The training included role playing in an attempt to make it realistic. The checking of fire extinguishers on site is performed by an external company. Records for testing were dated Jan14.</p> <p>First Aid Kits in the workshop, administration building and buses were well stocked, however the kit in the workshop had a last checked date of Oct12. It should be confirmed that the Workshop First Aid Kit is checked regularly; either placed on a call-out schedule in the Equipment Maintenance Register or as part of the Workplace Inspection Checklist. This issue is raised as Opportunity for Improvement O-10.</p> <p>Spill Kits were available in the Workshop and in the Breakdown Vehicle.</p>

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-5-1: Monitoring and Measurement	Describe how OSH performance shall be monitored and measured so that progress towards targets and objectives is achieved.	OSH performance, objectives and targets are discussed at informal quarterly meetings between the General Manager and the Operations Manager. It was stated that in future these meetings would be documented.
Element 4-5-1-2: Health surveillance	The organisation shall identify those situations where employee health surveillance is required and shall implement appropriate systems. Pre-employment medical checks, Health assessments upon licence renewal, etc.	<p>The drivers comply with the health checks required when renewing their driver's licence. The licences and endorsements must be sighted by management at every renewal. A Staff training spread sheet on the database contains the relevant licence information. Staff licence renewal call-out list for May14 sighted. An email notification of licenses due for renewal is also sent from the File Manager Pro system.</p> <p>Random breath tests are conducted periodically. Records for testing dated 11/08/11 and 30/07/12 were also sighted.</p> <p>A stand alone alcohol and other drugs policy is in place dated 13/11/13 and is covered during the induction training. Records for BA testing were sighted dated 29/04/14.</p> <p>It was stated that for Workshop Staff, pre-employment medical checks include an audiogram to determine a baseline hearing level. Records for T. Warr were sighted dated 08/05/13.</p>
Element 4-5-2: Incident Investigation, Corrective and Preventive Action	Describe how hazards, near misses, non-conformances and system failures shall be investigated and reported and how corrective and preventive action shall be undertaken and reviewed.	<p>An Incident/Accident report form is included in the SMP and is covered during the Induction training.</p> <p>No recent collisions with other vehicles have occurred and minor damage such as scrapes and contact with a post is covered with a Minor Accident Report.</p> <p>The last Vehicle Accident Report was sighted for a collision dated 30/09/11. This form is used for major incidents / accidents. The incident was investigated and closed on 08/10/11.</p> <p>An example of a Minor Accident Report, form 1.5, was sighted dated 11/11/13 for a bus hitting a section of RHS tubing while manoeuvring in the yard. The incident was investigated and signed off on 15/11/13.</p> <p>An Injury / First Aid Form sighted is available. It was stated that no recent injuries have occurred -- entry dated 02/09/11 for a person walking into an open inspection door on a bus.</p> <p>Hazard Reports and Risk Register sighted.</p>
Element 4-5-3: Records and Records Management	Describe how the archiving, storage, retrieval and disposal of OSH records and audit reports shall be carried out. Are personal employee records appropriately secured from unauthorised access?	Personal / confidential files are stored in a locked cabinet. Electronic files are password protected.

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Element 4-5-4: OHSMS Audit	Describe how and when this OHSMS shall be audited to determine whether it complies with AS 4801 has been properly implemented and maintained, and is effective in meeting the requirements of the organisation's policy, objectives and targets for continual improvement. Is the audit program based on the OHS risk and the results of previous audits considered?	An MTA audit was conducted in line with the WorkSafe Plan on 12/08/09. Internal Audits are not performed or scheduled at this time. It was stated that OSH Objectives and Targets will be set and performance measured. It is recommended that the processes and documentation involved in achieving OSH Objectives stated in the OSH Policy be formally reviewed on a regular basis. This could be broken down into different areas such as; Hazard Reporting, Equipment Maintenance, Emergency Response etc and performed throughout the year. This issue was previously raised as CAR/2011/461 and remains open
Element 4-6: Management Review	Detail how the OHSMS shall be reviewed by top management to demonstrate continual improvement and to assess whether it is being fully implemented, and its continuing suitability, adequacy and effectiveness to achieve the organisation's OSH policy and stated objectives.	It was stated that aspects of the SMP are discussed at informal quarterly meetings between the General Manager and the Operations Manager. It was stated that in future these meetings would be documented.
Observation from Site Inspection	<p>The site inspection proved that the depot was well laid out and functional. The new bus wash facility was well designed and was now fully operational.</p> <p>The standard of housekeeping in the Workshop was very good.</p> <p>Appropriate controls for vehicle and pedestrian movements were in place with entry and exit gates marked and speed limit sign posted. Direction of travel is discussed regularly at staff meetings and in the newsletter. It was stated that the next phase of improvement is to bituminise the bus parking and hardstand areas. When this has occurred the line marking will be applied.</p> <p>The storage of chemicals and lubricants in the workshop was very good and decanted products were appropriately labled.</p> <p>It was noted that the new pallet racking installed in the 'boiler room' did not have the SWL displayed. Raised as CAR/2014/591 It was noted that flammable products in 'C' Shed were not stored in an appropriate Flammable Goods cabinet. Raised as CAR/2014/592</p> <p>Opportunities for Improvement: O-11 – The standard of housekeeping in 'C' Shed was poor.</p>	

REDLION BUS & COACH - NCR/CAR ACTION REGISTER - ACTIVE OR PENDING

Esperance Regional

Audit No.	Date of Audit	NCR No.	Status	Description	PTA Actions	Contractor Actions
CP/IS/2011/146	14/12/2011	CAR/2011/461	P	Internal Audits are not performed or scheduled at this time. Redlion's SMP states that audits will be conducted. It is recommended that the processes and documentation involved in achieving OSH Objectives stated in the OSH Policy be formally reviewed on a regular basis.	<p>Audit schedule and example audit required for closure. 27/03/14.</p> <p>Advice provided on basing internal audit against AS 4801 elements. 19/09/14.</p> <p>The submitted internal audit procedure does not specify when the audits will occur just frequency eg annually. 19/11/14, 29/01/15. No evidence of audits performed. 29/01/15.</p>	<p>With Job Descriptions, Safety Meetings, Inductions and Tool Box Talks in place a quarterly audit will be implemented. 27/03/14.</p> <p>Developing an internal audit procedure that consists of requesting from the different department heads to provide me with evidence that they are complying with our safety management plan. 19/09/14</p> <p>Internal audit procedure submitted. 19/11/14.</p>
		NCR/2011/45 5	A	A Hazard Register should be developed to show how hazards associated with every work activity have been identified and risks reduced as far as reasonably practicable as stated in the Redlion SMS Element 3.	<p>Awaiting completed package. Examples provided. (21/02/14).</p> <p>OSH Reg's 3.1 requires that all hazards are identified, assessed and controlled. The most effective way of demonstrating this is the creation of a Hazard Register. Examples have been previously provided. (27/03/14), (07/05/14), (19/09/14).</p> <p>Hazard Register Template approved. Recommended that Example Register be copied into template where appropriate. 19/09/14</p> <p>Awaiting evidence of completed Hazard Register. (29/01/15).</p>	<p>Currently implementing the relevant table and form in Filemaker. 25/11/13.</p> <p>A register with a Hazard identification and Reporting Process and Hazard Report forms has been commenced. (21/02/14)</p> <p>Refer Tool Box Talks, Safety Meetings Register implemented (27/03/14).</p> <p>Hazard Register Template sent for comment. 19/09/14.</p>

Esperance Regional

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CP/S/2013/179	12/03/2013	NCR/2013/52 5	A	An MSDS register was sighted and is controlled by an on-line database. 136 Chemicals have been listed and however the Hazchem Risk Assessments had not been performed. OSH Reg's 1996, r5.15 states that an assessment must be made of the risk or harm occurring to a person exposed to hazardous chemicals.	PTA - Awaiting completion of Risk Assessments on Hazardous Chemicals. (21/02/14). No evidence of Hazardous Substance Risk Assessments provided. (27/03/14). Advised to continue with Risk Assessments. (19/09/14).	Planning on using staff in the Christmas break to perform assessments. 25/11/13 Ongoing reduction of Hazardous Substances. Substitution, elimination in practice. Ongoing Risk assessments update. (27/03/14). A reduction in the variety of chemicals held was planned and risk assessments on the remaining stock would then be performed. 07/05/14, 30/05/14 Ongoing culling of chemicals and updating MSDS. (19/09/14).



OS&H MANAGEMENT SYSTEM AUDIT REPORT

AUDITED ORGANISATION/BRANCH:	Redlion Bus & Coach - Esperance Regional	AUDIT REPORT NO:	CP/S/2011/146
ADDRESS:	86 Norseman Rd, ESPERANCE	FILE REFERENCE NO:	PTA 3137/11/1
CONTACT NAME	K. Gratton-Wilson	DATE OF AUDIT	14/12/2011
AUDITOR:	Kieran Kilgallon	PAGE:	1 of 11
SCOPE OF AUDIT	To review the company's OS&H Management Plan and perform a Site Inspection for compliance with relevant legislation such as OS&H Act 1984 and OS&H Regulations 1996		

SUMMARY OF AUDIT:

The compliance audit consisted of a series of questions based on the scope of AS 4801 – OS&H Management Systems and a site inspection to verify the implementation of the stated response to those questions. The questions asked and the responses given are listed at Annex A.

The previous visit identified the following issues which have not been adequately addressed:
NCR's:

NCR-057/09 - There were no JSA's and very few work instructions to direct staff on the safe method of performing tasks within the workshop. Examples of where JSA's and written procedures are required include working on the roof of the bus, needle stick injuries, working alone procedure etc. Some progress has been made as there were 10 JSA's listed and some general instructions included in the Workshop Induction Manual. These guidelines are not comprehensive enough to enable the NCR to be closed. For example the topic of Isolated Workers is covered by the following statement; "Employees are not permitted to work alone or in isolated locations without the express permission from management. In all cases, adequate provision for communication in emergencies and regular supervision contact will be incorporated as part of the JSA". There is no JSA for Isolated Workers. In addition the guideline should be strengthened by stating that high risk tasks must not be performed, including the method and mode of communication and supervision requirements.

CAR's:

CAR-083/09 - All documents within the Safety Management System should be amended to include the date and version number until a full review can be accomplished. There was insufficient evidence to close this issue. And it remains Open.

To resolve this issue the following steps should be taken;

- Identify all current Redlion documentation
- Archive all non-active Redlion documentation
- Insert Headers and Footers including a document name, number and date to all current documents
- Schedule a review date for the documents.

You may find it easier to manage if you space your document reviews out over a period of time eg 2-3 per week or JSA's in Feb, Work Instructions in March,

Policies in Apr etc.

CAR-087/09 - Maintenance and testing records for lifting equipment, chains and slings were not available. AS 3775.2, Chain Slings - Care and Use, 9.2 requires that all lifting chains be periodically inspected and have a legible identification tag stating the maximum WLL. Some chains were tagged out of service during the current audit.

Issues raised at this audit:

NCR's:

NCR/2011/453 - Training is required in how to select, use and maintain PPE in accordance with OSH Regulations 1996, 5.21

NCR/2011/455 - A Hazard Register should be developed to show how hazards associated with every work activity have been identified and risks reduced as far as reasonably practicable as stated in the Redlion SMS Element 3.

CAR's:

CAR/2011/452 - A Training Needs Analysis is required to identifying what training is needed for the individual job positions at the company. This is a requirement of Redlion's Safety Management System – Element 6.

CAR/2011/454 – It was stated that meetings are conducted prior to the start of each school term. Apart from one meeting in Feb11, it could not be demonstrated that meetings or consultation with staff had taken place. Regular, documented meetings are required where safety related issues can be discussed and resolved.

CAR/2011/456 - There was no evidence to show that the workplace was periodically inspected to identify hazards. A Checklist for 23Mar11 was sighted but there have not been any recorded since that time. An inspection is now overdue.

CAR/2011/457 - It was noted that the testing intervals for some electrical equipment was not in line with Table 4 of As 3760. For example; extension cords should be tested at 6 monthly intervals and not 12 months as is the current practice.

CAR/2011/458 - The site diagram should include the Master Switch and Sub-Boards. It would also be clearer and easier to read if it was reproduced in colour.

CAR/2011/459 - The Site Diagram in the Emergency Manifest was not the current version and must be replaced.

CAR/2011/460 - A stand alone alcohol and other drugs policy is required. There is a paragraph ,(item 20), in the SMS and there is some good information included in the Workshop Induction Manual, however a policy, encompassing all workers, contractors and visitors, must be created.

CAR/2011/461 - Internal Audits are not performed or scheduled at this time. Element 8 of Redlion's SMS states that audits will be conducted. This will also address AS 4801 Element 4.5.4

Opportunities for Improvement:

An Equipment Maintenance Register and schedule was sighted and includes the calibration and maintenance records of equipment such as tension wrenches, floor jacks, axle stands, and plant etc, It was noted that the maintenance records for the Vehicle lifting hoist system were not included in the register.

The storage of hazardous chemicals and flammable goods requires attention. It was noted that there were flammable liquids stored on wooden shelving, eg 20 litre containers of Wurth Brake Cleaner. These types of products should be stored in flammable goods cabinets. Best practice would dictate that it would be acceptable for one 'in-use' container to be left out but there were multiple containers of the same product which is unnecessary and adds to the fire risk.

It was noted that old batteries were stored on unsealed ground. As they contain corrosive liquid they should be stored in a suitable bund to prevent leakage into the environment.

It was noted that old drums were discarded around the back of the workshop building. For environmental purposes, old containers should be stored with the same consideration as full ones.

There was a habit of using old sauce bottles in the workshop. These bottles must be correctly identified. It was pleasing to note that all other containers were correctly labelled.

It was noted that the tool rest for the workshop bench grinder required adjustment in order to prevent the tool or job being caught between the wheel and the tool rest.

NCR's raised: 2

NCR's re-issued: 1

CAR's raised: 8

CAR's re-issued: 2

Opportunities for Improvement: 6

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-1: General Requirements	The organisation shall establish and maintain an OHSMS.	An OSH Safety Management System dated 09/12/11 was provided as audit evidence. Some aspects of the SMS require further work and proof of implementation however any deficiencies will be addressed on an individual basis.
Element 4-2: OSH Policy	The organisation's OHS policy shall be authorised by the organisation's top management and clearly state the overall OHS responsibilities and objectives and demonstrates a commitment to improving OHS performance and compliance with relevant OHS legislation.	OSH Policy sighted dated 10/02/09. The policy was signed by top level management but should be reviewed. The policy was located in the Policies and Procedures Manual: 12.1 - Safety Management System. The policy was displayed in a prominent position of the Reception area and the Workshop Supervisor's office.
Element 4-3-1: Planning – Identification of Hazards, Hazard/Risk Assessment and Control of Hazards/Risks	The contractor shall establish, implement and maintain documented procedures for hazard identification, hazard/risk assessment control of activities.	The Bus Driver's Manual contains Incident and Hazard Report Forms, Pre-Start Checklists, Defect Sheets, etc. Deficiencies relating to the lack of a Depot Hazard Register, JSA's, and Work Instructions are discussed at 4.4.6.4.
Element 4-3-2: Legal and Other Requirements	How does the organisation keep itself aware of the applicable OSH legislation, regulations and other requirements so it can comply with these requirements, communicate them and incorporate these requirements into the OHSMS, procedures and instructions?	The Area Manager, Mr Khai Bui, is included in the Motor Trades Association mailing list, the WorkSafe WA mailing list and regularly receives the OSH Professionals newsletter. Shortcut links to Safetyline, Fleetsafe, Safety in Australia and Eye on Safety were noted on the computer. Networking with other local business such as The Esperance Port Authority and the Shire Council also occurs.
Element 4-3-3: Objectives and Targets	How are specific and measurable OSH objectives and targets set to give direction and impetus to the continual improvement of overall workplace health and safety?	OSH objectives and targets were not set at the commencement of the audit. An example checklist was provided that shows both lead and lag indicators such as LTI's, Toolbox Meetings and Workplace Inspections. Suitable objectives and targets were then set and presented for signing by management. These issues should be discussed and documented on at least an annual basis and reflect the statements within the OSH Policy.
Element 4-3-4: OHS Management Plans	The organisation shall systematically plan how it shall achieve its OHS policy and objectives by developing and implementing an ongoing OHS Improvement Plan. The Plan shall be aimed at improving all aspects of OHS in the workplace on the basis of continual improvement and state the person responsible and timeframe.	Evidence of Management decisions relating to safety planning exist by way of emails where the need for OSH Training such as First Aid and Forklift training and the purchase of portable scaffolding were discussed. There is no documented or formal improvement plan in place, however, long term plans that will improve workplace safety include; The proposed construction of a new workshop, The proposed wash bay including a drain and sump to collect waste from the washing process, (plans now submitted to council), The proposed construction of a workshop pit. These works are subject to funding. Previous issues that were identified include an upgrade of lighting within the workshop and the installation of a fence to eliminate the traffic flow to the adjacent business.

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-4-1-1: Structure and Responsibility - Resources	Describe how management shall identify and provide the resources required to implement, maintain, and improve their OHSMS.	Budget and training requirements are dealt with on an as needs basis through upper management.
Element 4-4-1-2: Responsibility and Accountability	The organisation shall define, document and communicate the areas of accountability and responsibility of all personnel involved in the operation of the OHSMS. The organisation shall appoint a specific representative who, irrespective of other duties, shall be responsible for implementation, maintenance, reporting and review of the OHSMS.	OSH Responsibilities are stated in the OSH Policy and Induction documentation. This was located in the Policies and Procedures Manual. Responsibilities are stated in the Job Descriptions for each position. JD for the Area Manager, Workshop Manager, Cleaner and Office Administrator were sighted. Other JD's are being developed.
Element 4-4-2: Training and Competency	Describe the steps which shall be taken to ensure that employees working at all levels in the organisation, including contractors and visitors, are appropriately trained and competent so they are aware of the hazards of the workplace, their OSH responsibilities and how to carry out their tasks safely.	<p>A Driver Induction and a Workshop Induction package were sighted. Induction Training records for a cleaner – A. Thomas were sighted dated 05/12/11. The records included a competency test.</p> <p>A register for training was located on the central drive and it is the responsibility of the Area Manager to maintain it. The Training Register also includes records for Port Access Security, Marine Security, Working with Children, First Aid and 'F' class licence and medical endorsements. It is planned to convert this spreadsheet to a File-Maker Pro program that will be capable of sending email notifications of due and overdue licenses and training. A Training Needs Analysis checklist was provided to assist with identifying what training is required for the individual job positions at the company. This has not been implemented despite being a requirement of Redlion's Safety Management System – Element 6. This issue is raised as CAR/2011/452.</p> <p>It was stated that new drivers were evaluated over a two week period. A journal entry for B. Andre was sighted 09Sep11. A driver Evaluation Checklist was provided at the last audit to document this process. This has not been implemented. A Driver Fatigue handbook – DPI Staying Alert at the Wheel has been provided to the drivers and is referenced in the induction process.</p> <p>Manual Handling Training conducted on 22/06/07. Guidance on this topic is also provided in the Workshop Induction package.</p> <p>First Aid training was conducted in Aug10.</p> <p>High Risk Licence – Forklift records were sighted for D. Revell dated 10/10/08.</p> <p>Training in the Emergency Response Procedure was carried out on 01/02/11.</p> <p>Training is required in how to select, use and maintain PPE in accordance with OSH Regulations 1996 reg 5.21. This issue is raised as NCR/2011/453.</p>

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-4-3-1: Consultation	Describe the process of OSH consultation between management and employees. Consultation with employees and obtaining their input is essential for developing improving workplace OSH and in achieving goals and objectives.	<p>Informal meetings are held on a daily basis prior to the bus runs. Due to the relatively small workforce an 'open door' policy exists between management and employees.</p> <p>It was stated that prior to commencement of the school term staff meetings are held to discuss issues such as route changes, driver changes etc. An example of this was a meeting conducted on 01/02/11 where Refuelling of Buses and the Pink Lake Railway Crossing were discussed. It could not be demonstrated that any other meetings or consultation with staff had taken place.</p> <p>Regular, documented meetings are required where safety related issues can be discussed and resolved.</p> <p>Suggested topics could include:</p> <ul style="list-style-type: none"> • <input type="checkbox"/> the flow of traffic and speed in the yard, • <input type="checkbox"/> Housekeeping and Workplace inspections, • <input type="checkbox"/> Safety Documentation, and • <input type="checkbox"/> Hazard & Near Miss Reporting. <p>This issue is raised as CAR/2011/454.</p>
Element 4-4-3-2: Communication	Describe the way in which appropriate OSH information and data shall be disseminated and made available to employees, contractors, visitors and other interested parties.	<p>It was stated that communication is achieved through conveying messages to staff via individual pigeon holes or general notices to staff on the noticeboard.</p> <p>Examples of this are the reminders for the First Aid training and a Red Lion Safety Reminder – General Duty of Care dated Sep11.</p> <p>The Red Lion Roar newsletter is also distributed periodically and discusses issues such as Blood Alcohol Levels for drivers, the speed limit in the yard and checking bus lights for serviceability prior to leaving the yard. Sep11 & Dec11 issues sighted.</p>
Element 4-4-3-3: Reporting	Appropriate procedures for relevant and timely reporting of information shall be established to ensure the OHSMS is monitored and performance improved.	<p>The requirement to report safety related issues is covered in the induction process and is documented in the Driver's Manual and the Workshop Induction Manual. There are also reminders in several of the Red Lion Roar newsletters.</p> <p>The Driver's Manual includes Hazard Report forms, Incident Report forms, Student Behaviour forms etc.</p> <p>Examples of reports for workplace injuries, accident reports and an OSH2 Report form, (PTA), were sighted.</p>
Element 4-4-4: Documentation	The organisation shall establish, implement and maintain information to (a) describe the core elements of the management system and (b) provide direction to related documents.	<p>The Policies and Procedures Manual contains the organisation's operating procedures and is maintained by the Area Manager.</p> <p>Deficiencies relating to document and data control are noted below in 4.4.5.</p>
Element 4-4-5: Document and Data Control	<p>The organisation shall establish, implement and maintain procedures for controlling all relevant documents and data to ensure that:</p> <ul style="list-style-type: none"> • They can be readily located • They are periodically reviewed • Obsolete documents are removed from all points of issue and use • Documents are dated version controlled 	<p>A Document Register is held in the Administration Office and contains the Master copies of all documents. The Master copies are taken from the central drive so that only current versions are reproduced.</p> <p>New documents and forms are submitted for comment prior to final issue. Many documents and forms are not date or version controlled.</p> <p>All documents within the Safety Management System should be amended to include the date</p>

AS/NZS 4801:2001

ELEMENT DESCRIPTION

DEPOT - ESPERANCE REGIONAL

and version number until a full review can be accomplished. This was raised as CAR-083/09 at the previous audits but there was insufficient evidence to address the issue and it remains open.

To resolve this issue the following steps should be taken;

- Identify all current Redlion documentation
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You may find it easier to manage if you space your document reviews out over a period of time eg 2-3 per week or JSA's in Feb, Work Instructions in March, Policies in Apr etc.

Element 4-4-6-1:
Hazard Identification, Risk
Assessment Control of
Risks – General

Have documented procedures been established, implemented and maintained to ensure that:

- Hazards are identified
- Risks are assessed
- Risks are controlled
- The above steps are evaluated

It was stated that hazards and risks are identified and controlled by reviewing workplace inspections, accident investigations and hazard and near miss reports.

Element 3 of the Redlion SMS states that; "Every work activity must be assessed to ensure that any associated Risks or Hazards are identified and controls nominated." There was no evidence to support this statement.

OSH Regulations 1996, r3.1 states;

A person who, at a workplace, is an employer, the main contractor, a self employed person, a person having control of the workplace or a person having control of access to the workplace must, as far as practicable —

- (a) identify each hazard to which a person at the workplace is likely to be exposed; and
- (b) assess the risk of injury or harm to a person resulting from each hazard, if any, identified under paragraph (a); and
- (c) consider the means by which the risk may be reduced.

In previous audits it has been recommended that a Hazard Register should be developed to show how the hazards associated with every work activity have been identified and risks reduced as far as reasonably practicable as stated in the Redlion SMS Element 3. An example Hazard Register has been provided. This issue is raised as NCR/2011/455.

Element 4-4-6-2:
Hazard Identification

The Hazard Identification, Risk Assessment and Control procedure shall take into account all activities, tasks and work processes which have the potential to cause death, significant injury, ill-health, damage or disruption. The process should consider:

- Past injuries or illness
- The way work is organised and managed
- The design of workplaces, processes, materials, plant and equipment
- The handling and disposal of materials, plant and equipment
- The purchasing of goods and services
- Contractor OSH management
- The inspection, maintenance and calibration of plant and equipment

Awareness of Hazard Identification and Reporting is conducted in-house during the induction training. Hazard Report Forms are available in the Driver's Manual.

Hazards are being reported but the majority are being reported verbally. A documented report offers the advantage of identifying trends and repeat occurrences and records the progress of corrective actions. It can also be used as a positive KPI to show how many hazards are reported and closed within a certain timeframe.

There was no evidence to show that the workplace was periodically inspected to identify hazards. A Checklist for 23Mar11 was sighted but there have not been any recorded since that time. An inspection is now overdue. This issue is raised as CAR/2011/456.

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-4-6-3: Hazard / Risk Assessment	All risks associated with each identified hazard shall be assessed and controlled priorities assigned. Risk Assessments shall be prepared in consultation with the managers, supervisors and employees engaged in, or having knowledge of, the identified tasks based on the established level of risk.	As highlighted in 4.4.6.1; there was very little evidence presented to show that hazards and risks are formally assessed. The completion of a Depot Hazard register will go some way to addressing this issue. Deficiencies in this area will be addressed through the NCR & CAR raised from 4.4.6.1 and 4.4.6.2.
Element 4-4-6-4: Control of Hazards / Risks	All risks, identified through the assessment process, shall be controlled through a preferred order of control methods, (hierarchy of control), based on reasonable practicability. Copies of JSA's shall be made available to personnel carrying out the work. Personnel who undertake identified tasks shall be trained in the appropriate JSA/OP's. Copies of JSA/OP's shall be held by the Location Supervisors responsible for managing the identified tasks.	<p>There were an insufficient number of JSA's and very few work instructions to direct staff on the safe method of performing tasks within the workshop. Examples of where JSA's and written procedures are required include working on the roof of the bus, needle stick injuries, working alone procedure etc. This issue was raised at the previous audit as NCR-057/09 and has yet to be fully addressed. Some progress has been made as there were 10 JSA's listed and some general instructions included in the Workshop Induction Manual. These guidelines are not comprehensive enough to enable the NCR to be closed. For example the topic of Isolated Workers is covered by the following statement; "Employees are not permitted to work alone or in isolated locations without the express permission from management. In all cases, adequate provision for communication in emergencies and regular supervision contact will be incorporated as part of the JSA". There is no JSA for Isolated Workers. In addition the guideline should be strengthened by stating that high risk tasks must not be performed, including the method and mode of communication and supervision requirements.</p> <p>A Visitors and Contractors Register was created at the time of the audit including a set of Site Rules to be signed and acknowledged prior to entering the workshop or yard.</p> <p>An MSDS register was sighted and is controlled by an on-line database. 136 Chemicals have been listed and Hazchem Risk Assessments are continuing to be performed. The database and program for MSDS and Chemical Substances is first class. Example – Digger's Mineral Turpentine dated 01/05/07.</p> <p>An Equipment Maintenance Register and schedule was sighted and includes the calibration and maintenance records of equipment such as tension wrenches, floor jacks, axle stands, and plant etc, Example – Axle Stands were checked on 19/11/11. It was noted that the maintenance records for the Vehicle lifting hoist system were not included in the register. Maintenance and testing records for lifting equipment, chains and slings were not available. AS 3775.2, Chain Slings - Care and Use, 9.2 requires that all lifting chains be periodically inspected and have a legible identification tag stating the maximum WLL. This issue was previously raised as CAR87/09 and has not been addressed although some chains had been tagged out at the time of the audit.</p> <p>Electrical testing of portable equipment was carried out on 05/12/11. It was noted that the testing intervals for some electrical equipment was not in line with Table 4 of As 3760. For example; extension cords should be tested at 6 monthly intervals and not 12 months as is</p>

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-4-6-5: Evaluation	The process of hazard identification, hazard risk assessment and control of hazards / risks shall be subjected to a documented evaluation of effectiveness and modified as necessary.	<p>the current practice. This issue is raised as CAR/2011/457. Records were sighted for tyre replacement on bus M90 dated 22/03/11 and wheel re-torqued on 23/03/11. Records for the calibration of the torque wrench were dated 01/07/11 for S/N 44/86. The eye-wash station was serviced on 05/12/11. A Pre-start Checklist for the forklift was in use, (09/12/11). Maintenance had been carried out and the operators were appropriately licensed.</p>
Element 4-4-7: Emergency Preparedness and Response	Describe the steps which shall be taken to establish and maintain plans and documented procedures to identify the potential for, and the responses to, emergency situations. Is emergency response equipment periodically checked? (First Aid Kits, Extinguishers, Etc) Are the emergency procedures tested periodically?	<p>An Emergency Evacuation Procedure is in place and the site diagram is displayed in the Administration building and Workshop Supervisor's office. The site diagram should also include the Master Switch and Sub-Boards. It would also be clearer and easier to read if it was reproduced in colour. This issue is raised as CAR/2011/458.</p> <p>The Emergency manifest was in place and includes information regarding the contact details of company representatives and neighbouring businesses. The Site Diagram was not the current version and must be replaced. This issue is raised as CAR/2011/459.</p> <p>Records of Evacuation Tests sighted for 29Jul11.</p> <p>The checking of fire extinguishers on site is performed by an external company. Records for testing were dated Jun11 and recent correspondence shows that testing will be carried out in Dec11.</p> <p>First Aid Kits in the workshop and administration building were well stocked. The kits were last checked in Mar11.</p> <p>Operational Emergency Procedures are included in the Driver's Manual.</p> <p>Spill Kits were available in the Workshop and in the Breakdown Vehicle.</p>
Element 4-5-1: Monitoring and Measurement	Describe how OSH performance shall be monitored and measured so that progress towards targets and objectives is achieved.	Not assessed at this audit.
Element 4-5-1-2: Health surveillance	The organisation shall identify those situations where employee health surveillance is required and shall implement appropriate systems. Pre-employment medical checks, Health assessments upon licence renewal, etc.	<p>The drivers comply with the health checks required when renewing their driver's licence. The licences and endorsements must be sighted by management at every renewal. A Staff training spread sheet on the database contains the relevant licence information. Staff licence renewal call-out list for Dec11 sighted. An email notification of licenses due for</p>

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
		<p>renewal is also sent from the File Manager Pro system.</p> <p>Random breath tests are conducted periodically. Records for testing dated 27/10/10 and 11/08/11 were also sighted.</p> <p>A stand alone alcohol and other drugs policy is required. There is a paragraph ,(item 20), in the SMS and there is some good information included in the Workshop Induction Manual, however a policy, encompassing all workers, contractors and visitors, must be created. This issue is raised as CAR/2011/460.</p> <p>It is recommended that pre-employment medical checks include an audiogram to determine a baseline hearing level.</p>
Element 4-5-2: Incident Investigation, Corrective and Preventive Action	Describe how hazards, near misses, non-conformances and system failures shall be investigated and reported and how corrective and preventive action shall be undertaken and reviewed.	<p>A Vehicle Accident Report was sighted for a collision with a car dated 30/09/11. This form is used for major incidents / accidents. The incident was investigated and closed on 08/10/11.</p> <p>An example of a Minor Accident Report, form 1.5, was sighted dated 29/11/11 for a bus hitting a mirror. The incident was investigated and signed off on 29/11/11.</p> <p>An Injury / First Aid Form sighted -- entry dated 02/09/11 for a person walking into an open inspection door on a bus.</p> <p>Some hazards relating to shire works are reported via email, - records sighted.</p>
Element 4-5-3: Records and Records Management	Describe how the archiving, storage, retrieval and disposal of OSH records and audit reports shall be carried out. Are personal employee records appropriately secured from unauthorised access?	Personal / confidential files are stored in a locked cabinet. Electronic files are password protected.
Element 4-5-4: OHSMS Audit	Describe how and when this OHSMS shall be audited to determine whether it complies with AS 4801 has been properly implemented and maintained, and is effective in meeting the requirements of the organisation's policy, objectives and targets for continual improvement. Is the audit program based on the OHS risk and the results of previous audits considered?	<p>An MTA audit was conducted in line with the WorkSafe Plan on 12/08/09.</p> <p>Internal Audits are not performed or scheduled at this time. Element 8 of Redlion's SMS states that audits will be conducted. This will also address AS 4801 Element 4.5.4</p> <p>This issue is raised as CAR/2011/461.</p>
Element 4-6: Management Review	Detail how the OHSMS shall be reviewed by top management to demonstrate continual improvement and to assess whether it is being fully implemented, and its continuing suitability, adequacy and effectiveness to achieve the organisation's OSH policy and stated objectives.	Not assessed at this audit.

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Observation from Site Inspection	<p>The site inspection proved that the depot was well laid out and functional. Appropriate controls for vehicle and pedestrian movements were in place with entry and exit gates marked and speed limit sign posted. Direction of travel is discussed regularly at staff meetings and in the newsletter.</p> <p>Opportunities for Improvement:</p> <p>The storage of hazardous chemicals and flammable goods requires attention. It was noted that there were flammable liquids stored on wooden shelving, eg 20 litre containers of Wurth Brake Cleaner. These types of products should be stored in flammable goods cabinets. Best practice would dictate that it would be acceptable for one 'in-use' container to be left out but there were multiple containers of the same product which is unnecessary and adds to the fire risk.</p> <p>It was noted that old batteries were stored on unsealed ground. As they contain corrosive liquid they should be stored in a suitable bund to prevent leakage into the environment.</p> <p>It was noted that old drums were discarded around the back of the workshop building. For environmental purposes, old containers should be stored with the same consideration as full ones.</p> <p>There was a habit of using old sauce bottles in the workshop. These bottles must be correctly identified. It was pleasing to note that all other containers were correctly labelled.</p> <p>It was noted that the tool rest for the workshop bench grinder required adjustment in order to prevent the tool or job being caught between the wheel and the tool rest.</p>	



OS&H MANAGEMENT SYSTEM AUDIT REPORT

AUDITED ORGANISATION/BRANCH:	Redlion Bus & Coach - Esperance Regional	AUDIT REPORT NO:	CP/S/2013/179
ADDRESS:	86 Norseman Rd, ESPERANCE	FILE REFERENCE NO:	PTA 3137/11/1
CONTACT NAME	K. Bui	DATE OF AUDIT	12/03/2013
AUDITOR:	Kieran Kilgallon	PAGE:	1 of 11
SCOPE OF AUDIT	To review the company's OS&H Management Plan and perform a Site Inspection for compliance with relevant legislation such as OS&H Act 1984 and OS&H Regulations 1996		

SUMMARY OF AUDIT:

The compliance audit consisted of a series of questions based on the scope of AS 4801 – OS&H Management Systems and a site inspection to verify the implementation of the stated response to those questions.

In addition to the issues raised at this audit the previous visit identified some issues which have not been adequately addressed:
NCR's:

NCR/2011/455 - A Hazard Register should be developed to show how hazards associated with every work activity have been identified and risks reduced as far as reasonably practicable as stated in the Redlion SMS Element 3.
PTA – Examples of a Hazard Register have previously been provided.

NCR/2013/525 - An MSDS register was sighted and is controlled by an on-line database. 136 Chemicals have been listed and however the Hazchem Risk Assessments had not been performed. OSH Reg's 1996, r5.15 states that an assessment must be made of the risk or harm occurring to a person exposed to hazardous chemicals.

NCR/2013/526 - The database and program for MSDS and Chemical Substances is first class however workshop staff did not know how to access the folder in the file maker pro database to access the information. All staff who come into contact with hazardous chemicals must be made aware of the location of the relevant MSDS and associated Risk Assessments.

NCR/2013/528 - It was noted that the forklift was not equipped with a manufacturer's instruction manual as required by OSH Regulations 1996, 4.55, 2(b).

CAR's:

CAR/2011/452 - A Training Needs Analysis is required to identifying what training is needed for the individual job positions at the company. This is a requirement of Redlion's Safety Management System – Element 6.

PTA - The submitted training analysis and training plan did not encompass all workgroups or activities and predominantly consisted of driver's licenses, WWC

licenses and First Aid.

CAR/2011/460 - A stand alone alcohol and other drugs policy is required. There is a paragraph ,(item 20), in the SMS and there is some good information included in the Workshop Induction Manual, however a policy, encompassing all workers, contractors and visitors, must be created.
PTA – Example provided in the SBS SMS.

CAR/2011/461 - Internal Audits are not performed or scheduled at this time. Element 8 of Redlion's SMS states that audits will be conducted. This will also address AS 4801 Element 4.5.4. – Open.

CAR/2013/522 - Evidence of suitable OSH objectives and targets could not be demonstrated.

CAR/2013/523 - Training in an Emergency Response Procedure has not been carried out and the topic is not discussed as part of the Induction Package or Procedure 14.3. There is no procedure that describes the responsibilities and actions of an Emergency Control Organisation eg Chief Warden. A procedure should be created and exercised for evaluation.

CAR/2013/524 - There was very little evidence presented to show that risks are formally assessed and a Risk Matrix using Consequence and Likelihood values was not in use. It is recommended that the risk control process from the SBS SMS be adapted for use.

CAR/2013/527 - Calibration records for the torque wrench S/N 01/92 were sighted dated 01/07/10. It is thought that two years would be a reasonable timeframe for recalibration given the frequency of usage. The torque wrench is therefore overdue for calibration.

CAR/2013/529 - The site diagram in the Emergency Plan should be updated to include the workshop and wash facility.

CAR/2013/530 - The Emergency Plan, document 12.2 should be improved to include steps for raising the alarm and list responsibilities.

CAR/2013/531 - There were no records of Evacuation Drills. A schedule was sighted for Jul12 & Jan13 but no drills were performed.

CAR/2013/532 – It was noted that the Hydraulic Press in the Boiler Room was not bolted to the floor.

CAR/2013/533 – Access to the fire extinguisher in the boiler room was blocked.

Opportunities for Improvement:

O-01 - A Gap Analysis should be performed to identify potential improvements between the existing Redlion documentation and the examples provided in the SBS SMS.

O-02 - The OSH policy dated 10/02/09, was appropriate for the business but was not signed by top level management and should be reviewed every 2 years.

O-03 - It was noted that Bus TP-1769 had an incomplete Driver's Manual.

O-04 - There is no set format or documented process for evaluating driver competency. A driver Evaluation / Competency Checklist was provided at previous audits to document this process. This has not been implemented.

O-05 - Some documents and forms are not date or version controlled eg the Workshop Inspection Checklist, Daily Inspection Sheet.

O-06 - Some reported hazards were signed off as closed after the hazard had been referred to another agency even though the hazard still exists. For example emails had been sent to the relevant school and the shire for a hazard and then the issue was closed leaving no provision for follow-up or review.

O-07 - Regular, documented workplace inspections are required to be performed.

O-08 – It is recommended that more JSA's and Safe Work Procedures be developed for other tasks including the tyre fitting process.

O-09 - A Visitors and Contractors Register was created at the time of the previous audit but was not in regular use. For example no contractors from the recent building and construction of the new workshop and facilities had been inducted or used the Visitors Register.

O-10 - As soon as practicable a workplace signage audit should be conducted to identify locations where signage should be fitted eg; No entrance to workshop etc.

O-11 - Access to the Eye Wash Station in the workshop was blocked and the water storage unit was empty.

Note: When the new pallet racking is installed in the 'boiler room' it must be bolted to the floor and have the SWL displayed.

NCR's raised: 3

NCR's re-issued: 1

CAR's raised: 9

CAR's re-issued: 3

Opportunities for Improvement: 11

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-1: General Requirements	The organisation shall establish and maintain an OHSMS.	A Policies and Procedures Manual dated, 12/04/12, contains documents relating to all aspects of the business. A Gap Analysis should be performed to identify potential improvements between the existing Redlion documentation and the examples provided in the SBS SMS. This issue is raised as Opportunity for Improvement O-01.
Element 4-2: OSH Policy	The organisation's OHS policy shall be authorised by the organisation's top management and clearly state the overall OHS responsibilities and objectives and demonstrates a commitment to improving OHS performance and compliance with relevant OHS legislation.	The OSH Policy, dated 10/02/09, was appropriate for the business but was not signed by top level management and should be reviewed every 2 years. This issue is raised as Opportunity for Improvement O-02. The policy was located in the Policies and Procedures Manual: 12.1 - Safety Management System. The policy was displayed in a prominent position of the Reception area.
Element 4-3-1: Planning – Identification of Hazards, Hazard/Risk Assessment and Control of Hazards/Risks	The contractor shall establish, implement and maintain documented procedures for hazard identification, hazard/risk assessment control of activities.	The Bus Driver's Manual contains Incident and Injury Report Forms, Pre-Start Checklists, Defect Sheets, etc. Deficiencies relating to the lack of a Depot Hazard Register, JSA's, and Work Instructions are discussed at 4.4.6.4. It was noted that Bus TP-1769 had an incomplete Driver's Manual. This issue is raised as Opportunity for Improvement O-03
Element 4-3-2: Legal and Other Requirements	How does the organisation keep itself aware of the applicable OSH legislation, regulations and other requirements so it can comply with these requirements, communicate them and incorporate these requirements into the OHSMS, procedures and instructions?	The Area Manager, Mr Khai Bui, is included in the Motor Trades Association mailing list, the WorkSafe WA mailing list and regularly receives the OSH Professionals newsletter. Shortcut links to Safetyline, Fleetsafe, Safety in Australia and Eye on Safety were noted on the computer. Networking with other local business such as The Esperance Port Authority and the Shire Council also occurs.
Element 4-3-3: Objectives and Targets	How are specific and measurable OSH objectives and targets set to give direction and impetus to the continual improvement of overall workplace health and safety?	OSH objectives and targets were not demonstrated. An example checklist was provided at the previous audit that shows both lead and lag indicators such as LTI's, Toolbox Meetings and Workplace Inspections. The OSH Policy states "Efficiency with zero harm." How is this monitored and measured? These objectives and targets should be discussed and documented on at least an annual basis to reflect the statements made within the OSH Policy. Evidence of suitable OSH objectives and targets could not be demonstrated. This issue is raised as CAR/2013/522.
Element 4-3-4: OHS Management Plans	The organisation shall systematically plan how it shall achieve its OHS policy and objectives by developing and implementing an ongoing OHS Improvement Plan. The Plan shall be aimed at improving all aspects of OHS in the workplace on the basis of continual improvement and state the person responsible and timeframe.	Evidence of Management decisions relating to safety planning exist by way of emails where the need for OSH Training such as First Aid and Forklift training were discussed. There is no documented or formal improvement plan in place, however, improvements to the depot include; The construction of a new workshop with improved lighting and facilities, The construction of a wash bay including a drain and sump to collect waste from the washing process.

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-4-1-1: Structure and Responsibility - Resources	Describe how management shall identify and provide the resources required to implement, maintain, and improve their OHSMS.	Budget and training requirements are dealt with on an as needs basis through upper management.
Element 4-4-1-2: Responsibility and Accountability	The organisation shall define, document and communicate the areas of accountability and responsibility of all personnel involved in the operation of the OHSMS. The organisation shall appoint a specific representative who, irrespective of other duties, shall be responsible for implementation, maintenance, reporting and review of the OHSMS.	OSH Responsibilities are stated in the OSH Policy and Induction documentation. This was located in the Policies and Procedures Manual. Responsibilities are stated in the Job Descriptions for each position. JD for the Area Manager, Workshop Manager, Cleaner and Office Administrator were sighted. The JD for the Workshop Manager, dated 30Jun11, includes responsibilities for monitoring safety standards, upholding safety requirements and building a safe working environment.
Element 4-4-2: Training and Competency	Describe the steps which shall be taken to ensure that employees working at all levels in the organisation, including contractors and visitors, are appropriately trained and competent so they are aware of the hazards of the workplace, their OSH responsibilities and how to carry out their tasks safely.	<p>A Driver Induction and a Workshop Induction package were sighted. Induction Training records for a cleaner – A. Thomas were sighted dated 05/12/11. The records included a competency test.</p> <p>A register for training was located on the central drive and it is the responsibility of the Area Manager to maintain it. The Training Register also includes records for Port Access Security, Marine Security, Working with Children, First Aid and 'F' class licence and medical endorsements. The File-Maker Pro program sends email notifications of due and overdue licenses and training on a weekly basis. Email showing J. Fasanini First Aid expiry on 01/-4/13 sighted. Course booked for 12/04/13.</p> <p>Weekly Driver's Licence checks are carried out against the DoT Website – email sighted for 27/02/13.</p> <p>A Training Needs Analysis checklist was provided to assist with identifying what training is required for the individual job positions at the company. This has not been implemented despite being a requirement of Redlion's Safety Management System – Element 6. The submission by Redlion did not adequately address all workgroups and activities. This issue is raised at the previous audit as CAR/2011/452 and remains open.</p> <p>It was stated that new drivers were evaluated over a two week period. A journal entry for S. Maddock was sighted 28May12. There is no set format or documented process for this evaluation. A driver Evaluation / Competency Checklist was provided at previous audits to document this process. This has not been implemented. This issue is raised as Opportunity for Improvement O-04.</p> <p>Training in handling of chemicals was conducted during the 2012 Term2 Briefing on 02/05/12. First Aid training was conducted for a group of 6 on 21/11/12. Records for C. Boland sighted.</p> <p>High Risk Licence – Forklift records were sighted for J Biar – expires 21/11/13</p> <p>The Employee Induction Package includes information relating to; a) <input type="checkbox"/> Manual Handling Training,</p>

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
		<p>b) <input type="checkbox"/> Student Behaviour Management including SBS video – records for D. Taplin – 06/02/13, c) <input type="checkbox"/> Red Lion Roar Jan13 – Company Newsletter – signed by J. Butler – 04/02/13, d) <input type="checkbox"/> Procedure 14.1 – Instructions to School Bus Drivers – signed by W. Harvey – 12/11/12, e) <input type="checkbox"/> Procedure 14.2 – Instructions for Regular Public Transport Drivers signed by W. Harvey – 12/11/12, f) <input type="checkbox"/> Safety Bulletin – SBS 01/11 – Entering Railway Crossings, g) <input type="checkbox"/> DPI Staying Alert at the Wheel – Driver Fatigue Handbook</p> <p>Training in an Emergency Response Procedure has not been carried out and the topic is not discussed as part of the Induction Package or Procedure 14.3. There is no procedure that describes the responsibilities and actions of an Emergency Control Organisation eg Chief Warden. A procedure should be created and exercised for evaluation. This issue is raised as CAR/2013/523.</p>
Element 4-4-3-1: Consultation	Describe the process of OSH consultation between management and employees. Consultation with employees and obtaining their input is essential for developing improving workplace OSH and in achieving goals and objectives.	<p>Informal meetings are held on a daily basis prior to the bus runs. Due to the relatively small workforce an 'open door' policy exists between management and employees.</p> <p>It was stated that prior to commencement of the school term staff meetings are held to discuss issues such as route changes, driver changes etc. An example of this was a meeting conducted on 04/02/13 where checking the bus for students, washing buses, New SBS forms for students and radio frequencies were discussed.</p>
Element 4-4-3-2: Communication	Describe the way in which appropriate OSH information and data shall be disseminated and made available to employees, contractors, visitors and other interested parties.	<p>It was stated that communication is achieved through conveying messages to staff via text message, email, leaving notes in individual pigeon holes or general notices to staff on the noticeboard.</p> <p>Examples of this are the reminders for the speed limit changes and road works.</p> <p>The Red Lion Roar newsletter is also distributed periodically. The recent issues of Nov12 and Jan13 discussed issues such as SBS Student List update, the Student Behaviour DVD and the requirement to report driving offences and changes to medical conditions.</p>
Element 4-4-3-3: Reporting	Appropriate procedures for relevant and timely reporting of information shall be established to ensure the OHSMS is monitored and performance improved.	<p>The requirement to report safety related issues is covered in the induction process and is documented in the Driver's Manual and the Workshop Induction Manual. There are also reminders in several of the Red Lion Roar newsletters.</p> <p>The Driver's Manual includes Hazard Report forms, Incident Report forms, Student Behaviour forms etc.</p> <p>Examples of reports for workplace injuries, accident reports and an OSH2 Report form, (PTA), were sighted.</p>
Element 4-4-4: Documentation	The organisation shall establish, implement and maintain information to (a) describe the core elements of the management system and (b) provide direction to related documents.	The Policies and Procedures Manual contains the organisation's operating procedures and is maintained by the Area Manager.

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-4-5: Document and Data Control	<p>The organisation shall establish, implement and maintain procedures for controlling all relevant documents and data to ensure that:</p> <ul style="list-style-type: none"> • They can be readily located • They are periodically reviewed • Obsolete documents are removed from all points of issue and use • Documents are dated version controlled 	<p>A Document Register is held in the Administration Office and contains the Master copies of all documents. The Master copies are taken from the central drive so that only current versions are reproduced.</p> <p>New documents and forms are submitted for comment prior to final issue. Some documents and forms are not date or version controlled eg the Workshop Inspection Checklist, Daily Inspection Sheet. It was stated that after the gap analysis of the SBS SMS is completed that the documents would all be formatted. This issue is raised as Opportunity for Improvement O-05</p>
Element 4-4-6-1: Hazard Identification, Risk Assessment Control of Risks – General	<p>Have documented procedures been established, implemented and maintained to ensure that:</p> <ul style="list-style-type: none"> • Hazards are identified • Risks are assessed • Risks are controlled • The above steps are evaluated 	<p>It was stated that hazards and risks are identified and controlled by reviewing workplace inspections, accident investigations and hazard and near miss reports.</p> <p>The Driver’s Manual contains; a Pre-start Checklist including a Fatigue Management sheet, Fuel, Tyre replacement and Fault Card, contact details of Schools, Hospitals, and Managers, the Code of Conduct from SBS, Emergency Incident Response, Incident report and Injury / First Aid form.</p> <p>Element 3 of the Redlion SMS states that; “Every work activity must be assessed to ensure that any associated Risks or Hazards are identified and controls nominated.” There was no evidence to support this statement.</p> <p>OSH Regulations 1996, r3.1 states; A person who, at a workplace, is an employer, the main contractor, a self employed person, a person having control of the workplace or a person having control of access to the workplace must, as far as practicable —</p> <ul style="list-style-type: none"> <input type="checkbox"/> (a) identify each hazard to which a person at the workplace is likely to be exposed; and <input type="checkbox"/> (b) assess the risk of injury or harm to a person resulting from each hazard, if any, identified under paragraph (a); and <input type="checkbox"/> (c) consider the means by which the risk may be reduced. <p>In previous audits it has been recommended that a Hazard Register should be developed to show how the hazards associated with every work activity have been identified and risks reduced as far as reasonably practicable as stated in the Redlion SMS Element 3. An example Hazard Register has been provided. This issue was previously raised as NCR/2011/455 and remains open.</p> <p>It was noted that some reported hazards were signed off as closed after the hazard had been referred to another agency even though the hazard still exists. For example emails had been sent to the relevant school and the shire for a hazard and then the issue was closed leaving no provision for follow-up or review. This issue is raised as Opportunity for Improvement O-06.</p>

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-4-6-2: Hazard Identification	<p>The Hazard Identification, Risk Assessment and Control procedure shall take into account all activities, tasks and work processes which have the potential to cause death, significant injury, ill-health, damage or disruption. The process should consider:</p> <ul style="list-style-type: none"> • Past injuries or illness • The way work is organised and managed • The design of workplaces, processes, materials, plant and equipment • The handling and disposal of materials, plant and equipment • The purchasing of goods and services • Contractor OSH management • The inspection, maintenance and calibration of plant and equipment 	<p>Awareness of Hazard Identification and Reporting is conducted in-house during the induction training. Hazard Report Forms are available in the Driver's Manual but workshop staff do not seem to have direct access to the form. Hazards are being reported but the majority are being reported verbally. A documented report offers the advantage of identifying trends and repeat occurrences and records the progress of corrective actions. It can also be used as a positive KPI to show how many hazards are reported and closed within a certain timeframe. A hazard was identified by the Operations Manager relating to RCD Testing in the workshop however it was not recorded on a Hazard Report Form but just on a blank sheet of paper.</p> <p>There was no evidence to show that the workplace was regularly inspected to identify hazards. A monthly reminder was shown in the Area Manager's email system however the inspections were not performed. It was stated that the workplace was inspected in early Feb but the corrective actions had not yet been typed up and a checklist had not been used during the inspection. A Checklist for 14Feb12 & 01Mar12 were sighted at which time CAR/2011/456 was signed off. The issue of performing regular, documented workplace inspections is raised as Opportunity for Improvement O-07.</p>
Element 4-4-6-3: Hazard / Risk Assessment	<p>All risks associated with each identified hazard shall be assessed and controlled priorities assigned. Risk Assessments shall be prepared in consultation with the managers, supervisors and employees engaged in, or having knowledge of, the identified tasks based on the established level of risk.</p>	<p>As highlighted in 4.4.6.1; there was very little evidence presented to show that hazards and risks are formally assessed and a Risk Matrix using Consequence and Likelihood values was not in use. It is recommended that the risk control process from the SBS SMS be adapted for use. This issue is raised as CAR/2013/524.</p> <p>The completion of a Depot Hazard register will go some way to addressing this issue. Deficiencies in this area will be addressed through the NCR & the Opportunity for Improvement raised from 4.4.6.1 and 4.4.6.2.</p>
Element 4-4-6-4: Control of Hazards / Risks	<p>All risks, identified through the assessment process, shall be controlled through a preferred order of control methods, (hierarchy of control), based on reasonable practicability. Copies of JSA's shall be made available to personnel carrying out the work. Personnel who undertake identified tasks shall be trained in the appropriate JSA/OP's. Copies of JSA/OP's shall be held by the Location Supervisors responsible for managing the identified tasks.</p>	<p>There were some JSA's but very few work instructions to direct staff on the safe method of performing tasks within the workshop. Some progress has been made as there were 10 JSA's listed and some general instructions included in the Workshop Induction Manual. More JSA's including one for Isolated Workers and Needle stick injuries was carried out during the audit. It is recommended that more JSA's and Safe Work Procedures be developed for other tasks including the tyre fitting process. This issue is raised as Opportunity for Improvement O-08.</p> <p>A Visitors and Contractors Register was created at the time of the previous audit but was not in regular use. For example no contractors from the recent building and construction of the new workshop and facilities had been inducted or used the Visitors Register. This issue is raised as Opportunity for Improvement O-09.</p> <p>An MSDS register was sighted and is controlled by an on-line database. 136 Chemicals have been listed and however the Hazchem Risk Assessments had not been performed. OSH Reg's 1996, r5.15 states that an assessment must be made of the risk or harm occurring to a person exposed to hazardous chemicals. This issue is raised as NCR/2013/525.</p>

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The database and program for MSDS and Chemical Substances is first class however workshop staff did not know how to access the folder in the file maker pro database to access the information.
 All staff who come into contact with hazardous chemicals must be made aware of the location of the relevant MSDS and associated Risk Assessments. This issue is raised as NCR/2013/526.

An Equipment Maintenance Register and schedule was sighted and includes the calibration and maintenance records of equipment such as tension wrenches, floor jacks, axle stands, and plant etc, Example – Chassis Stands were checked on 03/09/12.
 It was noted that the maintenance records for the Vehicle lifting hoist system were not included in the register.
 Maintenance and testing records for lifting equipment, chains and slings were checked. Vehicle Hoists checked on 09/10/12.
 Calibration records for the torque wrench S/N 01/92 were sighted dated 01/07/10. It is thought that two years would be a reasonable timeframe for recalibration given the frequency of usage. The torque wrench is therefore overdue for calibration. This issue is raised as CAR/2013/527.

Electrical testing of portable equipment was carried out on 06/03/13.

A Pre-start Checklist for the forklift was in use. Maintenance had been carried out and the operators were appropriately licensed. It was noted that the forklift was not equipped with a manufacturer’s instruction manual as required by OSH Regulations 1996, 4.55, 2(b). This issue is raised as NCR/2013/528.

Element 4-4-6-5: Evaluation
 The process of hazard identification, hazard risk assessment and control of hazards / risks shall be subjected to a documented evaluation of effectiveness and modified as necessary.

Not assessed at this audit

Element 4-4-7: Emergency Preparedness and Response
 Describe the steps which shall be taken to establish and maintain plans and documented procedures to identify the potential for, and the responses to, emergency situations. Is emergency response equipment periodically checked? (First Aid Kits, Extinguishers, Etc)
 Are the emergency procedures tested periodically?

An Emergency Evacuation Procedure is in place and the site diagram is displayed in the Administration building. The site diagram should be updated to include the workshop and wash facility. This issue is raised as CAR/2013/529.
 The Emergency manifest was in place and includes information regarding the contact details of company representatives and neighbouring businesses.
 The Emergency Plan, document 12.2 should be improved to include steps for raising the alarm and list responsibilities. This issue is raised as CAR/2013/530.
 There were no records of Evacuation Drills. A schedule was sighted for Jul12 & Jan13 but no drills were performed. This issue is raised as CAR/2013/531.
 The checking of fire extinguishers on site is performed by an external company. Records for testing were dated Jan13.

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First Aid Kits in the workshop, administration building and buses were well stocked. The kits were last checked in Oct12.

Operational Emergency Procedures are included in the Driver's Manual.

Spill Kits were available in the Workshop and in the Breakdown Vehicle.

Element 4-5-1: Monitoring and Measurement Describe how OSH performance shall be monitored and measured so that progress towards targets and objectives is achieved. Not assessed at this audit.

Element 4-5-1-2: Health surveillance The organisation shall identify those situations where employee health surveillance is required and shall implement appropriate systems. Pre-employment medical checks, Health assessments upon licence renewal, etc.

The drivers comply with the health checks required when renewing their driver's licence. The licences and endorsements must be sighted by management at every renewal. A Staff training spread sheet on the database contains the relevant licence information. Staff licence renewal call-out list for Mar13 sighted. An email notification of licenses due for renewal is also sent from the File Manager Pro system.

Random breath tests are conducted periodically. Records for testing dated 11/08/11 and 30/07/12 were also sighted.

A stand alone alcohol and other drugs policy is required. There is a paragraph ,(item 20), in the SMS and there is some good information included in the Workshop Induction Manual, however a policy, encompassing all workers, contractors and visitors, must be created. This issue was raised at the previous audit as CAR/2011/460 and remains open.

It was stated that pre-employment medical checks include an audiogram to determine a baseline hearing level. Records for C. Winstanley were sighted dated 14/01/11.

Element 4-5-2: Incident Investigation, Corrective and Preventive Action Describe how hazards, near misses, non-conformances and system failures shall be investigated and reported and how corrective and preventive action shall be undertaken and reviewed.

A Vehicle Accident Report was sighted for a collision dated 30/09/11. This form is used for major incidents / accidents. The incident was investigated and closed on 08/10/11.

An example of a Minor Accident Report, form 1.5, was sighted dated 17/09/12 for a bus hitting a roo. The incident was investigated and signed off on 18/09/12.

An Injury / First Aid Form sighted – entry dated 02/09/11 for a person walking into an open inspection door on a bus.

Some hazards relating to shire works are reported via email, - records sighted.

Element 4-5-3: Records and Records Management Describe how the archiving, storage, retrieval and disposal of OSH records and audit reports shall be carried out. Are personal employee records appropriately secured from unauthorised access? Personal / confidential files are stored in a locked cabinet. Electronic files are password protected.

AS/NZS 4801:2001	ELEMENT DESCRIPTION	DEPOT - ESPERANCE REGIONAL
Element 4-5-4: OHSMS Audit	Describe how and when this OHSMS shall be audited to determine whether it complies with AS 4801 has been properly implemented and maintained, and is effective in meeting the requirements of the organisation's policy, objectives and targets for continual improvement. Is the audit program based on the OHS risk and the results of previous audits considered?	An MTA audit was conducted in line with the WorkSafe Plan on 12/08/09. Internal Audits are not performed or scheduled at this time. Element 8 of Redlion's SMS states that audits will be conducted. This will also address AS 4801 Element 4.5.4. This issue was raised at the previous audit as CAR/2011/461 and remains open.
Element 4-6: Management Review	Detail how the OHSMS shall be reviewed by top management to demonstrate continual improvement and to assess whether it is being fully implemented, and its continuing suitability, adequacy and effectiveness to achieve the organisation's OSH policy and stated objectives.	Not assessed at this audit.
Observation from Site Inspection	<p>The site inspection proved that the depot was well laid out and functional. The new workshop and bus wash facility was well designed but was not yet fully operational. Appropriate controls for vehicle and pedestrian movements were in place with entry and exit gates marked and speed limit sign posted. Direction of travel is discussed regularly at staff meetings and in the newsletter. It was stated that the next phase of improvement is to bituminise the bus parking and hardstand areas. When this has occurred the line marking will be applied.</p> <p>Opportunities for Improvement:</p> <p>O-10 - As soon as practicable a workplace signage audit should be conducted to identify locations where signage should be fitted eg; No entrance to workshop etc.</p> <p>O-11 – Access to the Eye Wash Station in the workshop was blocked and the water storage unit was empty.</p> <p>CAR/2013/532 - It was noted that the Hydraulic Press in the Boiler Room was not bolted to the floor.</p> <p>CAR/2013/533 – Access to the fire extinguisher in the boiler room was blocked.</p> <p>Note: When the new pallet racking is installed in the 'boiler room' it must be bolted to the floor and have the SWL displayed.</p>	