



Australian Government

Department of Employment and Workplace Relations

Office of the Federal Safety Commissioner



WHS Accreditation Scheme Audit Criteria: Residential Builders' Guide



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Introduction

This guide is for residential builders seeking WHS Accreditation Scheme accreditation. The difference between this guide and the FSC Audit Criteria is that this guide removes hazard criteria unlikely to apply to a residential builder given the types of hazards generally found on residential building sites.

This guide will generally be used when auditing residential builders. However, residential builders should be aware of the additional hazard criteria outlined in the FSC Audit Criteria. Should a residential builders scope of works expand to include the hazards in the FSC Audit Criteria, the residential builder must ensure it complies with the requirements of both guides.

The following scale has been applied to this guide to illustrate the sub-criteria that Scheme applicants have historically required more attention to meet, with 1 indicating less attention has been required and 5 indicating that more attention is needed.



Structure

The Scheme criteria is separated into three sections: WHS Criteria, Focus Point Criteria and Hazard Criteria. Accreditation audits will consider all WHS and FP criteria and 1-2 hazard criteria. Once accredited, maintenance audits generally consider a selection of 2 WHS Criteria, 2 Focus Point Criteria and 1-2 hazard criteria.

This guide focuses on explaining two key concepts for each criterion – the **documented process** and the **implementation** of that process, both of which are defined in the glossary. Evidence of both a **documented process** and effective **implementation** of the process will be reviewed at audit.

When considering compliance with the audit criteria, regard is given to the resources and capabilities at the disposal of the applicant. This means the application of the criteria allows for tailored compliance methods that suit your organisational structure, resources, and technological capabilities. For instance, while some companies may choose to utilise online WHS management systems or software platforms for compliance management, smaller companies may find manual documentation more suitable for their business. The FSC and FSOs also have regard to the level of risk associated with the work being undertaken, particularly in relation to the hazard criteria.

Model Codes, Jurisdictional Regulations and Australian Standards

This guide selectively references codes, regulations and Australian Standards for further information and additional guidance. The OFSC notes that there is variation in state and territory regulations, and where mentioned and appropriate will review the requirements of the criteria as per the state and territory that the building and construction work is being conducted.

How to Use This Guide

Each sub-criteria in this guide is divided into sections as shown below. The scalability of the WHS Accreditation Scheme requires that no specific examples are given of what will meet the criteria, given that there are wide variations in the size, scale and hazard/risk profiles of builders in the industry. Instead, the Guidance Notes provide an accurate and functional description of what elements are needed to satisfy the requirements of the Scheme.

This number shows the relative level of difficult applicants have had in meeting this criteria: 1 – lower, 5 – higher.

The glossary on page 3 of this guide gives a detailed explanation of what a **Documented Process** includes. Applicants are advised to refer back to the glossary as necessary to ensure a full understanding of the requirements.

WH13.5 There is a **documented process** to ensure emergency practice drills:

5

- are scheduled and carried out on site;
- are scenario based and test a variety of the identified potential emergency situations;
- are recorded and evaluated for effectiveness; and
- incorporate a process for the identification and management of corrective actions.

This criterion requires the builder to explain the steps used to make sure that emergency drills are scheduled and practiced for the relevant project emergency scenarios. Not all scenarios have to be practiced; however, more than just generic evacuation is required. Frequency is as determined by the builder.

This section explains the requirements of the criterion.

Guidance notes for WH13.5

The documented process needs to detail the builder's approach for conducting emergency drills for the project, including:

1. The need for drills to be scenario-based (i.e. not just site evacuation);
2. An emergency drill schedule;
3. Who conducts the emergency drills;
4. How drills will be recorded and evaluated;
5. How any corrective actions identified as a result of drill outcomes will be managed.

The **Guidance notes** explains what components are needed for the builder to satisfy the requirements of the criterion.

Evidence of implementation:

- 6 monthly drills where project duration is typically less than 6 months will not satisfy this criterion.
- Generic evacuation drills alone will not satisfy this criterion.
- Emergency drill records without analysis of the effectiveness of the drill will not satisfy this criterion.
- Conducting a drill alone will not satisfy this criterion where there is no evidence of a schedule and requirements for frequency.

The glossary on page 3 of this guide gives a detailed explanation of what a **Record** consists of. Applicants are advised to refer back to the glossary as necessary to ensure a full understanding of the requirements.

The **Evidence of Implementation** at the bottom of some criterion give examples of evidence that is commonly presented at audit but is not solely sufficient for meeting the

WH3 – Legal Requirement

The following criteria relate to a process for the identification, application and monitoring of changes to health and safety legislation, codes of practice and Australian standards applicable to the builder and its project/site activities.

4	<p>WH3.1 There is a <u>documented process</u> to ensure all health and safety legislation, codes of practice and Australian standards are identified relevant to:</p> <ul style="list-style-type: none"> • the builder's operations; and • the project/site activities
<p>This criterion requires the builder to explain the steps used for identifying and recording all of the builder's health and safety legislation, codes of practice and Australian standards applicable to the builder and each project based on the specific health and safety requirements relevant to the scope of works for the project.</p>	
<p>Guidance notes for WH3.1</p>	
<p>The <u>documented process</u> needs to explain issues such as:</p> <ol style="list-style-type: none"> 1. The method used to identify relevant health and safety legislation, codes of practice, and Australian standards for the builder as a whole, for each state/territory that the builder operates within; 2. Who does this task and how this is recorded, internally accessed and maintained at a builder level; 3. The process used on each project to develop a project specific list or register of legislation, codes of practice, and Australian standards that is applicable to the scope of work and how and where this is recorded – e.g. this could involve refining or amending the builder level <u>record</u>/list/register to make it project specific. 	
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> • A subscription service alone will not satisfy this criterion however this could form part of the overall process used to identify applicable legislation etc. • A single register for both the generic company register and the project with no adjustment (i.e. the exact same register) will not satisfy this criterion. 	

3	<p>WH3.2 There is a <u>documented process</u> to ensure all current health and safety legislation, codes of practice and Australian standards relevant to the project are readily available on site and workers are informed of the where and how to find them</p>
<p>This criterion requires the builder to explain the steps used to provide access at the site level to hard-copy or electronic versions of the health and safety legislation, codes of practice and Australian standards documents identified as relevant to the project in WH3.1, and the process for communicating to all workers how to gain access to the documents.</p>	
<p>Guidance notes for WH3.2</p>	
<p>The <u>documented process</u> needs to explain issues such as:</p> <ol style="list-style-type: none"> 1. How the relevant health and safety legislation, codes of practice, and Australian standards identified as relevant to the project in WH3.1 will be made available on site (e.g. hard copies and/or electronic copies); 2. How workers will be informed of the means of access on site and how this will be recorded (e.g. via site induction/prestart/noticeboard? etc). 	
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> • A subscription service alone will not satisfy this criterion. • A process for communication that does not systematically cover all workers will not satisfy this criterion. • Access to the documents alone will not satisfy this criterion. 	

WH3.3

There is a documented process to ensure changes to health and safety legislation, codes of practice and Australian standards relevant to the builder and project are reviewed and processes updated as required

This criterion requires the builder to explain the steps used for identifying changes to the applicable health and safety legislation, codes of practice and Australian standards, reviewing the impact of any identified change and the prompt to review the relevant procedures that may be affected.

Guidance notes for WH3.3

The documented process needs to explain how the builder will ensure reviews of the applicable health and safety legislation, codes of practice and Australian standards are conducted at designated frequencies to identify potential changes.

This includes addressing issues such as:

1. Any online updating service subscriptions that may be in place;
2. Responsible role/s for conducting the reviews;
3. Frequency of reviews;
4. How the reviews will be recorded.

Where any relevant changes are identified, the procedure needs to prompt for a review of the affected procedures and detail how this will be conducted, documented and communicated to workers at all levels.

Evidence of implementation:

- Subscribing to on-line updating services can be an effective way of monitoring relevant health and safety legislation, codes of practice, and Australian standards for changes, although a subscription service alone will not satisfy this criterion.
- Changes to the legal register/references without review of the relevant procedural impacts will not satisfy this criterion.

WH12 – Hazard Identification Risk Assessment and Control (HIRAC)

The following criteria relate to the systematic (builder and project-level) processes to identify potential hazards, assess the associated risks, and implement controls to mitigate or eliminate those risks.

WH12.1

There is a documented HIRAC methodology

This criterion requires the builder to explain the steps used to identify and record the potential hazards, assess the level of risk associated with each of the potential hazards and define the controls necessary to manage the hazards. This must include a documented process to calculate the levels of risk and determine effective control measures. Key areas where HIRAC is required include procurement, safety in design, on-site work activities, mobile plant, hazardous substances etc.

Guidance notes for WH12.1

The documented process needs to detail the systematic approach the builder takes to identify, assess, mitigate, and monitor risks across its operations, including:

1. Methodology for identifying, evaluating, controlling, and monitoring risks in alignment with the standardised risk management process:
 - a. Identify hazards.
 - b. Assess risk (e.g. Risk Matrix integrating likelihood/probability and consequence) for each hazard;
 - c. Risk control – risk treatment considering the Hierarchy of Control.
 - d. Continuous review of hazards and control measures to ensure ongoing effectiveness.
2. Allocation of responsibilities for conducting HIRAC, including training and competency prerequisites.
3. How HIRAC outputs will be recorded (e.g. Design risk assessments, Project Risk Registers/Assessments, Safe Work Method Statements (SMWS), Plant risk assessments etc.

Evidence of implementation:

- A risk matrix alone will not satisfy this criterion.
- Builder level HIRAC outputs not using the builder's HIRAC methodology will not satisfy this criterion.
- Grouping of hazards rather than assessing the risk for each identified hazard is not acceptable.

For further information on managing risk in the workplace, refer to the [Model Code: How to Manage work health and safety risks](#).

WH12.2 There is a documented process to ensure the project HIRAC process is undertaken by personnel trained in the use of the builder's HIRAC methodology and tools

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This criterion requires the builder to make sure that all personnel who are completing or participating in project HIRAC processes are trained in the builder's specific HIRAC methods and associated forms and tools. Trained means that a worker has been trained internally, consistent with the builder's defined requirements. Evidence of specific content delivered or communicated is required.

Guidance notes for WH12.2

The documented process needs to outline/describe:

1. Builder roles that require HIRAC training;
2. Training program/outline, including the builder's HIRAC methods, and associated forms and tools;
3. How training is recorded.

Evidence of implementation:

- Generic Risk Management training alone will not satisfy this criterion.
- Training in the Risk Matrix alone will not satisfy this criterion.
- Generic induction training that doesn't include builder specific HIRAC methodology and tools will not satisfy this criterion.

EXAMPLES

Will meet criteria:

- Training covers the builder's risk assessment process and how to complete specific risk assessment tools (PRA, SWMS, etc).

Won't meet criteria:

- Only generic HIRAC training.
- Training does not reflect builder-specific risk assessment methodologies / tools.

WH12.3 There is a documented process to ensure project specific HIRAC is conducted

2

This criterion requires the builder to make sure that all of the potential health and safety hazards associated with the project scope and activities are identified, assessed and controlled.

Guidance notes for WH12.3

The documented process needs to detail how the builder uses HIRAC to explain potential health and safety hazards inherent in the project scope and activities.

This involves the development of project-specific HIRAC outputs/tools (e.g. project risk assessments/registers, Safe Work Method Statements (SWMS) etc).

Guidelines for developing/preparing project-specific HIRAC outputs/tools should be provided, including the identification of responsible role/s, and how the HIRAC outputs/tools will be completed, maintained and reviewed for the duration of the project.

Evidence of implementation:

- A generic risk assessment will not satisfy this criterion.

WH12.4 There is a documented process to liaise with client/public/other entities to implement a HIRAC process for any hazards impacting any of the parties

3

This criterion requires the builder to explain the steps used to identify and interact with all relevant persons, and to manage the hazards that may impact the stakeholders or the project.

Guidance notes for WH12.4

The documented process needs to outline the builder's process for:

1. Identifying persons who may have an interest or be impacted by the project. This includes internal stakeholders (e.g. project team members, workers) and external stakeholders (e.g., clients, regulatory bodies, local communities, etc);
2. How the builder will liaise with relevant stakeholders and how this will be recorded;
3. Identifying hazards that may impact stakeholders;
4. How HIRAC will be applied and documented to manage identified hazards (e.g. Project Risk Register/Assessments, SWMS).

Evidence of implementation:

- Assessment of hazards without documented liaison (and vice versa) will not satisfy this criterion.

WH12.5 There is a documented process to define the builder's acceptable risk level and management actions to be taken if assessed risk is higher than that level

3

This criterion requires the builder to explain the steps used to classify the assessed risk score/level and define actions to be undertaken to treat the risk including acceptance/tolerance criteria and actions to be undertaken based on the classification.

This includes specific management actions to be taken where risk is assessed as being above the acceptable level (e.g. work not to commence, senior management sign-off required, permit to work system required, additional supervision required etc).

Guidance notes for WH12.5

To meet this criterion, the documented process needs to:

1. Define the builder's risk levels including acceptable and unacceptable risk levels;
2. Describe a range of actions required for different risk levels;
3. Define specific management actions to be taken if assessed risk exceeds the acceptable threshold - this may involve formal review of control measures to ensure risk levels are as low as reasonably practicable, and approval/sign-off from senior management.

Evidence of implementation:

- Definition of risk levels alone will not satisfy this criterion.
- Application of the Hierarchy of Control alone will not satisfy this criterion.

WH12.6 There is a documented process to ensure control measures are established for identified hazards in accordance with:

3

- the Hierarchy of Control; and
- applicable legislation, codes of practice and Australian standards

This criterion requires the builder to make sure the Hierarchy of Control is used to make decisions on the level of controls to be used, and that controls developed are consistent with the relevant requirements outlined in the legislation, codes of practice, and Australian standards.

Guidance notes for WH12.6

The documented process needs to detail:

1. How the builder will ensure and demonstrate that control measures are established in accordance with the Hierarchy of Control and requirements of applicable legislation, codes of practice and Australian standards are incorporated into identified controls;
2. A process for ensuring this is implemented for project risk assessments and subcontractor SWMS compliance with this criterion etc. and how this will be recorded (e.g. incorporation into the project risk assessment template and prompt on SWMS Review Checklist etc. or similar).

Evidence of implementation:

- Inclusion of the Hierarchy of Control in the HIRAC methodology alone will not satisfy this criterion.

WH12.7 There is a documented process to evaluate the effectiveness of builder, project and task specific HIRAC processes

5

This criterion requires the builder to review its HIRAC methodology to verify that the builder, project and task based HIRAC processes remain effective.

Guidance notes for WH12.7

The documented process needs to describe:

1. How the builder will review its HIRAC methodology and outputs for effectiveness at the 3 levels explained in the criterion (e.g. at the builder, project and task levels)
2. How the builder will integrate management reviews, annual system review, audits of the HIRAC processes, review of project risk assessments/Risk Registers, implementation of a Task/SWMS Observation program and SWMS Reviews, etc);
3. Who does the various reviews, review frequency, and how this is recorded and maintained at the builder and project levels.

Evidence of implementation:

- A review of outputs (Risk Assessments/Risk Registers, Project Safety Plans, Task Observations, SWMS Reviews) alone will not satisfy this criterion.

EXAMPLES

Will meet criteria:

- Review of project risk assessments/registers, SWMS.
- Task observations.
- Annual HIRAC process / system review.

Won't meet criteria:

- Not having a documented process that addresses the three (3) levels of HIRAC review (i.e. builder, project, task).

WH13 – Emergency Preparedness and Response

The following criteria relate to the process of identifying and managing potential/ foreseeable emergency scenarios at the project, including evaluating the need for first aid and emergency equipment, communicating emergency information to both workers and visitors, conducting emergency drills, and managing critical incidents.

WH13.1 There is a documented process to identify potential emergency situations for the project.

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This criterion requires the builder to explain the steps used to identify all of the foreseeable project-specific emergencies that may occur, and the method of recording them.

Guidance notes for WH13.1

The documented process needs to detail the builder's approach and tools for identifying potential/foreseeable emergency situations for the project, including:

1. Defining the responsible role or team within the builder for assessing and identifying potential emergency scenarios;
2. How this will be recorded – for example:
 - Emergency Risk Assessment/Register;
 - Part of the project risk assessment process;
 - Listing of emergencies within Project Safety Plan.

Evidence of implementation:

- A generic Emergency Management Plan/Register that is not project-specific will not satisfy this criterion.
- The client Emergency Management Plan alone will not satisfy this criterion.

WH13.2 There is a **documented process** to ensure procedures/plans are developed and regularly reviewed for identified emergency situations.



This criterion requires the builder to explain the steps used to develop specific emergency procedures for each of the identified emergencies (which may be incorporated into an Emergency Plan), including the process for reviewing the procedures to make sure they remain valid for the project activities.

Guidance notes for WH13.2

The documented process needs to detail the builder’s approach for:

1. Ensuring procedures are developed for each identified potential emergency scenario;
2. Reviewing the emergency procedures (including review frequency);
3. Who conducts the review and how it will be evaluated and recorded.

Evidence of implementation:

- A generic Emergency Management Plan/Register will not satisfy this criterion.
- The client Emergency Management Plan alone will not satisfy this criterion.
- A single Emergency procedure (i.e. the same for all potential emergencies) will not satisfy this criterion.
- Emergency contact details alone will not satisfy this criterion.

WH13.3 There is a **documented process** to ensure emergency response arrangements are communicated to all personnel and visitors.



This criterion requires the builder to explain the steps used to make sure that all workers on site, and any visitors, have been informed of the emergency procedures for the site.

Guidance notes for WH13.3

The documented process needs to detail how the builder will ensure the site emergency procedures are communicated to all workers and visitors, including how this will be recorded (e.g. via site/visitor’s induction, prestart? etc).

Evidence of implementation:

- A site noticeboard displaying the emergency contact details alone will not satisfy this criterion.

WH13.4 There is a **documented process** to ensure designated emergency personnel for the project:



- **have been Inducted in the site-specific emergency procedures/plans;**
- **and have obtained any qualification or formal training defined by the builder as required to fulfill the role.**

This criterion requires the builder to explain the steps used to make sure that the personnel who have been allocated emergency response roles for the site have been trained in the site emergency procedures/plans, and hold other relevant qualifications and formal training as defined by the builder (e.g. emergency warden, first aid, work at heights rescue, confined space etc).

Guidance notes for WH13.4

The documented process needs to detail the builder’s approach for:

1. Identifying specific emergency response roles;
2. Inducting designated emergency personnel into project-specific emergency procedures and their roles;
3. Assessing the need for specific emergency training requirements (e.g. via Training Needs Analysis, as part of an emergency risk assessment process or similar);
4. Ensuring designated emergency personnel receive suitable emergency training;
5. Maintaining induction and training records (e.g. Induction Register, Training Register/Matrix etc).

Evidence of implementation:

- Generic Fire Warden training alone will not satisfy this criterion.
- Awareness training in the site emergency procedures/plans alone will not satisfy this criterion.

EXAMPLES

Will meet criteria:

Won’t meet criteria:

- Generic emergency training that does not align with builder’s emergency response processes.

<ul style="list-style-type: none"> • Specific emergency training/qualifications, as defined by the builder (e.g. first aid, fire extinguisher, etc). • Induction into builder’s emergency response procedures. 	
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WH13.5 There is a documented process to ensure emergency practice drills:

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- are scheduled and carried out on site;
- are scenario based and test a variety of the identified potential emergency situations;
- are recorded and evaluated for effectiveness; and
- incorporate a process for the identification and management of corrective actions.

This criterion requires the builder to explain the steps used to make sure that emergency drills are scheduled and practiced for the relevant project emergency scenarios. Not all scenarios have to be practiced; however, more than just generic evacuation is required. Frequency is as determined by the builder.

Guidance notes for WH13.5

The documented process needs to detail the builder’s approach for conducting emergency drills for the project, including:

1. The need for drills to be scenario-based (i.e. not just site evacuation);
2. An emergency drill schedule;
3. Who conducts the emergency drills;
4. How drills will be recorded and evaluated;
5. How any corrective actions identified as a result of drill outcomes will be managed.

Evidence of implementation:

- 6 monthly drills where project duration is typically less than 6 months will not satisfy this criterion.
- Generic evacuation drills alone will not satisfy this criterion.
- Emergency drill records without analysis of the effectiveness of the drill will not satisfy this criterion.
- Conducting a drill alone will not satisfy this criterion where there is no evidence of a schedule and requirements for frequency.

EXAMPLES

Will meet criteria:

- Clearly defined drill schedule.
- Drills cover various emergency scenarios (e.g. fire, evacuation, falls from height, mobile plant incident, etc).

Won’t meet criteria:

- Conducting site evacuation drills only.
- Not defining drill frequency (commensurate with project duration).

WH13.6 There is a documented process to ensure a qualified person identifies site first aid equipment and requirements in accordance with relevant legislation, codes of practice and Australian standards.

4

This criterion requires the builder to explain the steps used to make sure that a person who holds the required qualification (as defined by the builder) has completed a site-specific review of the first aid requirements (in accordance with the Code of Practice) and has made sure that the first aid arrangements on site are in line with the review.

A single assessment covering the requirements of this criterion as well as WH13.7 is acceptable so long as all requirements are captured. Qualified means a person who holds a recognised degree, certificate or professional standing relevant to the activity or works.

Guidance notes for WH13.6

The documented process needs to explain issues such as:

1. The qualification/s required for the person/s assessing first aid equipment and requirements;
2. When the assessment will be undertaken and potentially updated (for example as part of the Emergency Management Plan review);
3. How the builder will ensure the assessment is in accordance with the First Aid code of practice, taking into account factors such as the:
 - nature of the work and workplace hazards;
 - size and location of the workplace;
 - number and composition of workers and others at the workplace.
4. How the assessment will be recorded (e.g. First Aid Risk Assessment, a specific assessment as part of the Project Risk Register/Assessment? etc);
5. Ensuring first aid equipment/arrangements on site match what has been identified in the assessment.

Evidence of implementation:

- The presence of first aid persons and equipment alone will not satisfy this criterion.
- A generic assessment that is not project specific will not satisfy this criterion.

For further information on managing first aid requirements on site, refer to the [Model Code - First aid in the workplace.](#)

WH13.7 There is a documented process to ensure a competent person identifies site emergency equipment and requirements.



This criterion requires the builder to explain the steps used to make sure that a person who holds the required training (as defined by the builder) has completed a site-specific review of the emergency requirements and has made sure that the right equipment is located on site to cater for the identified emergencies that may occur on the project.

Emergency equipment may include extinguishers, equipment specific to potential site emergencies such as retrieval of arrested fall, confined spaces, working around live electrical equipment, stretcher, method of raising alarm, personal floatation devices, remote site requirements etc., and should consider the placement of such equipment. Competent means that a person has been deemed to meet the combination of licences, qualifications, training and instruction as defined by the builder or by legislative requirements.

Guidance notes for WH13.7

The documented process needs to explain issues such as:

- The training/competency requirements for the person/s assessing emergency equipment for the project;
- When the assessment will be undertaken and potentially updated (for example as part of the Emergency Management Plan review);
- How the assessment will be documented (e.g. Emergency Equipment Assessment, a specific assessment as part of the Project Risk Register/Assessment? etc);
- Ensuring emergency equipment on site matches what has been identified in the assessment.

Evidence of implementation:

- Review of fire-related emergency equipment alone will not satisfy this criterion.
- A generic assessment that is not project specific will not satisfy this criterion.

EXAMPLES

Will meet criteria:

- Assessing and documenting project emergency equipment requirements via project risk assessment/register, or dedicated tool (e.g. emergency equipment assessment).
- Clearly defining the competency requirements for the person/s conducting the assessment.

Won't meet criteria:

- Failing to identify all relevant emergency equipment requirements (e.g. fire extinguishers, eye wash, spill kits, etc).
- Merely relying on an emergency equipment register (or similar) without evidence of a project-specific assessment.

WH13.8

There is a **documented process** to ensure inspection, test and maintenance requirements for emergency and first aid equipment are identified, scheduled and undertaken.

4

This criterion requires the builder to explain the steps used to make sure that all of the emergency and first aid equipment on site is inspected and maintained, and that any equipment on site is up to date.

Guidance notes for WH13.8

The documented process needs to explain issues such as:

1. The methods used to ensure emergency and first aid equipment on site is inspected, maintained, and up to date, including the relevant tools to be used (e.g. dedicated inspection checklist/s, emergency/first aid equipment register etc);
2. Identifying inspection and maintenance frequencies/requirements for specific items of emergency equipment (e.g. fire extinguishers 6-monthly, First aid rescue cage annual etc);
3. Who does/verifies the inspections/maintenance, including training/competency where relevant;
4. How ongoing inspection/maintenance requirements will be monitored at the project (emergency/first aid equipment register etc).

Evidence of implementation:

- Inspection of fire-related emergency equipment or first aid equipment alone will not satisfy this criterion.

WH13.9

There is a **documented process** for managing critical incidents, including:

4

- the builder's definition of a critical incident;
- clearly defined roles;
- return-to-work of injured workers;
- employee assistance/counselling; and
- the process for review of the effectiveness of critical incident response procedures.

This criterion requires the builder to define the type and level of incident that would be regarded as critical by the builder, and the process to make sure that any defined critical incidents are effectively managed.

Guidance notes for WH13.9

To meet this criterion, the documented process needs to include:

1. Definition of 'critical incident' - this may include events such as workplace accidents resulting in serious injury or fatality, natural disasters, acts of violence, or other traumatic events that significantly impact workers or operations;
2. Clearly defined roles and responsibilities for personnel involved in managing critical incidents (over and above the standard roles and responsibilities for the management of all incidents that may typically be managed by the project team);
3. Relevant training for personnel involved in managing critical incidents;
4. Process for facilitating the return to work of injured workers;
5. Providing employee assistance and counselling for workers affected by critical incidents – including the identification of an external counselling service provider;
6. Reviewing the effectiveness of the critical incident process/response, which may include conducting post-incident debriefings etc, to identify strengths, weaknesses, and areas for improvement in the response;
7. How the builder will document and communicate reviews of the effectiveness of the critical incident process.

Evidence of implementation:

- General Emergency or Incident management procedures alone will not satisfy this criterion.

WH14 – Health Surveillance and Exposure Monitoring

The following criteria relate to processes for identifying and managing potential health hazards at the project, including managing hazardous chemicals, worker exposure monitoring, and health surveillance/monitoring.

WH14.1 There is a documented process to ensure a competent person completes a site-specific assessment of potential health hazards, which may include:		
<div style="display: flex; align-items: center;"> <div style="background-color: #003366; color: white; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin-right: 10px;">5</div> <ul style="list-style-type: none"> biological; physical; and chemical/atmospheric contaminants. </div>		
<p>This criterion requires the builder to explain the steps used to make sure that potential health hazards at the project are identified, assessed and effectively controlled.</p>		
Guidance notes for WH14.1		
<p>The <u>documented process</u> needs to outline the builder’s approach for conducting an assessment of potential health hazards on site prior to project commencement. Examples may include:</p> <ul style="list-style-type: none"> Biological hazards (e.g. pathogens, bacteria, viruses, or allergens that may be present on site). Physical hazards (e.g. excessive noise, vibration, temperature extremes, radiation, manual handling risks, etc). Chemical/atmospheric hazards (e.g. hazardous substances, gases, vapours, fumes, dust, etc). <p>The process needs to explain factors such as:</p> <ol style="list-style-type: none"> 1. Training/competency requirements for person/s conducting the assessment; 2. How the assessment will be carried out and documented (e.g. Project Risk Register/Assessment, Health Risk Assessment?); 3. Ensuring suitable controls are identified, implemented and monitored for ongoing effectiveness on site. 		
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> Health monitoring/surveillance by a medical practitioner will not satisfy this criterion. Pre-employment medical assessments will not satisfy this criterion. Environmental monitoring will not satisfy this criterion. 		
EXAMPLES		
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px;"> <p><u>Will meet criteria:</u></p> <ul style="list-style-type: none"> Identifying/addressing potential health hazards via a project risk assessment/register, or other dedicated assessment tool (e.g. excessive noise, dust, chemicals, UV exposure, vibration, etc). </td> <td style="width: 50%; padding: 5px;"> <p><u>Won’t meet criteria:</u></p> <ul style="list-style-type: none"> Failing to identify the competency requirements for person/s conducting the assessment. </td> </tr> </table>	<p><u>Will meet criteria:</u></p> <ul style="list-style-type: none"> Identifying/addressing potential health hazards via a project risk assessment/register, or other dedicated assessment tool (e.g. excessive noise, dust, chemicals, UV exposure, vibration, etc). 	<p><u>Won’t meet criteria:</u></p> <ul style="list-style-type: none"> Failing to identify the competency requirements for person/s conducting the assessment.
<p><u>Will meet criteria:</u></p> <ul style="list-style-type: none"> Identifying/addressing potential health hazards via a project risk assessment/register, or other dedicated assessment tool (e.g. excessive noise, dust, chemicals, UV exposure, vibration, etc). 	<p><u>Won’t meet criteria:</u></p> <ul style="list-style-type: none"> Failing to identify the competency requirements for person/s conducting the assessment. 	

WH14.2 There is a documented process to ensure that, where identified as required, personal exposure to health hazards is measured and evaluated on the project by a formally trained person.
<div style="display: flex; align-items: center;"> <div style="background-color: #003366; color: white; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin-right: 10px;">4</div> </div>
<p>This criterion requires the builder to explain the steps used for a <u>formally trained</u> person to measure exposure of workers on the project to the potential health hazards identified in the health assessment (where applicable), and the results of the measurements are compared to the workplace exposure standards (WES) (as defined by SWA standards and/or guidance material). <u>Formally trained</u> means a person who has undertaken formal training against a specified training course or plan, with outcomes documented as relevant to the activity or works.</p>
Guidance notes for WH14.2
<p>The <u>documented process</u> needs to outline the builder’s approach for monitoring worker’s exposure to health hazard/s on site where the assessment of potential health hazards in WH14.1 identifies it as necessary. Exposure monitoring may involve direct measurement of environmental parameters (e.g. air sampling for chemical contaminants, noise level monitoring etc.)</p> <p>Exposure monitoring can be used to:</p> <ul style="list-style-type: none"> identify, assess and confirm health risks; identify where new control measures are needed;

- monitor how well current control measures are performing; and
- identify when control measures need to be reviewed, updated or removed.

The documented process needs to explain factors such as:

1. How the requirement for exposure monitoring will be determined (e.g. via Project Risk Register/Assessment, Health Risk Assessment? (WH14.1);
2. Engaging a formally trained person (e.g. Occupational Hygienist) to conduct the exposure monitoring and interpret the results;
3. Obtaining reports/results from measurements taken, including comparison to workplace exposure standards (WES);
4. How results of exposure monitoring will be communicated to workers at the project;
5. Ensuring suitable controls are implemented and monitored for ongoing effectiveness on site.

Evidence of implementation:

- Health monitoring/surveillance by a medical practitioner will not satisfy this criterion.
- Pre-employment medical assessments will not satisfy this criterion.
- Measurements taken with un-calibrated devices (e.g. smart phones) will not satisfy this criterion.

WH14.3 There is a documented process to ensure that worker health surveillance/monitoring:



- is carried out in accordance with identified health hazards;
- carried out in accordance with relevant legislation, codes of practice and Australian standards;
- includes a process for management and communication of health monitoring results and records.

This criterion requires the builder to explain the steps used for identifying any health hazard that a worker may be exposed to that requires a medical practitioner to conduct tests (monitoring/surveillance) to determine the level of exposure to the hazard, in accordance with the WHS legislation.

Guidance notes for WH14.3

The documented process needs to outline the builder's approach for worker's health surveillance/monitoring as per legislative requirements and the assessment of potential health hazards in WH14.1.

Health surveillance/monitoring is the monitoring of a worker by a qualified medical practitioner (e.g. doctor) to identify changes in their health status because of exposure to certain substances.

The builder must provide health surveillance/monitoring to workers if there is a significant risk:

- to worker's health because of exposure to a hazardous chemical listed in Schedule 14 of the WHS Regulations (e.g. asbestos, lead, crystalline silica, etc), or
- of exposure to another hazardous chemical (not listed in Schedule 14) and there are suitable testing methods available.

The documented process needs to explain factors such as:

1. How the requirement for health surveillance/monitoring will be determined for each project (e.g. via Project Risk Register/Assessment, Health Risk Assessment? (WH14.1);
2. Ensuring a qualified medical practitioner carries out health surveillance/monitoring in accordance with identified health hazards and the relevant legislation and Australian standards;
3. How results of health surveillance/monitoring will be communicated to relevant worker/s, maintained and stored including to ensure confidentiality;
4. Requirements for reporting of results to regulator/s;
5. Ensuring suitable controls for managing exposure to health hazards are implemented and monitored for ongoing effectiveness on site.

Evidence of implementation:

- Pre-employment medical assessments alone will not satisfy this criterion.

For further information on health surveillance/monitoring, refer to WHS Regulations, the Health monitoring for a PCBU Guide and the [Model Code for Managing risks of hazardous chemicals in the workplace](#).

H14.4 There is a documented process to ensure inspection, measuring and test equipment related to health and safety is identified, calibrated, and maintained in accordance with manufacturers' requirements and relevant legislation, codes of practice and Australian standards.



This criterion requires the builder to explain the steps used to ensure that any equipment used in the measurement of health and safety related hazards is tested as per the manufacturer's recommendations and relevant legislation, codes of practice and Australian standards.

Guidance notes for WH14.4

The documented process needs to explain issues such as:

1. The types of test equipment, related to health and safety, that may be required at the project (e.g. gas meters, noise dosimeters, electrical testing equipment, alcohol testing etc);
2. How the builder will ensure such equipment is up to date with its inspection, maintenance and calibration, as per the manufacturer's recommendations and relevant legislation, codes of practice and Australian standards. For example - obtaining copies of testing/calibration certificates from accredited agencies (e.g. NATA), sighting calibration labels/stickers, etc;
3. How such equipment will be monitored whilst it is on site, to ensure ongoing testing/calibration currency (e.g. site inspections, calibration register etc).
4. How relevant records will be maintained at the project.

Evidence of implementation:

- Testing from non-accredited agencies will not satisfy this criterion.
- Stickers and/or certificates alone will not satisfy this criterion.
- This criterion does not include equipment that is not used to measure health and safety-related exposures (e.g. lasers, theodolites etc).

WH14.5 There is a documented process to ensure the management of hazardous chemicals on the project.



This criterion requires the builder to define its process managing all hazardous chemicals (including those brought to site by contractors) on the project.

Guidance notes for WH14.5

The documented process needs to detail the builder's process for ensuring that:

1. All hazardous chemicals to be used on site are identified;
2. A Register of hazardous chemicals is established and maintained on site, including the names of all hazardous chemicals used, handled, or stored, along with their corresponding Safety Data Sheets (SDS).
3. Current (less than 5 years old) SDS are obtained prior to a hazardous chemical being used on site;
4. SDS is readily available to workers involved in using, handling or storing the hazardous chemical on site;
5. Risk Assessments have been conducted for hazardous chemicals. Who must complete a hazardous chemical risk assessment depends on who is responsible for the hazardous chemical, which may be either a subcontractor or the principal contractor. The risk assessment should consider:
 - routes of entry;
 - physical form and concentration;
 - chemical and physical properties;
 - who could be exposed and when;
 - how often exposure is likely to occur and for how long;
 - estimation of the level of exposure;
 - compliance with exposure standards;
6. SWMS have been developed for the safe storage and handling of hazardous chemicals that take into account relevant information from the hazardous chemical risk assessment.
7. Controls are identified, implemented and monitored to control the risks of hazardous chemicals in accordance with the SDS, risk assessment and hierarchy of control, including PPE requirements.

8. Workers required to handle hazardous chemicals have received training/instruction in the use of the hazardous chemical (this may be evidenced via worker induction into SWMS).
9. Suitable storage of hazardous chemicals on site.
10. Emergency response procedures are established (e.g. hazardous chemical spill, fire, etc) and suitable emergency equipment is readily available (fire extinguisher/s, spill kit/s, eye wash etc).
11. Exposure monitoring and/or health surveillance/monitoring requirements are determined (where applicable) (refer to WH14.2 & WH14.3).

Evidence of implementation:

- A hazardous chemical register alone will not satisfy this criterion.
- Copies of SDS alone will not satisfy this criterion.
- Some processes may produce hazardous chemicals as by-products or waste. These hazards may not be easily identified when generated at the workplace, for example hydrogen sulphide in a sewer or diesel exhaust fume from truck engines.

For further information on hazardous chemicals, refer to the H&S Regulations and [Model Code for Managing risks of hazardous chemicals in the workplace.](#)

EXAMPLES

Will meet criteria:

- System in place to ensure that SWMS/risk assessments, and current SDS are provided for all hazardous chemicals to be brought onto site (e.g. 'SWMS Review Checklist' or similar) and maintaining an up-to-date chemical register.

Won't meet criteria:

- Relying on a hazardous chemical register and / or SDS only.
- Failing to ensure hazardous chemical risk assessments have been conducted and/or specific controls are listed in SWMS.
- SWMS referring to an SDS without detailing specific controls.

WH15 – Incident Investigation and Corrective Action

The following criteria relate to processes for reporting, notifying and investigating health and safety-related incidents on site, as well as managing corrective actions.

WH15.1 **There is a documented process to ensure all health and safety incidents are reported, Recorded, and investigated as defined by the builder's system, with external notification completed where required.**



This criterion requires the builder to explain the steps used to make sure that all health and safety incidents are reported and investigated, and where necessary, notification to the relevant regulator/asset owner is completed.

Guidance notes for WH15.1

The documented process needs to explain issues such as:

1. Identifying what type of incidents and near miss incidents need to be reported internally (potentially with different escalation etc.) and how this is facilitated;
2. Defining the relevant external incident notification requirements (e.g. regulator/s, OFSC etc) specific to the states/territories within which the builder operates;
3. Describing how incidents are to be recorded/notified, including the reporting tool/s to be used, who will submit the report/notification and who it is provided to;
4. Timeframe/s for reporting of incidents;
5. How incident records will be maintained.

Evidence of implementation:

- Incident report forms alone will not satisfy this criterion.

WH15.2 There is a documented process to ensure Investigations:

4

- are undertaken by a trained person(s);
- identify the factor(s) that led to the incident;
- incorporate a process for the identification and management of corrective actions;
- involve and/or are reviewed by site/senior management as defined by the builder's system; and
- prompt a review of relevant processes/procedures.

This criterion requires the builder to explain the steps used for making sure that any health and safety investigations are completed by trained people, that the investigation process makes sure that the incident causal factors are determined, and that appropriate actions are taken to prevent the incident happening again.

Guidance notes for WH15.2

To satisfy this criterion, the documented process needs to:

1. Outline the internal investigation process including any variations in the investigation process based on severity / types of incidents;
2. Define the training requirement/s for persons conducting internal investigations, and ensure training records (internal and/or external) are maintained;
3. Describe the specific incident investigation approach that the builder uses and how investigations will be documented (e.g. incident investigation report etc).
4. Ensure the causal factors that led to the incident are identified;
6. Detail how corrective actions will be identified, managed and recorded (i.e. corrective action process, corrective action register etc);
7. Ensure site/senior management involvement and/or review of internal investigations and that evidence of this is recorded (e.g. site/senior management sign-off on investigation reports etc);
8. Prompt a review of relevant processes/procedures following the incident investigation, including who is responsible and how any changes to processes/procedures will be communicated etc.

Evidence of implementation:

- Completed incident reports alone will not satisfy this criterion.

WH15.3 There is a documented process to manage corrective actions, including:

3

- specified target completion dates;
- allocated responsibility for addressing corrective actions;
- closure of corrective actions by the specified completion date; and
- identifying organisation-wide issues and ensuring lessons learnt are communicated throughout

This criterion requires the builder to explain the steps used to make sure that any corrective actions raised by the builder are managed so that the actions are completed in a timely manner, signed off by the person responsible and lessons learnt are communicated at the organisational level.

Guidance notes for WH15.3

The documented process for capturing and documenting issues identified as part of the incident reporting / investigation process needs to address issues such as:

1. Allocation of responsibility for addressing each corrective action to individuals or team/s with the necessary expertise and authority;
2. Setting of target completion dates for each corrective action based on urgency/complexity of the issue;
3. How the progress of corrective actions will be monitored against target completion dates, and the responsible role or team within the builder for this;
4. Verifying the completion and effectiveness of corrective actions before close-out;
5. Conducting reviews or follow-up activities to ensure corrective actions have been implemented as planned and have explained the root cause of the issue;
6. How the need for organisational-wide lessons learnt (e.g. Safety Alerts, etc) will be determined and communicated throughout the organisation (e.g. meetings, toolbox talks, email, noticeboards, etc).

Evidence of implementation:

- A corrective action register alone will not satisfy this criterion.

WH17 – Health & Safety Management System Audit

The following criteria relate to the process of establishing and implementing an internal health and safety management system audit program, at both builder and project levels, in addition to managing corrective actions.

WH17.1 There is a documented process to ensure a health and safety management system audit program is established for the builder and project, and audits are scheduled in accordance with the program.

3

This criterion requires the builder to define how management system audits are planned, including the requirement to develop a documented audit schedule at both the builder and project level.

Guidance notes for WH17.1

The documented process needs to explain issues such as:

1. The builder's approach for establishing a workplace health and safety management system audit program at both builder and project levels, including the development and maintenance of an internal Audit Schedule.
2. How the builder ensures audits are programmed and completed in accordance with the internal Audit Schedule;
3. Defining the responsible role or team within the builder for audit scheduling.

Evidence of implementation:

- An Audit Schedule alone will not satisfy this criterion.
- Audits at either the builder or project level alone will not satisfy this criterion.

WH17.2 There is a documented process to ensure that the audit program defines the audit:

3

- scope;
- approach;
- reporting requirements; and
- process for identifying and managing corrective actions.

This criterion requires the builder to explain the steps used of conducting an audit including setting out the scope of the audit, detailing how the audit will be conducted and managed, what needs to be reported as a result and to whom, and how any corrective actions identified will be explained.

Guidance notes for WH17.2

The documented process needs to outline the builder's approach for:

1. Defining the objectives of the audit program (this will guide the development of the audit scope and approach);
2. Determining the scope of the audit by specifying the processes, systems, or areas to be examined (i.e. at builder and project levels);
3. Describing the audit approach to be employed based on the objectives and scope of the audit (i.e. specific procedures and techniques to be used);
4. Reporting audit results – to whom, by whom, when, how, etc (e.g. management review meetings, project meetings? etc).
5. Identifying and managing corrective actions identified during the audit process.

Evidence of implementation:

- Explaining the scope, approach, and corrective action process within an audit report alone will not satisfy this criterion.
- Reporting requirements without any escalation to senior management will not satisfy this criterion.

WH17.3 There is a documented process to ensure that formally trained personnel undertake audits in accordance with the schedule.

4

This criterion requires the builder to identify the formal training required for undertaking audits and ensure audits in line with the audit schedule are completed by an auditor with the nominated training.

Guidance notes for WH17.3

The documented process needs to describe issues such as:

1. How the builder ensures audits are undertaken by a formally trained person in accordance with the internal Audit Schedule;
2. Specific formal training requirements for person/s required to conduct internal audits (e.g. Internal Auditor training);
3. How the builder will maintain relevant training records.

Evidence of implementation:

- The auditor training record alone will not satisfy this criterion.
- Copies of audit reports alone will not satisfy this criterion.

FP1 Senior Management Commitment

The following criteria relate to senior manager involvement in the HIRAC process, senior manager site visits, training in WHS duties and due diligence, as well as reporting performance against WHS objectives and targets.

FP1.1 There is a documented process to ensure that senior managers demonstrate participation in the builder HIRAC processes.



This criterion requires the builder to make sure that senior managers are actively involved in HIRAC processes for their area of responsibility. Senior manager means a person responsible for controlling or administering a significant part of the builder or group of employees above the project level management team.

Guidance notes for FP1.1

The documented process needs to explain issues such as:

1. Defining senior management roles of the builder;
2. Identifying specific HIRAC processes that require senior manager involvement (e.g. risk register development, review etc);
3. How senior manager involvement is to be recorded (e.g. sign-off on risk registers etc).

Evidence of implementation:

- The criterion will not be satisfied where there is a failure to identify the senior management roles within the builder.

FP1.2 There is a documented process to ensure WHS reports are produced that:



- **monitor performance against the WHS objectives and targets defined by the organisation;**
- **are regularly reviewed by senior management; and**
- **are communicated to site management.**

This criterion requires the builder to explain the steps used to make sure that WHS performance reports are compiled to review the project and builder's performance against the objectives and targets set by the builder. The reporting process must include a senior management review component and results must be communicated to site management.

Guidance notes for FP1.2

The documented process needs to explain issues such as:

1. Defining WHS objectives and targets for the builder/project;
2. Approach for compiling WHS performance reports, based on performance against the WHS objectives and targets, including who compiles the report;
3. How the builder ensures WHS reports are reviewed by senior management and communicated to site management (e.g. management review meetings, project team meetings, emails etc).
4. How evidence of senior management review and communication to site management is recorded (e.g. meeting minutes etc).

Evidence of implementation:

- Objectives and targets at project and builder levels that are not aligned will not satisfy this criterion.
- Production and review of WHS reports alone will not satisfy this criterion.

EXAMPLES

Will meet criteria:

- WHS Targets and objectives in the WHS performance report align with those in the system procedure and/or WHS Management Plan.
- WHS Targets are based on both leading and lagging indicators.

Won't meet criteria:

- Process does not clearly describe how WHS performance reports will be communicated back to senior and site management.

FP1.3 **5** There is a **documented process** to ensure **senior managers, site managers and supervisors are trained in WHS obligations/due diligence, and the builder's WHS management system requirements relevant to their role.**

This criterion requires the builder to explain the steps used to make sure senior managers, site managers and supervisors are trained in their WHS legal duties and the builder's WHS management system requirements, relevant to the role.

Guidance notes for FP1.3

The documented process needs to describe:

1. Builder roles that require training in WHS legal duties and the builder's WHS Management system (e.g. procedure may also refer to a Training Matrix, or similar);
2. The specific training courses (training program/outline etc) to implement the required training;
3. How training is recorded and maintenance of training records.

Evidence of implementation:

- Training records alone will not satisfy this criterion.
- Generic WHS training alone will not satisfy this criterion.

A general induction safety course will not meet this criterion.

EXAMPLES

Will meet criteria:

- Training is provided and recorded with regards to ALL elements of the criteria (i.e. WHS system induction, WHS obligations & due diligence).

Won't meet criteria:

- Assuming that a General construction safety induction will satisfy the WHS obligations & due diligence training requirement.

FP1.4 **5** There is a **documented process** that ensures **senior managers regularly visit the site and discuss WHS issues with site management and workers**

This criterion requires the builder to explain the steps used to make sure that senior managers are required to visit project sites at a nominated frequency and discuss any relevant WHS hazards/issues with site management and workers.

Guidance notes for FP1.4

In order to explain this criterion the documented process needs to describe:

1. The senior management roles within the builder;
2. The builder's process for senior managers to conduct site visits- including frequency (frequency may differ for different senior manager roles);
3. The specific activities that senior managers are required to participate in when visiting the site (e.g. site inspection, task / SWMS implementation observation, toolbox talk? etc);
4. How senior manager discussions with site management and workers will be recorded (including topic/s of discussion etc.)

Visits to project sites with no record of attendance or records of discussion of WHS will not satisfy this criterion.

Evidence of implementation:

- Project Manager and Construction Manager attendance alone will not satisfy this criterion.

EXAMPLES

Will meet criteria:

- Defining the senior management roles and ensuring that all relevant senior managers are included in the site visit schedule.

Won't meet criteria:

- Failing to identify how the builder ensures that senior managers engage in WHS-related discussions while on site and how this will be recorded.

FP2 Integration of Design Issues into the Risk Management Process

The following criteria relate to processes for managing safety in design at the project, whether or not the builder is involved/has input into the design. This includes transferring any remaining design issues or hazards to the project risk register/assessment, managing design changes, and communicating hazards or changes in hazard controls to relevant workers.

FP2.1 **2** Where the principal contractor is involved in the design or has input into the design, a documented process exists for ensuring risk assessments are undertaken at the design stage to identify, assess and control WHS buildability issues that may arise during construction.

This criterion requires the builder to explain the steps used to manage projects that are 'design and construct' (i.e. where the contract held by the PCBU includes a requirement to facilitate and control the design of the structure), including the completion of a risk assessment of the design for buildability issues prior to the construction stage of the project.

Where a builder can establish that they never have involvement in design, (i.e. they will not tender or accept a design and construct project) a 'not applicable' for this criterion is possible.

Guidance notes for FP2.1

The documented procedure needs to describe the builder's process to implement risk controls via the design process that typically involves the development of a Design Risk Assessment (or similar), to identify, assess and control WHS buildability issues that may arise during construction.

The process should explain issues such as:

1. The use of design controls to explain WHS buildability issues;
2. Approach for developing a Design Risk Assessment (e.g. design workshops etc) and how design controls feature within this process;
3. Individual role or team responsible for developing the Design Risk Assessment;
4. How the Design Risk Assessment and associated records will be maintained at the project.

Evidence of implementation:

- A Risk Assessment process that does not consider 'buildability' hazards and design related controls will not satisfy this criterion.

For further information on managing safety in design, refer to the [Model Code: Safe design of structures](#) and [OFSC Booklet: The design and procurement stage](#).

FP2.2

3

Where the **principal contractor** has no input into the design, a **documented process** exists for ensuring design-related WHS buildability issues are identified, assessed and controlled at the pre-construction phase.

This criterion requires the builder to explain the steps used for obtaining and reviewing a safe design risk assessment including buildability issues from the designer for 'construct-only' projects (i.e. where the contract held by the PCBU does not include any design duties or control over the design decisions) prior to the construction stage of the project. Where this risk assessment is not received from the designer the builder is required to have a process to make sure a risk assessment of the design for buildability issues is completed prior to the construction stage of the project.

Guidance notes for FP2.2

The documented procedure needs to describe the builder's process for requesting and obtaining a Design Risk Assessment (or similar) from the client to ensure design-related WHS buildability issues are identified, assessed and controlled at the pre-construction phase.

The process should explain issues such as:

1. Formal process for requesting a Design Risk Assessment from the client/designer during the pre-construction phase, utilising methods such as the Request for Information (RFI) process;
2. Defining the review and assessment process for the design risk assessment and where relevant the request for further clarification and / or assessment and control of WHS buildability issues as part of the design.
3. Describing a contingency process in cases where a suitable Design Risk Assessment cannot be obtained from the client/designer. This may involve ensuring that buildability hazards/issues are adequately assessed by completing a builder-developed Design Risk Assessment that explains buildability hazards.
4. Outlining the procedures for maintaining the Design Risk Assessment and associated records at the project.

Evidence of implementation:

- A Risk Assessment that does not consider 'buildability' hazards will not satisfy this criterion.
- Requesting a safe design risk assessment from the designer alone will not satisfy this criterion.

For further information on managing safety in design, refer to the [Model Code: Safe design of structures](#) and [OFSC Booklet: The design and procurement stage](#).

FP2.3

4

There is a **documented process** to ensure residual buildability hazards identified in FP2.1 and FP2.2 are transferred and explained in the project specific risk assessment process.

This criterion requires the builder to explain the steps used to make sure that any buildability hazards identified in the Safe Design Risk Assessment that cannot be adequately controlled at the design stage are transferred to the project risk assessment/Register.

Guidance notes for FP2.3

The documented procedure needs to outline the builder's process for ensuring all buildability hazards with residual risks, which cannot be entirely controlled during the design stage, are transferred to the project risk assessment/Register for effective management during construction.

Additionally, it should specify the responsible individual or team responsible for this transfer and describe how this is recorded.

Evidence of implementation:

- Having a safe design risk assessment and a project risk assessment/register alone will not satisfy this criterion.

For further information on managing safety in design, refer to the [Model Code: Safe design of structures](#) and [OFSC Booklet: The design and procurement stage](#).

FP2.4**4**

There is a **documented process** to ensure a HIRAC process is conducted on changes to design during construction, with any new hazards or changes to hazard controls communicated to relevant workers

This criterion requires the builder to explain the steps used to make sure that any design changes that occur during the construction phase of the project are assessed using the HIRAC process to see whether the change introduces new hazards or changes existing hazards on the project, and that the changes to hazards or controls are communicated to relevant workers.

Guidance notes for FP2.4

The **documented process** needs to describe how:

1. Design changes that occur during construction are promptly identified and documented (e.g. design change review, RFI etc). This may include alterations to plans, specifications, or materials;
2. Identified design changes are subjected to the HIRAC process. This involves evaluating whether the change introduces new hazards or alters existing hazards or proposed controls on the project;
3. Each identified hazard resulting from the design change is assessed to determine its potential risk level.
4. Based on the risk assessment, appropriate control measures are developed to mitigate or eliminate the identified hazards.
5. Any changes to hazards or controls resulting from the design changes are effectively communicated to relevant workers (e.g. prestart, toolbox meeting, updated SWMS, etc).

Evidence of implementation:

- A design change process that does not incorporate HIRAC will not satisfy this criterion.
- An indication of 'no change required' without assessment of the design change will not satisfy this criterion.
- Review of design change without communication of resulting changes to relevant workers will not satisfy this criterion.

For further information on managing safety in design, refer to the [Model Code: Safe design of structures](#).

FP3 Whole of Project Consultation

The following criteria relate to processes for establishing consultation/cooperation/coordination arrangements at the project, including WHS issue resolution, and worker's (or representative's) involvement in developing site safety procedures.

FP3.1**4**

There is a **documented process** for the establishment of WHS consultation, cooperation and coordination arrangements, including:

- **agreement on the establishment of consultation arrangements with workers on site;**
- **consultation with workers or their representatives when WHS issues arise;**
- **a program to ensure regular meetings with minutes of the meetings available to all workers;**
- **training for health and safety representatives/WHS committee members where requested/required.**

This criterion requires the builder to explain the steps used to setup consultation arrangements on the project including agreement with workers on how consultation will be conducted and documented, plus training for health and safety representatives and/or committee members.

Guidance notes for FP3.1

The **documented process** needs to explain issues such as:

1. How worker agreement on the proposed consultation arrangements on site will be obtained and recorded (e.g. via a toolbox talk, site induction, prestart, etc?);
2. Process for consultation with workers or their representatives when WHS issues arise (refer also to FP3.2), including the builder's role/s involved and how consultation will be recorded;
3. Specific consultation forums to be established at the project site (e.g. prestart meetings, toolbox meetings, subcontractor meetings, project team meetings, WHS Committee, etc?), including how minutes of relevant meetings will be made available to all workers;

4. Training requirements for health and safety representatives/WHS Committee members (where required), including how training records will be maintained on site.

The [Safe Work Australia Guide: Worker representation and participation](#), provides guidance on the election and training requirements for WHS Representatives.

Evidence of implementation:

- A consultation process without evidence of agreement with workers regarding the arrangements to be undertaken will not satisfy this criterion.

For further information on consultation in the workplace, refer to the [Model Code: Work health and safety consultation, cooperation and coordination](#)

FP3.2 There is a documented process for WHS issue resolution that is communicated to all workers on site.

2

This criterion requires the builder to explain the steps used to resolve issues related to WHS per the requirements of the legislation, with communication of the issue resolution arrangements to all workers on the site. The WHS Regulations set out a default procedure for issue resolution and includes the minimum requirements.

Guidance notes for FP3.2

The WHS Issue Resolution process must explain, as a minimum, the requirements under the WHS Regulations (including required escalation process).

The procedure must also describe how the WHS Issue Resolution process will be communicated to workers on site (e.g. site induction, prestart, notice boards, etc?).

Evidence of implementation:

- Posting the Issue Resolution procedure on a site notice board alone will not satisfy this criterion.

For further information on consultation in the workplace, refer to the [Model Code: Work health and safety consultation, cooperation and coordination](#).

FP3.3 There is a documented process to ensure workers, or their health and safety representatives, are involved in the development of site safety procedures relevant to the work they are undertaking.

2

This criterion requires the builder to explain the steps used for engaging with workers or their WHS representatives when developing health and safety procedures (e.g. SWMS, JHA, SOP etc.) that are within the scope of works being undertaken by the workers.

Guidance notes for FP3.3

The documented process needs to describe the builder's approach for consulting (or where relevant verifying consultation has occurred) with relevant workers or their WHS representatives when health and safety procedures are developed (e.g. SWMS, JHA, SOP etc.), including:

1. Who facilitates the worker/representative consultation;
2. How the consultation will be facilitated;
3. How the consultation will be recorded/verified.


Evidence of implementation:


- A generic statement that workers have been involved in the development of the procedure will not satisfy this criterion.

For further information on worker consultation, refer to [Safe Work Australia Guide: Worker representation and participation](#).

FP4 Management of Subcontractor WHS

The following criteria pertain to procedures concerning the provision of relevant WHS information to subcontractors, the application of HIRAC in subcontractor selection, acquisition and assessment of SWMS, site induction protocols, subcontractor involvement in site inspections, and monitoring of SWMS implementation on site.

	<p>FP4.1 There is a <u>documented process</u> to ensure details from the <u>principal contractor's WHS plan</u> and/or <u>project risk assessment</u> are provided to subcontractors as applicable to the scope of works they are undertaking prior to the commencement of work.</p>
<p>This criterion requires the builder to explain the steps used to make sure relevant details from their WHS Plan, <u>project risk assessment</u>, site rules etc, are provided to subcontractors prior to commencing onsite.</p>	
<p>Guidance notes for FP4.1</p>	
<p>The <u>documented process</u> needs to explain issues such as:</p> <ol style="list-style-type: none"> 1. The means by which details from the project WHS Plan and/or <u>project risk assessment</u> are provided to subcontractors prior to commencing on site (e.g. subcontractor engagement pack, electronic access etc?); 2. Who does this task and how this is recorded. 	
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> • Providing this information at induction alone will not satisfy this criterion. • Providing the whole management system will not satisfy this criterion. 	

	<p>FP4.2 There is a <u>documented process</u> to ensure HIRAC is applied in subcontractor selection/procurement.</p>
<p>This criterion requires the builder to explain the steps used to make sure safety forms part of the requirements considered when selecting subcontractors to be engaged on site. By integrating HIRAC into procurement processes, companies can promote safer subcontractor selection and project execution, ultimately reducing the likelihood of incidents and injuries on site.</p>	
<p>Guidance notes for FP4.2</p>	
<p>The <u>documented process</u> needs to detail the builder's method for applying HIRAC as part of the subcontractor prequalification stage, including:</p> <ol style="list-style-type: none"> 1. Defining the WHS criteria that subcontractors will be assessed against; 2. The tool/s used to assess the suitability of subcontractors (e.g. subcontractor pre-commencement evaluation, etc); 3. How HIRAC is applied as part of the process (e.g. rating system based on subcontractor's performance against the defined health and safety criteria); 4. How subcontractors are deemed suitable or not, based on the extent to which they meet the defined health and safety criteria. Parameters may include achieving a minimum score or meeting specific thresholds in areas such as safety performance, compliance, and capability; 5. Where appropriate specifying risk mitigation strategies/controls to manage low ratings outcomes of the WHS review if the contractor is to be utilised; 6. Who does this task and how this is recorded, internally accessed and maintained. 	
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> • Review of subcontractor performance on site alone will not satisfy this criterion. • Review without management actions will not satisfy this criterion. 	
<p>EXAMPLES</p>	
<p>Will meet criteria:</p> <ul style="list-style-type: none"> • Ensuring a HIRAC process (e.g. risk score/rating) is included in the tool used by the builder to assess the suitability of a subcontractor during the selection process. 	<p>Won't meet criteria:</p> <ul style="list-style-type: none"> • Assessing subcontractor performance post work completion only. • Relying on a preferred / approved subcontractor list/register alone.

FP4.3



There is a **documented process** to ensure SWMS are developed for all high-risk construction work as defined in relevant legislation, codes of practice and Australian standards, and these are reviewed by the **principal contractor** against builder defined criteria prior to the commencement of work.

This criterion requires the builder to explain the steps used to make sure that site-specific SWMS are developed for all high-risk activities, with a specific review completed by the **principal contractor** to make sure the SWMS meets the builder requirements.

Guidance notes for FP4.3

The **documented process** needs to explain issues such as:

1. Defining work activities that require a SWMS to be developed, and ensuring this as a minimum includes high risk construction work as defined under the WHS Regulations;
2. Ensuring SWMS are developed and/or obtained for each identified activity on site;
3. Reviewing each SWMS against builder-defined SWMS criteria prior to commencement of work, including the minimum SWMS requirements under the WHS Regulations;
4. The tool/s used to conduct the SWMS review (e.g. SWMS review Checklist, etc);
5. Process for amending/updating SWMS as a result of the review process;
6. Who does this task and how this is recorded, internally accessed and maintained.

Evidence of implementation:

- A SWMS without a documented review completed by the **principal contractor** prior to works starting will not satisfy this criterion.
- Identified issues in the SWMS not explained prior to work commencing will not satisfy this criterion.

For further information on SWMS, refer to [OFSC Fact Sheet: Safe work method statements \(SWMS\)](#).

FP4.4



There is **documented process** to ensure a common system of site induction for all subcontractors and workers.

This criterion requires the builder to explain the steps used to provide a standard system of induction training to all workers and visitors at the project.

Guidance notes for FP4.4

The **documented process** for conducting site inductions needs to:

1. Identify those who require a site induction including for example:
 - Workers (employees, subcontractors).
 - Visitors (suppliers, clients, guests).
2. Ensure site induction content aligns with the minimum induction requirements under the WHS Regulations (e.g. via Induction Agenda prompts);
3. Identify who facilitates site inductions and how they are recorded (e.g. Induction record, Induction Register, etc).
4. Detailing how induction records are internally accessed and maintained on site.

Evidence of implementation:

- Visitors need not receive a full site induction as long as they are accompanied at all times by a site inducted person and essential safety information has been provided (e.g. safety rules, emergency procedures, restricted areas, designated walkways, and any specific precautions or hazards).
- The use of an induction or sign-in register alone will not satisfy this criterion.

FP4.5

There is a documented process to ensure subcontractors participate in undertaking WHS inspections with the principal contractor.

4

This criterion requires the builder to explain the steps used to make sure the builder and subcontractors complete inspections on the project together. This criterion requires subcontractors to participate in inspections on more than just their own immediate work area.

Guidance notes for FP4.5

The documented process needs to explain issues such as:

1. Determining the frequency and approach for conducting WHS inspections on site;
2. Specifying the responsible role or team within the builder for undertaking these inspections and how they are recorded (e.g. Site Inspection Checklist);
3. Outlining the involvement of subcontractors in site WHS inspections and how their participation will be recorded.
4. Detailing how site inspection records are internally accessed and maintained on site.

Evidence of implementation:

- Evidence that subcontractors have been inspected will not satisfy this criterion.
- This criterion does not require subcontractors to participate in all inspections on the project.
- Evidence of subcontractors participating in inspections of their own work area alone will not satisfy this criterion.

FP4.6

There is a documented process to ensure work is undertaken in accordance with SWMS.

3

This criterion requires the builder to explain the steps used to review the work activities being undertaken to make sure works are being completed in accordance with the controls specified within the SWMS.

Guidance notes for FP4.6

The documented procedure must explain the following aspects:


1. Establishing the frequency and methods for assessing work activities to verify compliance with applicable Safe Work Method Statements (SWMS) on site;
2. Clearly defining the responsible role or team within the builder for conducting these assessments and detailing the recording process (e.g. SWMS reviews/task observations).
3. Detailing how these records are internally accessed and maintained on site.


Evidence of implementation:


- A site inspection process without criteria for the evaluation of SWMS compliance will not satisfy this criterion.
- An inspection record that doesn't include the details of the SWMS against which the work is being reviewed will not satisfy this criterion.

FP5 Project Performance Measurement

These criteria relate to the builder's procedures for integrating project WHS performance reports into the overall WHS reporting process, developing project-specific management plans, and implementing a WHS site inspection program.


FP5.1 	<p>There is a documented process to ensure WHS performance reports are produced at a project level and incorporated into the builder WHS reporting process.</p>
<p>This criterion requires the builder to explain the steps used to prepare WHS reports that review the project WHS performance, and how the report/outcomes are included in the builder's WHS reporting processes.</p>	
<p>Guidance notes for FP5.1</p>	
<p>The <u>documented process</u> needs to explain issues such as:</p> <ol style="list-style-type: none"> 1. Establishing the minimum project level reporting criteria (refer also to FP1.2); 2. Frequency of project reporting; 3. Clearly defining the responsible role or team within the builder for compiling the reports, reviewing and assessing the reports, etc.; 4. Detailing the mechanisms through which the builder ensures that project WHS reports are integrated into the builder's overall WHS reporting process including as detailed in FP1.2. 	
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> • A project level WHS performance report alone will not satisfy this criterion. 	

FP5.2 	<p>There is a documented process to ensure that a project-specific WHS management plan is developed for each project that:</p> <ul style="list-style-type: none"> • is signed off/authorised by the senior management position allocated overall WHS responsibility for the project; • clearly defines the WHS roles and responsibilities for the project; • outlines the scope of works for the project and how they will be managed; and • includes specific prompts for review and evaluation.
<p>This criterion requires the builder to explain the steps used to develop and approve the site-specific WHS Management Plan for the project. The WHS Management Plan must be specific to the project and include prompts for review to make sure it remains up-to-date.</p>	
<p>Guidance notes for FP5.2</p>	
<p>The <u>documented process</u> must cover the following:</p> <ol style="list-style-type: none"> 1. Requirement and responsibility for the development of a project specific WHS management plan; 2. Outline the steps involved for developing a site-specific WHS Management Plan; 3. Detail the WHS Management Plan authorisation and review process, including sign-off by the senior management position allocated overall WHS responsibility for the project; 4. Ensure that the minimum contents of the plan (or template plan) explains issues such as <ul style="list-style-type: none"> • the builder/project personnel who have WHS roles and responsibilities for the project and their WHS responsibilities are clearly identified; • the scope of works for the project and how they will be managed; 5. Establish the review frequency for the WHS Management Plan throughout the duration of the project to ensure it remains current, including how this will be recorded (e.g. document revision table, review/amendment register). 	
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> • Generic WHS Management Plans that are not specific to the project will not satisfy this criterion. • WHS Management Plans must align with the WHS Regulations relating to WHS Management Plans. • Sign off of the WHS Plan without definition or position description of who has overall WHS responsibility for the project will not satisfy this criterion. 	

FP5.3  2	<p>There is a documented health and safety inspection program that:</p> <ul style="list-style-type: none"> • defines intervals and criteria for inspections; • uses workplace specific checklist(s) to monitor compliance; and • incorporates a process for the identification and management of corrective actions.
<p>This criterion requires the builder to make sure that inspections of all work activities are completed to assess that works are being undertaken in accordance with the project WHS requirements, with a process for management of any identified non-compliances.</p>	
<p>Guidance notes for FP5.3</p>	
<p>The <u>documented process</u> needs to explain issues such as:</p> <ol style="list-style-type: none"> 1. Determining the frequency and approach for conducting WHS inspections on site; 2. Specifying the responsible role or team within the builder for undertaking these inspections and how they are recorded (e.g. Site Inspection Checklist); 3. Outlining how corrective actions will be identified, managed and recorded (i.e. corrective action process, corrective action register etc); 4. Detailing how site inspection <u>records</u> are internally accessed and maintained on site. 	
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> • Inspection criteria that do not consider hazards associated with the project scope of works will not satisfy this criterion. 	

FP6 Training Arrangements

These criteria relate to the builder's processes for identifying and verifying minimum WHS training requirements, ensuring workers are inducted into relevant work procedures/SWMS, and the recording of WHS training provided to employees.

FP6.1  3	<p>There is a documented process to identify minimum WHS training, competency, qualification and licensing requirements for workers on the project.</p>
<p>This criterion requires the builder to explain the steps used to make sure that any specified WHS training, competency, qualification and licensing requirements are identified and documented for the workers on the project.</p>	
<p>Guidance notes for FP6.1</p>	
<p>The <u>documented process</u> must explain issues such as:</p> <ol style="list-style-type: none"> 1. Procedures for identifying WHS training, competency, qualification, and licensing requirements. This may involve the creation of a Training Needs Analysis/Training Matrix or equivalent methods; 2. Identifying high-risk work licence and induction requirements required under the WHS Regulations; 3. Outlining a process for verifying competency (VoC process) where required; <p>Refer to OFSC Fact Sheet – Verification of Competency – Mobile plant, for information relating to <u>verification of competency</u> requirements.</p> <ol style="list-style-type: none"> 4. Defining the responsible role or team within the builder for developing and maintaining the Training Needs Analysis/Training Matrix, or equivalent. 	
<p>Evidence of implementation:</p> <ul style="list-style-type: none"> • For some activities, training or licences alone may not satisfy this criterion; for instance, a <u>verification of competency</u> process may need to be undertaken. • Evidence of training/licences alone will not satisfy this criterion. 	

FP6.2

There is a documented process to ensure identified minimum WHS training, competency, qualification and licensing requirements are verified.

2

This criterion requires the builder to explain the steps used for verifying that workers have received minimum WHS training and have the relevant qualification and/or licence/s where required.

Guidance notes for FP6.2

The documented process must explain issues such as:

1. Procedures for verifying workers on the project have the required WHS training, competency, qualification, and licensing requirements, as determined as part of FP6.1. For example this may include:
 - Prequalification criteria that include WHS training, competency, qualifications, and licensing requirements.
 - Verification checks during site inductions to ensure each worker's training, competency, qualifications, and licensing are up-to-date and relevant to their assigned tasks.
2. Describing how WHS training, competency, qualifications, and licenses etc will be verified, recorded and maintained for the project (e.g. copies of qualifications, VoC, licences etc);
3. Defining the responsible role or team within the builder for verifying and maintaining induction and training records for the project.

Evidence of implementation:

- Overdue minimum training requirements that are scheduled but not yet delivered will not satisfy this criterion.

FP6.3

There is a documented process to ensure workers are inducted in the site safety procedures relevant to the work they are undertaking.

1

This criterion requires the builder to explain the steps used to ensure that all workers are instructed in the site safety procedures of the work they are undertaking, including but not limited to SOPs, SWMS, permits etc. Inducted means builder specific instruction provided to a worker related to a task, activity or process, with evidence of worker acknowledgement of instruction provided.

Guidance notes for FP6.3

The documented process should cover the following aspects:

1. Identification of relevant procedures, such as Standard Operating Procedures (SOPs), SWMS, Job Safety Analyses (JSA), etc, that require worker induction;
2. Outlining the methods for conducting induction sessions (e.g. in-person training, online, etc);
3. Clearly define the responsible role or team tasked with conducting the inductions;
4. Detailing how workers' comprehension of safety procedures will be verified, which may involve quizzes, practical demonstrations, verbal confirmation, etc;
5. Establishing how workers will acknowledge their understanding of the safety procedures by signing off on documents such as SOPs, SWMS, JSA, etc.
6. Method for ensuring subcontractors have been inducted into their applicable SOPs, SWMS, JSA, etc. This may include workers signing the document/s to acknowledge their induction and understanding and having a process to verify this has occurred such as via the principal contractor's SWMS Review Checklist and SWMS reviews/task observations (or similar) etc.

Evidence of implementation:

- Induction that only captures some of the site safety procedures relevant to the work being undertaken will not satisfy this criterion.
- Induction with no evidence of worker acknowledgement of instruction provided will not satisfy this criterion.

FP6.4

There is a documented process to Record WHS training provided to employees.



This criterion requires the builder to explain the steps used to make sure that any training provided to employees is recorded in accordance with the builder and/or project training requirements. This includes internally and externally provided training.

Guidance notes for FP6.4

The documented process should encompass the following:

1. Methods and tools used for recording employee training, such as training attendance certificates, trainee sign-off on acknowledgement forms/attendance registers, training registers, etc;
2. Process for storing/maintaining and accessing training records, either electronically or in hard copy format. Including details such as the date of training, topics covered, trainer’s name, and attendee names.
3. Identifying the responsible role or team responsible for maintaining training records in accordance with the builder’s and/or project training requirements.

Evidence of implementation:

- A training record alone will not satisfy this criterion.

H1 Working at Heights

The following criteria relate to the builder's processes for identifying and managing risks associated with working at heights. This includes safe access and egress, falls and falling objects, the design and installation of fall prevention systems and structures, ensuring worker training and competency, and preparing for emergency response situations.

H1.1

The risks associated with the potential for a person falling are identified, assessed and controlled in accordance with the Falls from Height Hierarchy of Control.



This criterion requires the builder to have a process to identify the potential activities on the project where a person may fall from height, undertake an assessment of the risks associated with the identified hazards and implement controls consistent with the Falls from Height Hierarchy of Control.

Guidance notes for H1.1

The documented HIRAC process to manage fall from height risks may involve multiple layers of assessment such as a project level assessment, SWMS, work at height permits or specific work at heights risk assessments, as well as the builder’s minimum standards and controls associated with work at heights.

The proposed controls to manage risks associated with the potential for a person falling must be in accordance with the falls from height hierarchy of controls and applicable legislation, codes of practice and Australian Standards.

Whenever possible, consideration should be given to conducting work tasks at ground level to eliminate the risk of falls. Should ground-level work not be practicable, Safe Systems of Work must be implemented based on the Fall from Height Hierarchy of Control. This encompasses (in order of preference):

1. Implementing **fall prevention** measures such as scaffolding, edge protection, safety mesh, and elevating work platforms (EWPs);
2. Utilising a **work positioning** system like a restraint system;
3. Employing a **fall arrest** system such as a fall-arrest harness or catch platform.

Ensure that the specific fall from heights controls to be implemented on site are clearly documented (e.g. project risk assessment/Register, SWMS, specific work at heights risk assessments etc.

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#), and [Safe Work Information Sheet – Safe work on roofs](#).

H1.2 The risks associated with the potential for falling objects are identified, assessed and controlled in accordance with the Hierarchy of Control.

1

This criterion requires the builder to have a process to identify potential activities on the project that may pose a falling object hazard, undertake an assessment of the risks associated with the identified hazards and implement controls consistent with the Hierarchy of Control.

Guidance notes for H1.2

The documented HIRAC process to manage falling objects risks may involve multiple layers of assessment such as a project level assessment, SWMS, work at height permits or specific work at heights risk assessments, as well as the builder's minimum standards and controls associated with work at heights. The proposed controls to manage risks associated with the potential for falling objects must be in accordance with the hierarchy of controls and applicable legislation, codes of practice and Australian Standards.

Where possible, work should be carried out at ground level to prevent falls and falling object hazards. If this is not possible, Safe Systems of Work need to be provided and maintained to ensure adequate protection from falling objects, in line with the Hierarchy of Control. For example:

Preventing falling objects:

- toe boards or infill panels that form part of a guardrail system.
- tethering/securing tools and materials to prevent them falling.
- keeping tools or other materials away from edges and off of railings or sills.
- using chutes when placing debris into a skip below a work area.

Arresting falling objects:

- erecting a covered pedestrian walkway.
- erecting a catch platform with vertical sheeting or perimeter screening.
- providing overhead protection on mobile plant.
- toe boards or infill panels that form part of a guardrail system.
- tethering or otherwise securing tools and materials.
- using chutes when placing debris into a skip below a work area.

Additional controls – (Nb. these controls should not be relied upon as the sole means of falling object protection where more effective controls can be implemented):

- exclusion zones.
- spotters.
- PPE (e.g. hard hats).

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#), [Safe Work Information Sheet – Safe work on roofs](#) and [Safe Work Fact Sheet- Falling objects](#).

H1.3 Safe Systems of Work have been developed to ensure fall prevention systems/structures are:

5

- verified as installed in accordance with the manufacturers' instructions and relevant legislation, codes of practice and Australian standards; and
- subject to regular documented inspection as per the relevant legislation, codes of practice and Australian standards.

This criterion requires the builder to have a process to ensure any systems/structures in place to prevent falls are both verified as being installed according to the specifications required by the manufacturer, and any other relevant legal and other requirements and also subject to regular inspections to verify the ongoing suitability of the fall prevention system/structure.

Guidance notes for H1.3

The system needs to ensure that Safe Systems of Work are developed relating to fall prevention systems/structures.

Examples of fall prevention systems/structures include:

- scaffolds (fixed & mobile);
- temporary guardrails/edge protection;
- safety mesh / screen systems to prevent falls and falling objects;
- catch platforms;
- restraint systems; etc.

The Safe Systems of Work need to explain factors such as:

1. Process for verifying that the installation of fall prevention systems/structures is in accordance with the engineered design, manufacturers' instructions, relevant legislation, codes of practice and Australian standards (e.g. obtaining Handover Certificates to verify the initial installation etc);
2. Ensuring fall prevention systems/structures are regularly inspected in accordance with relevant legislation, codes of practice and Australian standards (e.g. 30-day inspections for scaffolding, etc).
3. Maintaining relevant records such as inspection criteria, inspection outcomes and handover certificates.

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#), [Safe Work Guide- Scaffold inspection and maintenance](#), and [OFSC Fact Sheet – Scaffolding in construction](#).

EXAMPLES

Will meet criteria:

- Schedule for inspection of all relevant fall prevention systems/structures at the project, including competency requirements for person/s conducting inspections.
- Obtaining suitable handover certificates for installed systems (scaffolds, handrails, attachment points etc).

Won't meet criteria:

- Reliance on Scaffold-tags alone, rather than obtaining suitable handover certificates.
- Failing to ensure that person/s inspecting fall prevention systems/structures meet the relevant, minimum competency requirements.

H1.4 Safe systems of work have been developed to ensure that where fall restraint/fall arrest equipment is being used on site:



- workers have been formally trained in the use of such equipment;
- there is a maintenance and inspection schedule for the equipment;
- attachment points are designed and certified by a qualified person; and
- attachment points are installed by a trained person and regularly inspected by a competent person

This criterion requires the builder to develop and maintain systems for the management of fall restraint/fall arrest equipment, and to make sure that the equipment being used is used by formally trained persons, appropriately maintained/inspected, and attached to anchor points that are certified to be adequate to sustain the potential force of a falling person.

Guidance notes for H1.4

The system needs to ensure that Safe Systems of Work are developed for the use of fall restraint/fall arrest equipment.

The safe systems of work need to establish requirements to explain and verify factors such as:

1. Ensuring workers using fall restraint/arrest equipment have received formal training (e.g. RIIOWHS204A – Work safely at heights, or equivalent) and that training records are verified and maintained.
2. Establishing an inspection and maintenance schedule (e.g. pre/post use inspections, 6-monthly harness inspections, 6-monthly attachment point inspections, etc). This includes identifying relevant training/competency requirements for persons inspecting the equipment.

[AS/NZS 1891.4 - Industrial fall-arrest systems and devices, Part 4: Selection, use and maintenance](#), provides guidance on inspection and maintenance requirements for fall arrest fall restraint/arrest equipment.

3. Verifying that attachment points are engineer-designed/certified and installed by a trained person (e.g. qualified scaffolder/rigger);
4. Maintaining inspection and maintenance records, including attachment point installation certificates etc.

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#), [Code of Practice: Managing the risk of falls in housing construction](#) and [Safe Work Information Sheet – Safe work on roofs](#).

H1.5 The system ensures that work processes are instigated to prevent working from ladders.

2

This criterion requires the builder to ensure that work from ladders is avoided whenever possible on site. If ladders are deemed the only viable option following assessment using the Falls from Height Hierarchy of Control, steps must be taken to reduce associated risks.

Guidance notes for H1.5

The builder must ensure that Safe Systems of Work are established to prevent working from ladders. This includes communicating this restriction to workers on site, typically via site inductions, site rules, and regular reminders during prestart/toolbox meetings etc.

If work from a ladder is deemed necessary, a process needs to be developed to require completion of a task specific risk assessment (HIRAC) to demonstrate other controls using the Falls from Height Hierarchy of Control have been considered and are not suitable for the specific activity along with additional controls that will be implemented to reduce the risks of using the ladder as a working platform. I.e. This assessment needs to demonstrate that safer alternative means of access, such as mobile scaffolds, EWPs, or platform ladders, are not practicable to ensure the safest possible methods are employed when working at heights.

Evidence of implementation:

- Platform ladders are exempt from this requirement and can be used accordingly.
- The criterion also does not explain the use of a ladder for access only.

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#) and [Code of Practice: Managing the risk of falls in housing construction](#).

H1.6 The system ensures that there is safe access and egress for all areas where work at heights is being undertaken.

1

This criterion requires the builder to have a process in place to ensure safe access/egress to/from areas where work at height is being completed.

Guidance notes for H1.6

The documented HIRAC process to manage fall from height risks or other similar process must explain access and egress to areas where working at heights is taking place. The process may involve multiple layers of assessment such as a project level assessment, SWMS, work at height permits or specific work at heights risk assessments, as well as the builder's minimum standards and controls associated with access and egress associated with work at heights.

The proposed controls to manage risks associated with access and egress to areas where working at heights is being undertaken must be in accordance with the falls from height hierarchy of controls and applicable legislation, codes of practice and Australian Standards.

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#) and [Code of Practice: Managing the risk of falls in housing construction](#).

H1.7 The system ensures emergency procedures are established specific to the scope of works, including actions to be taken after an arrested fall has occurred.

2

This criterion requires the builder to have a process in place for the management of emergency situations at height, as well as the prompt rescue of any workers who have been subjected to an arrested fall to prevent the risk of suspension trauma. Suspension trauma, also known as harness-induced pathology or orthostatic intolerance, is a potentially life-threatening condition that can occur when a person is suspended upright in a

harness for an extended period of time. It typically occurs in situations such as fall arrest, where a worker is left hanging in a harness after a fall.

Guidance notes for H1.7

The system needs to ensure that all foreseeable heights emergency scenarios are identified for the project and that emergency response procedures are developed. This may be documented in a project Emergency Response Plan, emergency risk assessment, and/or SWMS etc. Refer also to WH13.1/WH13.2.

Issues that need to be explained include:

1. Identifying potential/foreseeable heights emergency scenarios on site, such as arrested fall, EWP rescue etc;
2. Developing step-by-step procedures for responding to each scenario, including how to assess the situation, communicate with emergency services if needed, and execute the rescue safely and efficiently;
3. Ensuring relevant personnel have been inducted into the emergency response procedures and have received relevant training such as first aid, CPR, and the proper use of rescue equipment etc (Refer also to WH13.4).
4. Maintaining induction and training records (e.g. Induction Register, Training Register/Matrix etc).

The [Model Code: Managing the risk of falls in the workplace](#) provides information and guidance with regards to rescue from heights and 'suspension trauma'.

H5 Structural Alterations/Temporary Support Structures

The following criteria relate to the builder's processes for identifying and managing risks associated with structural alterations, structural support systems, and temporary structures. This includes factors such as design considerations, establishing safe work systems for erecting and dismantling structural support systems/temporary structures, scaffold plan requirements, and preparing for emergency response situations.

H5.1 The risks associated with structural alterations, structural support systems and temporary structures are identified, assessed and controlled in accordance with the Hierarchy of Control.

2

This criterion requires the builder to utilise the project HIRAC process to identify potential structural alterations and erection/dismantling of temporary structures on the project, undertake an assessment of the risks, and implement controls consistent with the Hierarchy of Control.

Common examples of structural support systems and/or temporary structures include scaffolding, formwork, shoring, temporary bracing, propping, edge protection etc.

Guidance notes for H5.1

The documented HIRAC process to manage risks associated with structural alterations, structural support systems and temporary structures may involve multiple layers of assessment such as a project level assessment, SWMS, temporary works plans/permits, as well as the builder's minimum standards and controls associated with structural alterations, support systems and temporary structures.

The Safe Systems of Work need to explain factors such as:

1. Identifying the types of structural alterations and/or structural support systems/temporary structures to be utilised at the project;
2. Identifying the hazards and assessing the risks associated with the structural alterations, structural support systems and/or temporary structures;
3. Selecting controls in accordance with the hierarchy of control to eliminate or minimise risks to the greatest extent possible. This encompasses:
 - **Elimination/Substitution** – where practicable, eliminate hazards by avoiding structural alterations or substituting safer methods (e.g. prefabricated components may reduce the need for extensive alterations).
 - **Engineering** – for example, designing temporary structures with adequate stability, load-bearing capacity, and protective measures against collapse.
 - **Administrative** – for example, SWMS, permits, regular inspections.

- **PPE** - to help mitigate specific risks that cannot be adequately controlled by other means.

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#), [Safe Work Guide to formwork](#), [Safe Work Guide for scaffolds and scaffolding work](#), and [OFSC Fact Sheet – Scaffolding in construction](#).

H5.2 Safe Systems of Work have been developed for the:



- **erection and dismantling of structural support systems and temporary structures;**
- **prevention of persons falling;**
- **management of potential falling objects; and**
- **management of penetrations.**

This criterion requires the builder to have a safe system of work in place to manage the erection and dismantling of structural support systems and temporary structures, including potential falls from height, falling objects, and penetrations.

Common examples of structural support systems and/or temporary structures include scaffolding, formwork, shoring, temporary bracing, propping, edge protection etc.

Guidance notes for H5.2

The process to manage risks associated with structural support systems and temporary structures may involve multiple layers of assessment such as a project level assessment, SWMS, as well as the builder's minimum standards and controls associated with structural alterations, support systems and temporary structures. The proposed controls for the erection and dismantling of structural support systems and temporary structures must be in accordance with the applicable legislation, codes of practice and Australian standards.

The Safe Systems of Work need to establish requirements to explain and verify factors such as:

1. The process for the erection and dismantling of specific support systems and temporary structures in accordance with the applicable legislation, codes of practice and Australian standards;
2. The controls to be implemented to manage risks associated with the potential for a person to fall while undertaking specific erection and dismantling activities (Refer to H1.1);
3. The controls to be implemented to manage risks associated with the potential for falling objects during erection and dismantling activities (Refer also to H.1.2);
4. The controls to be implemented to manage risks associated with penetrations in floors, balconies, roofs, or other structures, including openings for windows, stairwells, ductwork, and utilities;
5. Ensuring structural support systems and temporary structures are regularly inspected in accordance with relevant legislation, codes of practice and Australian standards (e.g. 30-day inspections for scaffolding, etc);
6. Maintaining project records such as inspection records and handover certificates.

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#), [Safe Work Guide to formwork](#), [Safe Work Guide for scaffolds and scaffolding work](#), and [OFSC Fact Sheet – Scaffolding in construction](#).

H5.3 The system ensures that structural support systems (including formwork, falsework, shoring, panel bracing, edge protection, propping and other structural support systems) have been:



- **designed by a qualified designer;**
- **detailed on up-to-date drawings/plans; and**
- **changes to the design or installed system are authorised and signed off by a qualified designer.**

This criterion requires the builder to ensure that structural support systems are designed by a qualified person, documented on drawings/plans and installed as per the plan, with any changes reviewed and certified by a person with training relevant to the type of support system.

Guidance notes for H5.3

Structural support systems are elements designed to provide stability, load-bearing capacity, and support to the main structure during construction or renovation. Examples include formwork, falsework, shoring, bracing, propping, and edge protection systems.

The process to manage risks associated with structural support systems may involve multiple layers of assessment such as a project level assessment, SWMS, as well as the builder’s minimum standards and controls associated with structural support systems.

The safe system of work needs to establish requirements to explain and verify factors such as ensuring:

1. Structural support systems are designed by a qualified and experienced designer (e.g. engineer);
2. Comprehensive and up-to-date drawings/plans for the structural support system are available;
3. Any modifications to the original design or the installed system are authorised and signed-off by a qualified designer;
4. Project records such as drawings/plans, inspection records and handover certificates etc, are maintained on site.

For further guidance, refer to the [Safe Work Guide to formwork](#) and [Model Code - Excavation work](#).

EXAMPLES

Will meet criteria:

- System/s to ensure any alteration to the design or installed system are authorised/signed off by qualified designer (e.g. design change request/checklist or similar) with specific qualification/s identified.

Won't meet criteria:

- Failing to ensure drawings/plans are up to date.
- Structure not built as per drawings/plan.
- Alterations to design or installed system not being authorised/signed off by qualified designer.

H5.4 The system ensures that:



- a scaffold plan has been developed by a qualified person; and
- changes to the installation design are authorised and signed off by a qualified person; or
- a risk assessment has been conducted to determine the need for a Scaffold Plan.

This criterion requires the builder to make sure that for scaffold either:

- a Scaffold Plan is developed where required (in accordance with relevant legislation, codes of practice and Australian standards) by a qualified person with changes to the scaffold authorised/signed off by a qualified person, or
- that a risk assessment has been undertaken to determine the need for a Scaffold Plan.

Guidance notes for H5.4

The Safe Systems of Work need to establish requirements to explain and verify factors such as:

1. Ensuring that a suitable scaffold plan has been developed where required by a qualified person, such as a qualified engineer (although the level of qualifications required will depend on the level of risk, as per point 3 below). The scaffold plan should explain:
 - basis of design,
 - type of scaffold,
 - foundations including ground conditions,
 - the weight bearing capacity of the surface where the scaffold is to be erected,
 - dead loads e.g. resulting from the size and weight of the scaffold,
 - live and environmental loads e.g. wind loads,
 - containment sheeting,
 - supporting structures,
 - entry and exit,
 - tying and anchors—where anchors will be placed on the supporting structure and types of anchors to be used,
 - bracing, and
 - edge protection.
2. Describing the need for a qualified person to sign-off and authorise any changes to the installation design;
3. Conducting and documenting a risk assessment to determine the need for a scaffold plan where relevant. For example, a risk assessment involving the use of a mobile scaffold within a building or a standard stair

access system may determine a scaffold plan is not required, as the scaffold is to be erected in line with a standard configuration/design documentation provided by the supplier/manufacturer and the specific scaffold is considered low risk;

4. Maintaining project records such as scaffold plans, inspection records, risk assessments, and handover certificates.

For further guidance, refer to the [Model Code: Managing the risk of falls in the workplace](#), [Safe Work Guide for scaffolds and scaffolding work](#), and [OFSC Fact Sheet – Scaffolding in construction](#).

EXAMPLES

Will meet criteria:

- Requirements for scaffold plans clearly defined in system, along with relevant qualifications for scaffold designers and erectors.
- System to ensure any changes to the installation design are authorised/signed off by qualified person (e.g. design change request/checklist or similar) with specific qualification/s identified.

Won't meet criteria:

- Failing to conduct a risk assessment to determine the need for a scaffold plan.
- Inadequate scaffold plan. For example, lack of details with regards to ties, bracing, etc.
- Scaffold not built as per drawings/plan.
- Alterations to installation design not being authorised/signed off by qualified person.

H5.5 **The system ensures that the building structures/materials/foundations have been assessed and controls are in place prior to starting alterations to the structure or construction of temporary structures.**

4

This criterion requires the builder to make sure that assessments are made on the structure/material/foundation to ensure that structural alterations or installation of temporary structures can be safely carried out.

Guidance notes for H5.5

The safe systems of work need to establish requirements to explain and verify factors such as:

1. Process for conducting an initial assessment of the existing structure, including its condition, materials used, and foundation stability;
2. Obtaining structural engineering analysis of the load-bearing capacity of the existing structure and its ability to support any modifications or additional loads;
3. Evaluating materials, for example:
 - quality, strength, and durability of materials to withstand intended loads and environmental conditions;
 - compatibility of new materials with existing structures to prevent corrosion or other adverse effects.
4. Inspecting foundations to assess stability and integrity;
5. Documenting the assessment and approval process, including findings, recommendations, and implemented controls etc. Relevant records to be maintained on site may include:
 - Project risk assessment.
 - Design risk assessment.
 - Building design plans.
 - Temporary structure design plan.
 - Engineer's reports/assessment.
 - Building investigation/study/survey.
 - Inspection records.

For further guidance, refer to the [Safe Work Guide to formwork](#), [Model Code - Excavation work](#), [Safe Work Guide- Scaffold inspection and maintenance](#) and [OFSC Fact Sheet – Scaffolding in construction](#).

H5.6 The system ensures that structural support systems and temporary structures are installed by a competent person and verified as correctly installed prior to use in accordance with:

5

- relevant legislation, codes of practice and Australian standards;
- manufacturers' requirements; or
- where applicable the drawing/plan.

This criterion requires the builder to establish the required competencies to install and verify structural support systems and temporary structures and then ensure a person with the nominated competencies installs and verifies the structural support systems and temporary structures are correctly installed prior to use.

Guidance notes for H5.6

The safe systems of work need to explain factors such as how the builder will ensure:

1. Workers installing structural support systems and temporary structures are competent and hold the applicable licence requirements where relevant (e.g. licenced scaffolder, etc);
2. The installation process aligns with applicable regulatory requirements and manufacturer-recommended installation procedures/designers drawings and plans are followed to ensure structural integrity and safety;
3. Verification that structural support systems and temporary structures are correctly installed according to the relevant legislation, codes of practice, Australian standards, manufacturers' requirements, and drawings/plans;
4. Relevant records are maintained. For example:
 - Handover certificates.
 - Design plans/drawings.
 - Engineer's reports/assessment.
 - Inspection records.

For further guidance, refer to the [Safe Work Guide to formwork](#), [Model Code - Excavation work](#), [Safe Work Guide- Scaffold inspection and maintenance](#) and [OFSC Fact Sheet – Scaffolding in construction](#).

EXAMPLES

Will meet criteria:

- Requirements for structural support system and temporary structure handover certificates etc, are clearly defined in the system, along with installer competency requirements (e.g. table).

Won't meet criteria:

- Structure not built as per drawings/plan.
- Reliance on Scaff-tags alone, rather than obtaining suitable handover certificates.

H5.7 The system ensures that structural support systems and temporary structures are regularly inspected to monitor the effectiveness of the system/ structure in accordance with:

5

- relevant legislation, codes of practice and Australian standards;
- manufacturer's requirements; or
- where applicable the drawing/plan.

This criterion requires the builder to establish a process to ensure that structural support systems and temporary structures on site undergo regular inspections in accordance with relevant drawings/plans, legislative standards, and manufacturer specifications to monitor for ongoing effectiveness.

Guidance notes for H5.7

The safe systems of work need to establish requirements to explain and verify factors such as:

1. Identifying the minimum inspection frequencies/schedules prescribed in relevant legislation, codes of practice, Australian standards, manufacturer's requirements, and engineering drawings/plans (e.g. 30-day scaffold inspections, formwork pre-pour inspections, etc);
2. Determining the frequency of additional inspections based on factors such as the type of structure, its location, and the level of risk involved;
3. Ensuring qualified and competent persons conduct inspections of the specific structural support systems and temporary structures;
4. Maintaining inspection records on site.

For further guidance, refer to the [Safe Work Guide to formwork](#), [Model Code - Excavation work](#), [Safe Work Guide- Scaffold inspection and maintenance](#) and [OFSC Fact Sheet – Scaffolding in construction](#).

EXAMPLES

Will meet criteria:

- Requirements (i.e. statutory, manufacturer, & drawings/plan (where applicable) for the inspection of structural support systems and temporary structures are clearly defined in the system, along with inspector qualification /competency requirements (e.g. table).

Won't meet criteria:

- Failing to ensure that person/s inspecting structural support systems and temporary structures meet the relevant, minimum competency requirements.

H5.8 The system ensures that emergency procedures are established specific to the scope of works



This criterion requires the builder to develop site-specific emergency procedures to manage potential emergencies associated with structural alterations, structural support systems, and temporary structures.

Guidance notes for H5.8

The system needs to ensure that all foreseeable emergency scenarios associated with structural alterations, structural support systems, and temporary structures are identified for the project and that emergency response procedures are developed. This may be documented in a project Emergency Response Plan, emergency risk assessment, etc. Refer also to WH13.1/WH13.2.

Issues that need to be explained include:

1. Identifying potential/foreseeable emergency scenarios associated with structural alterations and temporary structures, such as structural collapse, falls from height, etc.
2. Developing step-by-step procedures for responding to each scenario, including how to assess the situation, communicate with emergency services if needed, and execute the rescue safely and efficiently. Issues relating to access to temporary structures and structural support systems should also be considered;
3. Ensuring relevant personnel have been inducted into the emergency response procedures and have received relevant training such as first aid, CPR, and the proper use of rescue equipment etc (Refer also to WH13.4).
4. Maintaining induction and training records (e.g. Induction Register, Training Register/Matrix etc).

H7 Excavation

The following criteria relate to the builder's process for identifying and managing risks associated with excavations, covering factors such as falls, ground collapse, plant movement, and contact with live services. Additionally, it includes the requirements for plans/drawings/permits, and emergency response protocols.

H7.1 The risks associated with the excavation are identified, assessed and controlled in accordance with the Hierarchy of Control



This criterion requires the builder to utilise the project HIRAC process to identify the potential activities on the project associated with excavations and implement controls consistent with the Hierarchy of Control.

Guidance notes for H7.1

The documented HIRAC process to manage risks associated with excavations may involve multiple layers of assessment such as a project level assessment, SWMS, excavation permits or specific excavation risk assessments, as well as the builder's minimum standards and controls associated with excavations.

The proposed controls to manage risks associated with excavations must be in accordance with the hierarchy of controls and applicable legislation, codes of practice and Australian Standards.

The safe systems of work need to explain factors such as:

1. Identifying the hazards and assessing the risks associated with excavation work at the project;
2. Selecting controls in accordance with the hierarchy of control to eliminate or minimise risks to the greatest extent possible. This encompasses:
 - **Elimination:** eliminating the need for excavation work where possible by using alternative methods such as directional drilling or trenchless technologies;
 - **Substitution:** substituting hazardous tasks or materials with safer alternatives, such as using prefabricated trench boxes or shoring systems instead of manual excavation in unstable soil;
 - **Engineering Controls:** battering, benching, shoring, or shielding systems to prevent collapse;
 - **Administrative Controls:** for example, safe work practices/procedures, including excavation permits, inspections, signage, and training for workers;
 - **Personal Protective Equipment (PPE):** providing appropriate PPE to mitigate specific risks that cannot be eliminated through other controls.
3. Ensuring relevant documentation is maintained on site, such as geotechnical reports, permits, drawings, records, electrical, inspection records, etc.

For further guidance, refer to the [Model Code - Excavation work](#).

H7.2 The system ensures that the risks associated with adjacent building structures/materials/foundations have been identified, assessed and controlled.



This criterion requires the builder to have a process in place to manage the risks associated with digging in and around structures and adjacent areas.

Guidance notes for H7.2

The safe systems of work need to explain factors such as:

1. Performing an assessment of the area surrounding a proposed excavation to identify potential hazards that could be created when excavating adjacent to any building structures, materials, and foundations. Factors to consider may include proximity to existing buildings, soil conditions, foundation types, structural integrity, and potential impacts of construction activities;
2. Obtaining hazardous material reports and/or engineer reports where relevant;
3. Selecting controls in accordance with the hierarchy of control to eliminate or minimise risks to the greatest extent possible. For example:
 - **Elimination/Substitution:** where possible, consider alternative construction methods that minimise impacts on adjacent structures;
 - **Engineering Controls:** shoring, underpinning, bracing, or reinforcement of adjacent structures to prevent collapse or damage, placing spoil at a suitable distance from excavation edges;
 - **Administrative Controls:** SWMS, permits, and coordination meetings with relevant stakeholders.
4. Describing the specific protective measures to be implemented, and how structural monitoring will be undertaken during the excavation work;
5. Ensuring relevant documentation is maintained, such as engineer reports, permits, drawings, inspection records, etc.

For further guidance, refer to the [Model Code of Practice - Excavation work](#).

H7.3

Safe Systems of Work have been developed for all above ground and underground services taking into account:

2

- identification and location of services;
- management of works adjacent to services; and
- any necessary liaison with the asset owner

This criterion requires the builder to make sure that all services are identified prior to undertaking excavation activities and where relevant controls determined to manage the hazards associated with undertaking excavation work adjacent to the identified services. The process must also ensure asset owners are consulted where applicable and asset owners requirements are adhered to including encroachment distances, permits and training requirements.

Guidance notes for H7.3

Based on the specific excavation work the safe systems of work need to explain factors such as:

Identification and Location of Services:

- Conducting surveys and investigations to identify the location of aboveground and underground services, including utilities such as water pipes, sewer lines, gas mains, electrical cables, telecommunications cables, and other infrastructure;
- Locating and marking the positions of services, for example utility maps, as-built drawings, ground-penetrating radar, etc;
- Marking of the locations of services on site plans, maps, or drawings to inform workers and prevent accidental damage during construction activities.

Management of Works Adjacent to Services:

- Determining if isolation of the service will be required;
- Establishing safe working distances or exclusion zones around services to prevent accidental contact or interference. This includes identifying and adhering to statutory safe approach distances;
- Implementing controls to protect services during excavation, drilling, trenching, or other activities that may pose a risk to underground infrastructure. For example, using non-destructive excavation methods, such as vacuum excavation or hand digging, to expose and identify services before proceeding with intrusive work;
- Ensuring workers are trained in recognising and avoiding services, excavation techniques, and emergency response procedures in the event of accidental damage or utility strikes.

Liaison with Asset Owners:

- Establishing communication channels with asset owners or utility companies responsible for managing aboveground and underground services;
- Notifying asset owners of planned construction activities that may affect their infrastructure and obtain relevant permits or approvals as required;
- Coordinating with asset owners to obtain accurate information about the location, depth, and condition of services, and to access utility maps or records;
- Collaborating with asset owners when developing procedures for working safely near services.

Records:

- Maintaining relevant records on site, such as permits, service maps, drawings, inspection records, etc.

For further guidance, refer to the [Model Code of Practice - Excavation work](#) and [Safe Work General guide for working in the vicinity of overhead and underground electric lines](#).

H7.4 The system ensures there is a drawing/plan/permit for the excavation detailing the nature of the works to be undertaken and the method used to prevent ground collapse.

3

This criterion requires the builder to make sure that there is an appropriate drawing/plan/permit for the excavation, and that the excavation is consistent with the drawing/plan/permit, including the specific controls to manage the risk of ground collapse.

Guidance notes for H7.4

The proposed controls to manage risks associated with ground collapse must be in accordance with the applicable legislation, codes of practice and Australian Standards.

The safe systems of work need to explain factors such as:

1. Developing detailed drawings or plans that illustrate the scope of the excavation work, including the location, dimensions, and depth of the excavation;
2. Detailing the nature of the excavation works to be undertaken;
3. Providing information about the type of soil or ground conditions expected at the excavation site, as well as any known hazards or obstacles that may affect the work;
4. Describing the method/s to be used to prevent ground collapse during excavation, for example: benching, battering, shoring, geotechnical investigation/assessment;
5. Ensuring relevant documentation is maintained on site, such as geotechnical assessments/reports, permits, drawings, inspection records, etc.

For further guidance, refer to the [Model Code of Practice - Excavation work](#).

H7.5 The system ensures that where shoring systems or other documented methods are utilised, they are:

5

- **designed by a qualified engineer;**
- **detailed on up-to-date drawings/plans;**
- **installed by competent persons and verified as correctly installed prior to use in accordance with the drawing/plan; and**
- **authorised and signed off by a qualified engineer where changes to the design or installed system are made.**

This criterion requires the builder to have a system in place to ensure that any excavation support structures are designed and approved by a qualified engineer, and that they are checked before use. Other documented method means any method of controlling trench collapse other than benching and battering, and includes (but is not limited to) such methods as hydraulic shoring, sheet piling, steel shoring/trench lining, sheeting, ground anchors etc, and the documented advice from a geotechnical engineer.

Guidance notes for H7.5

The safe systems of work need to explain factors such as:

1. Ensuring that the system has been designed by a qualified engineer;
2. Providing detailed and up-to-date drawings and plans that accurately depict the design and layout of the shoring system or other support method;
3. Ensuring that the system is installed by competent and experienced persons who have the necessary skills and training to perform the work safely;
4. Verifying that the system has been correctly installed in accordance with the drawing/plan prior to use (e.g. handover certificates);
5. Any modifications to the original design or the installed system are authorised and signed-off by a qualified engineer;
6. Project records such as drawings/plans, inspection records and handover certificates etc, are maintained on site.

For further guidance, refer to the [Model Code of Practice - Excavation work](#).

EXAMPLES

Will meet criteria:

Won't meet criteria:

<ul style="list-style-type: none"> System/s to ensure shoring systems are engineer-designed and are installed by competent persons, including defining minimum competency requirement/s (e.g. Permit, etc). 	<ul style="list-style-type: none"> Failing to ensure installers are competent in installing the particular shoring system. Alterations to design or installed system not being authorised/signed off by qualified engineer. Failing to obtain verification of correct installation.
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H7.6 The system ensures that the excavation is regularly inspected by a competent person to monitor the effectiveness of controls in accordance with the drawing/plan/permit



This criterion requires the builder to have a system in place to ensure that the controls in place for the excavation are effective, and in accordance with the drawing/plan/permit.

Guidance notes for H7.6

The safe systems of work need to explain factors such as:

- Clearly defining the competency requirements for individuals tasked with inspecting excavations on site;
- Establishing a structured excavation inspection schedule, such as daily inspections and/or prior to initial entry;
- Documenting the criteria for excavation inspections to ensure the effectiveness of implemented controls against the requirements outlined in the drawing/plan/permit;
- Implementing a standardised process and tool for recording inspections, such as an inspection checklist or similar;
- Maintaining inspection records onsite to track inspection findings, compliance status, and any necessary follow-up actions.

For further guidance, refer to the [Model Code of Practice - Excavation work](#).

EXAMPLES

Will meet criteria:

- Utilising a dedicated checklist for the inspection of excavations (prior to entry) with clearly defined minimum competencies for the person/s conducting the inspection.

Won't meet criteria:

- Using a general worksite inspection checklist that does not contain specific criteria for the inspection of excavations.
- Failing to define minimum competency requirements and ensuring that a competent person undertakes the inspections.

H7.7 The system ensures that any potential falls into the excavation have been controlled.



This criterion requires the builder to have a system in place to manage the risks associated with potential falls into the excavation.

Guidance notes for H7.7

The proposed controls to manage risks associated with the potential for a person falling into an excavation must be in accordance with the applicable legislation, codes of practice and Australian Standards. Refer also to H1.1.

The safe systems of work need to explain factors such as:

- Describing suitable fall protection controls to be implemented. For example:
 - physical barriers or guardrails around the perimeter of the excavation to prevent unauthorised access;
 - backfilling excavations as soon as possible;
 - installation of protective barriers or covers over openings or voids within the excavation area to minimise the risk of falls;

- use of warning signs, barricades, and other visual cues to alert personnel to the presence of the excavation and the associated fall hazard.
2. Methods to be implemented for safe excavation access and egress, such as designated entry points with secure ladders, stairs, or ramps;
 3. Regular monitoring and inspection of the excavation site to ensure that control measures are maintained in good condition and remain effective;
 4. Maintaining relevant records such as inspection records and handover certificates.

For further guidance, refer to the [Model Code of Practice - Excavation work](#) and [Model Code: Managing the risk of falls in the workplace](#).

H7.8 The system ensures that mobile plant working in and around the excavation has been controlled.

1

This criterion requires the builder to have a system in place to manage the risks associated with mobile plant operating in and around the excavation.

Guidance notes for H7.8

The proposed controls to manage risks associated with mobile plant operating in and around excavations must be in accordance with the applicable legislation, codes of practice and Australian Standards.

The safe systems of work need to explain factors such as:

1. Describing the specific controls to be implemented for managing plant movement around excavations. For example, site designated routes for mobile plant movement, clearly marked exclusion zones around the excavation, and controls for the flow of vehicles and equipment to minimise the risk of collisions and accidents.
2. Additional considerations may include:
 - installing visibility aids on mobile plant, such as mirrors, cameras, or proximity sensors, to enhance visibility of workers, pedestrians, and other equipment in the vicinity of the excavation;
 - prohibiting mobile plant movement in proximity to an excavation where a worker/s is present in the excavation;
 - establishing clear communication protocols between mobile plant operators, ground personnel, and excavation supervisors to coordinate movements and ensure that plant operators are aware of the location and activities of workers in the excavation area;
 - erecting physical barriers, barricades, or exclusion zones around the excavation to prevent unauthorised entry by mobile plant and minimise the risk of collisions;
 - assigning a dedicated spotter/s to assist mobile plant operators when operating near the excavation.
3. Maintaining relevant records such as inspection records, vehicle movement plans, etc.

For further guidance, refer to the [Model Code of Practice - Excavation work](#) and [Model Code for Managing the risk of plant in the workplace](#).

H7.9 The system ensures that emergency procedures are established for the excavation.

2

This criterion requires the builder to have a process in place for potential emergencies when working in and around excavations.

Guidance notes for H7.9

The system needs to ensure that all foreseeable emergency scenarios associated with excavations are identified for the project and that emergency response procedures are developed. This may be documented in a project Emergency Response Plan, emergency risk assessment, etc. Refer also to WH13.1/WH13.2.

Issues that need to be explained include:

1. Identifying potential/foreseeable emergency scenarios associated with excavations, such as trench/excavation collapse or engulfment, live service (gas, electrical, etc) strike, etc;
2. Developing step-by-step procedures for responding to each scenario, including how to assess the situation, communicate with emergency services if needed, and execute the rescue safely and efficiently;
3. Ensuring relevant personnel have been inducted into the emergency response procedures and have received relevant training such as first aid, CPR, and the proper use of rescue equipment etc (Refer also to WH13.4).
4. Maintaining induction and training records (e.g. Induction Register, Training Register/Matrix etc).

For further guidance, refer to the [Model Code of Practice - Excavation work](#).

H12 Electrical

The following criteria pertain to the builder's procedures for identifying and mitigating risks associated with electrical installations and equipment on site. This encompasses processes for installing, inspecting, and testing electrical equipment, as well as marking construction wiring, managing portable generators, ensuring electrical licensing compliance, and establishing emergency response protocols.

H12.1 The risks associated with electrical installations and electrical equipment are identified, assessed and controlled in accordance with the Hierarchy of Control.

2

This criterion requires the builder to utilise the project HIRAC process to identify the potential activities on the project where works are undertaken on electrical installations or using electrical equipment and implement controls consistent with the Hierarchy of Control.

Guidance notes for H12.1

The documented HIRAC process to manage risks associated with electrical installations/equipment may involve multiple layers of assessment such as a project level assessment, SWMS, permits or specific risk assessments, as well as the builder's minimum standards and controls associated with electrical work.

The proposed controls to manage risks associated with electrical installations/equipment must be in accordance with the hierarchy of controls and applicable legislation, codes of practice and Australian Standards.

The safe systems of work need to explain factors such as:

1. Identifying the types of electrical installations and equipment at the project;
2. Identifying the hazards and assessing the risks associated with electrical installations and equipment;
3. Ensuring that all electrical work on site is undertaken by licenced electricians;
4. Selecting controls in accordance with the hierarchy of control to eliminate or minimise risks to the greatest extent possible. This encompasses:
 - **Elimination/Substitution** – where practicable, eliminate electrical hazards by substituting safer methods (e.g. extra low voltage lighting, prohibiting work on energised electrical equipment, etc).
 - **Engineering** – for example, separation of construction wiring from other electrical systems, mass isolation v circuit isolation, barriers/exclusion zones, etc.
 - **Administrative** – for example, SWMS, permits, training, signage, etc.
 - **PPE** - to help mitigate risks that cannot be adequately controlled by other means (e.g. insulated gloves, safety glasses, protective clothing, etc).
5. Ensuring relevant documentation is maintained on site, such as installation records, electrical registers, permits, inspection and testing records, maintenance records, etc.

For further guidance, refer to the [Code of Practice: Managing electrical risks in the workplace](#) and the relevant state / territory electrical legislation.

H12.2 Safe systems of work have been developed taking into account:



- an isolation/de-energisation/re-energisation process;
- lockout and tagout of electrical isolations; and
- working near energised electrical parts.

This criterion requires the builder to make sure that there are safe systems of work to manage the hazards associated with electricity, including controls to manage energised electrical parts. All electrical work on site must be undertaken by a licenced electrician.

Guidance notes for H12.2

Safe systems of work for electrical safety may involve multiple layers such as project level assessment, SWMS, electrical safety procedure, permits, registers, as well as the builder's minimum standards and controls associated with electrical safety.

The proposed controls to manage risks associated with electrical installations/equipment must be in accordance with the hierarchy of controls and applicable legislation, codes of practice and Australian Standards.

The safe systems of work need to explain factors such as:

Isolation/De-energization/Re-energisation

- Isolating electrical equipment from its energy source before any work is performed. This includes:
 - identifying the energy sources and appropriate isolation points;
 - documenting the steps to safely de-energise equipment, including shutting down power sources, isolating energy flow, and verifying de-energisation;
 - establishing procedures for re-energisation once work is completed, including testing and verification to ensure it is safe to restore power.

Lockout/tagout (LOTO)

- Ensuring electrical isolations remain secure and are not accidentally re-energised during maintenance or repair work. This involves:
 - using lockout devices, such as locks and hasps, to physically prevent the operation of electrical switches or controls;
 - applying danger tags to provide additional warning and information about the status of isolations;
 - identifying who is authorised to perform lockout/tagout, how to apply and remove locks and tags, and how to verify the effectiveness of LOTO before work begins.

Working Near Energised Electrical Parts:

- In situations where it is not possible to de-energise equipment, processes must be in place to ensure workers are protected while working near energised electrical parts. This includes applying hierarchy of controls for example:
 - **Elimination:** where possible, eliminate the need to work near energised electrical parts by de-energising equipment or using alternative methods;
 - **Substitution:** substitute hazardous tasks or equipment with safer alternatives;
 - **Engineering controls:** isolate workers from electrical hazards, such as barriers, insulation, or guarding, etc;
 - **Administrative controls:** establish safe work practices, including procedures for working near energised parts, worker training, signage, and supervision;
 - **Personal Protective Equipment (PPE):** appropriate PPE for electrical workers, such as insulated gloves, safety glasses, and arc-rated clothing, etc.

For further guidance, refer to the [Code of Practice: Managing electrical risks in the workplace](#) and the relevant state / territory electrical legislation.

H12.3 The system ensures that RCD protection is provided on portable generators and all wiring used for construction work, with construction wiring clearly marked.

4

This criterion requires the builder to make sure that residual current devices (RCDs) are installed on all portable generators and that electrical wiring is marked in accordance with AS/NZS 3012.

Guidance notes for H12.3

Safe systems of work for electrical safety may involve multiple layers such as project level assessment, SWMS, electrical safety procedure, registers, as well as the builder's minimum standards and controls associated with electrical safety.

The installation and testing of RCDs and the marking of construction wiring must be in accordance with the applicable legislation and Australian Standards.

The safe systems of work need to explain factors such as:

1. Ensuring that all portable generators used on site are equipped with built-in RCD protection. Where this is not the case, portable RCD devices may be connected between the generator and electrical equipment;
2. Ensuring that generator earth stakes are utilised where provided;
3. Clearly marking all construction wiring to distinguish it from permanent electrical installations. That is, marked with iridescent yellow tape with the words 'construction wiring' spaced at intervals not exceeding five metres, in accordance with AS/NZS 3012.

For further guidance, refer to the [Code of Practice: Managing electrical risks in the workplace](#) and the relevant state / territory electrical legislation.

H12.4 The system ensures that testing and tagging of electrical equipment and RCDs is completed in accordance with relevant legislation, codes of practice and Australian standards

4

This criterion requires the builder to ensure that all electrical equipment and RCDs is tested and tagged as per the legislation, with Records of the testing maintained for all items of equipment.

Guidance notes for H12.4

The testing and tagging of electrical equipment and RCDs must be in accordance with the applicable legislation and Australian Standards.

The safe systems of work need to explain factors such as:

1. Outlining the prescribed testing and tagging frequency of electrical equipment and RCDs;
2. Describing the testing methods and tagging requirements;
3. Ensuring that testing and tagging complies with AS/NZS 3760 and AS/NZS 3012 and is performed by competent and qualified personnel;
4. Ensuring that testing equipment used for electrical testing is calibrated and accurate;
5. Maintaining accurate records of all testing and tagging activities, including the date of testing, equipment tested, and test results.

For further guidance, refer to the [Code of Practice: Managing electrical risks in the workplace](#) and the relevant state/territory electrical legislation.

H12.5

The system ensures that electrical systems installed for use during construction works are inspected and certified as correctly installed prior to use in accordance with relevant legislation, codes of practice and Australian standards

5

This criterion requires the builder to make sure that electrical wiring installed for use as construction wiring is tested in accordance with the legislation and Australian standards prior to energisation and before use by workers.

Guidance notes for H12.5

The safe systems of work need to explain factors such as:

1. Verifying that electrical installations have been inspected by a licensed electrician and comply with relevant legislation and Australian standards before they are energised/used;
2. Lodgement of testing and certificate as per the relevant state/territory requirements:
 - Notification of electrical work to the relevant state/territory regulator.
 - Certificate of compliance/electrical safety issued to the principal contractor by the licensed electrician.
3. Maintaining records of all electrical inspections, tests and certifications.

For further guidance, refer to the [Code of Practice: Managing electrical risks in the workplace](#) and the relevant state / territory electrical legislation.

EXAMPLES

Will meet criteria:

- System identifies the requirements for electrical certificates of safety/compliance to be obtained from electrical contractor following installation of electrical system(s).

Won't meet criteria:

- Reliance on electrical test records alone, rather than obtaining a compliant certificate.

H12.6

The system ensures that electrical works are undertaken by qualified and licensed persons.

1

This criterion requires the builder to ensure the persons working to install, modify, test or certify electrical installations are trained and licensed in accordance with the both the type of work being undertaken and the relevant state/territory legislative requirements.

Guidance notes for H12.6

The safe systems of work need to explain factors such as:

1. Identifying electrical licencing requirements for the specific state/territory;
2. Requiring all individuals performing electrical work to provide evidence of their qualifications and licenses before commencing work;
3. Ensuring that licensed supervisors oversee electrical work and provide guidance to less experienced workers such as apprentices;
4. Maintaining records of licences and certifications on site.

For further guidance, refer to the [Code of Practice: Managing electrical risks in the workplace](#) and the relevant state / territory electrical legislation.

H12.7

The system ensures that emergency procedures are established specific to the scope of works.

2

This criterion requires the builder to develop site-specific emergency procedures to manage potential electrical fault/contact/explosion relevant to the scope of works being undertaken, including the safe rescue of persons if working near live parts.

Guidance notes for H12.7

The system needs to ensure that all foreseeable emergency scenarios associated with electricity are identified for the project and that emergency response procedures are developed. This may be documented in a project Emergency Response Plan, emergency risk assessment, etc. Refer also to WH13.1/WH13.2.

Issues that need to be explained include:

1. Identifying potential/foreseeable emergency scenarios associated with electricity, such as contact with live parts, contact with underground or overhead electrical cables, fire, etc;
2. Developing step-by-step procedures for responding to each scenario, including how to assess the situation, communicate with emergency services if needed, and execute the rescue safely and efficiently;
3. Ensuring relevant personnel have been inducted into the emergency response procedures and have received relevant training such as first aid, CPR, low voltage rescue, and the proper use of rescue equipment etc (Refer also to WH13.4).
4. Maintaining induction and training records (e.g. Induction Register, Training Register/Matrix etc).

Refer to the relevant state/territory Electrical Safety legislation for further information relating to statutory training requirements for electrical workers.

H16 Mobile Plant

These criteria relate to the builder's processes for identifying and managing risks associated with mobile plant. This encompasses requirements such as conducting plant risk assessments, establishing safe work systems, managing mobile plant commissioning, inspection, and maintenance, requirements for mobile cranes and lifting equipment, managing underground and aboveground services, ensuring operator competency, and implementing emergency planning measures.

H16.1 The risks associated with the use of mobile plant are identified, assessed and controlled in accordance with the Hierarchy of Control.



This criterion requires the builder to utilise the project HIRAC process to identify the potential activities on the project relating to the operation of mobile plant and implement controls consistent with the Hierarchy of Control.

Mobile Plant means any self-propelled machine that is ordinarily under the direct control of an operator. E.g. an excavator or other earthmoving plant, EWP, mobile cranes, concrete placing boom, telehandlers etc. It does not include hand tools or static plant.

Guidance notes for H16.1

The documented HIRAC process to manage risks associated with mobile plant may involve multiple layers of assessment such as a project level assessment, SWMS, as well as the builder's minimum standards and controls associated with the operation of mobile plant.

The proposed controls to manage risks associated with mobile plant must be in accordance with the hierarchy of controls and applicable legislation, codes of practice and Australian Standards.

The safe systems of work need to explain factors such as:

1. Identifying the hazards and assessing the risks associated with mobile plant operation at the project;
2. Selecting controls in accordance with the hierarchy of control to minimise risks to the greatest extent possible. Considerations may include:
 - minimising the amount of moving plant working at one time;
 - isolating vehicles and plant used in or around the site and work area from persons on the site or work area;
 - using fencing, barriers, barricades to secure the area where moving plant is used;
 - planning the direction that plant moves, so the visibility of operators is not restricted;
 - using spotters/safety observers to control traffic movement;
 - using audible reversing alarms and/or other technologies.
3. Describing a process for the regular monitoring of the effectiveness of implemented controls to ensure they remain adequate.

4. Maintaining all relevant mobile plant documentation on site (e.g. SWMS, manufacturer’s manuals, plant risk assessments, certification and licencing documents, plant on-boarding checklists, inspection and maintenance records, etc).

For further information on managing the risk of plant, refer to the [Model Code for Managing the risk of plant in the workplace](#) and [OFSC Fact Sheet – Mobile plant](#).

H16.2 The system ensures that a Plant Risk Assessment is carried out on all items of plant prior to use on-site.

2

This criterion requires the builder to have a documented process that make sure a documented plant risk assessment is completed for all mobile plant prior to use. This includes hired plant and plant brought onto site by subcontractors.

A Plant Risk Assessment means a process to identify and manage risks associated with an item of plant itself. A Plant Risk Assessment informs the development of Safe Work Method Statements and Safe Operating Procedures (SOP) which explains work practices associated with the use of mobile plant.

Guidance notes for H16.2

Plant-specific risk assessment (stage by stage):

Plant risk assessments should be done before the plant is introduced to the workplace to consider hazards, risks and controls relevant to various stages of the plant lifecycle that are relevant to the work to be conducted on the site. The stages may include:

- delivery/transporting plant;
- set up/commissioning (for plant such as mobile cranes, concrete placing booms etc.);
- operation, and;
- maintenance and servicing.

For each of these stages, consideration should be given to whether the plant could:

- cause injury due to entanglement, falling, crushing, trapping, cutting, puncturing, shearing, abrasion or tearing;
- create hazardous conditions due to harmful emissions, fluids or gas under pressure, electricity, noise, radiation, friction, vibration, fire, explosion, moisture, dust, ice, hot or cold parts, cleaning, and undisclosed asbestos-containing materials;
- cause injury when an operator responds to common failure modes. For example, machine jams cause injury due to poor ergonomic design; if operator controls are difficult to reach or require high force to operate.

Other factors to consider include:

- the condition of the plant, for example, its age, maintenance history and how frequently the plant is used.
- the suitability of the plant, for example, is it actually being used for its intended purpose? Has it been modified from its intended use?
- the location of the plant, for example what is its impact on the design and layout of the workplace and are workers able to access the plant without risks of slips, trips or falls?
- abnormal situations, for example, what abnormal situations, misuse or fluctuation in operating conditions can you foresee?

Appendix C of the [Managing Risks of Mobile Plant in the Workplace Code of Practice 2018](#) (Model Code) provides guidance on undertaking plant risk assessments.

Measures must be in place to ensure that the controls identified in the plant risk assessment are explained and implemented on site. Relevant documentation must be updated to reflect the controls and personnel trained on the requirements to ensure understanding of the requirements.

Assessing your role in the plant risk assessment process:

Who must complete a plant risk assessment depends on who is responsible for the plant, which may be:

- subcontractors providing their own plant during the project;
- hire companies that are providing the plant for the project;
- the principal contractor owning and operating plant on the project.

If the equipment is the responsibility of subcontractors or hire companies, they may conduct their own risk assessment. However it is the principal contractor's responsibility to confirm the assessment control measures are suitable for the project site, are appropriate to be integrated into the site safety project plan and are communicated to site workers as required. Where equipment is directly owned and managed by the principal contractor, they are responsible for conducting and implementing the plant risk assessment.

A plant risk assessment review tool can be useful in facilitating the principal contractor's confirmation that an adequate plant risk assessment has been conducted.

Plant risk assessment inclusions:

The following variables and controls may be relevant to your plant risk assessment documentation, noting that each plant risk assessment will vary based on the site conditions, type and intended use of equipment:

- Type of high-risk work being undertaken
- Identified categories of person(s) responsible for ensuring compliance with the defined control measures
- Controls for risks:
 - Work tasks to prevent or minimise risks;
 - Identifying hazards involved in each task;
 - Applying control measures for each hazard;
 - Implementation method for control measures;
 - Responsible person(s) for each control measure.

Process for checking that plant risk assessments have been undertaken:

A plant on-boarding checklist is a useful way to confirm and record:

- that the plant risk assessment has been obtained from the contractor or hire builder and that the plant risk assessment has been reviewed as adequate;
- that the servicing for the plant is up to date (with supporting records);
- details of required future maintenance – current hours operated and hours to trigger next service
- that the plant meets the site's minimum plant requirements; and
- that operators have the required licences, qualifications, etc.

Records:

- Maintaining all relevant mobile plant documentation on site (e.g. SWMS, manufacturer's manuals, plant risk assessments, certification and licencing documents, inspection and maintenance records, plant on-boarding checklists etc).

For further information on managing the risk of plant, refer to the [Model Code for Managing the risk of plant in the workplace](#) and [OFSC Fact Sheet – Mobile plant](#).

H16.3 **Safe systems of work** are established for the operation of mobile plant taking into account:

5

- the Original Equipment Manufacturers manual;
- outcomes from the plant risk assessment;
- site specific requirements; and
- the need for ROPS and FOPS

This criterion requires the builder to make sure that a safe system of work is in place to manage mobile plant that takes into account the manufacturers' operational requirements, issues identified in the plant risk assessment, and risks associated with the nature of the plant and its operation on the project.

Guidance notes for H16.3

Safe systems of work to manage risks associated with mobile plant may involve multiple layers of assessment such as a project level assessment, SWMS, as well as the builder's minimum standards and controls associated with the operation of mobile plant.

The safe systems of work need to explain factors such as:

- **Manufacturer's Guidance** - incorporating the manufacturer's instructions regarding safe operation, maintenance prerequisites, and any unique safety features on the equipment;
- **Plant Risk Assessment** - integrating key findings from the Plant Risk Assessment, particularly the recommended measures to effectively manage or eliminate identified hazards;
- **Site-Specific Factors** - customising operational protocols based on site-specific factors such as terrain, layout, and environmental conditions, and incorporating key requirements of the project level assessment;
- **ROPS and FOPS** - ensuring that relevant mobile plant items are equipped with compliant Roll-Over Protective Structures (ROPS) and Falling Object Protective Structures (FOPS), for safeguarding operators against rollover incidents and falling objects;
- **Records** - maintaining all relevant mobile plant documentation on site (e.g. SWMS, manufacturer's manuals, plant risk assessments, certification and licencing documents, plant on-boarding checklists, inspection and maintenance records, etc).

For further information on managing the risk of plant, refer to the [Model Code for Managing the risk of plant in the workplace](#) and [OFSC Fact Sheet – Mobile plant](#).

EXAMPLES

Will meet criteria:

- Safe systems of work (e.g. SWMS) take into account and refer to the original manufacturer's manual, and the plant risk assessment outcomes, relating to mobile plant operation.

Won't meet criteria:

- Only generic safe systems of work (e.g. SWMS) that have not been developed for the specific item of mobile plant.

H16.4 **Safe systems of work** have been developed for all above ground and underground services taking into account:

1

- identification and location of services;
- management of works adjacent to services; and;
- any necessary liaison with the asset owner

This criterion requires the builder to make sure that all services are identified and located if required, and asset owner requirements are adhered to, including encroachment distances, permits and training requirements.

Guidance notes for H16.4

The process to manage risks associated with aboveground and underground services may involve multiple layers of assessment such as a project level assessment, SWMS, permits, as well as relevant the builder's minimum standards and controls.

The safe systems of work need to explain factors such as:

Identification and Location of Services:

- Conducting surveys and investigations to identify the location of aboveground and underground services, including utilities such as water pipes, sewer lines, gas mains, electrical cables, telecommunications cables, and other infrastructure;
- Locating and marking the positions of services, for example utility maps, as-built drawings, ground-penetrating radar, etc;
- Marking of the locations of services on site plans, maps, or drawings to inform workers and prevent accidental damage during construction activities.

Management of Works Adjacent to Services:

- Identifying safe working distances or exclusion zones around services to prevent accidental contact or interference;
- Implementing controls to protect services during excavation, drilling, trenching, or other activities that may pose a risk to underground infrastructure. For example, using non-destructive excavation methods, such as vacuum excavation or hand digging, to expose and identify services before proceeding with intrusive work;
- Ensuring workers are trained in recognising and avoiding services, excavation techniques, and emergency response procedures in the event of accidental damage or utility strikes.

Liaison with Asset Owners:

- Establishing communication channels with asset owners or utility companies responsible for managing aboveground and underground services;
- Notifying asset owners of planned construction activities that may affect their infrastructure and obtain relevant permits or approvals as required;
- Coordinating with asset owners to obtain accurate information about the location, depth, and condition of services, and to access utility maps or records;
- Collaborating with asset owners to determine specific requirements for working safely near services.

Records

- Ensuring that all relevant records are maintained on site, such as permits, service maps, drawings, inspection records, etc.

For further guidance, refer to the [Model Code of Practice: Excavation work](#), [Safe Work General guide for working in the vicinity of overhead and underground electric lines](#) and [OFSC Fact Sheet – Mobile plant](#).

H16.5 Safe systems of work have been developed for the use of mobile cranes taking into account:



- **ground conditions;**
- **development of lift plans in accordance with relevant legislation, codes of practice and Australian standards; and**
- **lifting of materials and workers**

This criterion requires the builder to make sure that a safe system of work is in place to manage mobile cranes taking into account ground conditions, development of lift plans and lifting of materials and workers.

Guidance notes for H16.5

The process to manage risks associated with mobile cranes may involve multiple layers of assessment such as a project level assessment, SWMS, permits, as well as relevant the builder’s minimum standards and controls for mobile crane operation.

The safe systems of work need to explain factors such as:

Assessment of Ground Conditions:

- Engaging a qualified geotechnical engineer to conduct an assessment of ground conditions at the worksite. The assessment should consider factors such as soil composition, stability, bearing capacity, groundwater levels, and any geological hazards present (e.g. faults, rock formations).

Lift Plans:

- Clearly defining when a lift plan is required, in accordance with relevant legislation, codes of practice, and Australian standards;
- Developing detailed lift plans that adhere to relevant legislation, codes of practice, and Australian standards (e.g. AS 2550 series), which detail factors such as:
 - the scope of lifting operations, including the types of loads to be lifted, their weights, and dimensions;

- appropriate crane configurations, rigging methods, and lifting techniques for each lift;
- crane capacity, reach, and height restrictions, as well as environmental conditions (e.g. wind speed) and site-specific constraints.

Lifting of Materials and Workers:

- Developing procedures for the safe lifting of materials and workers, emphasising factors such as:
 - proper selection and inspection of lifting gear and equipment (e.g. slings, hooks, lifting attachments);
 - means of clear communication between crane operators, doggers, and personnel on the ground;
 - verification of load weights and dimensions before lifting;
 - supervision of lifting operations to ensure compliance with lift plans and safety protocols;
 - prohibition of lifting personnel unless authorised by a certified operator and conducted in accordance with relevant regulations and standards.

Records:

- Maintaining all relevant mobile crane documentation on site (e.g. SWMS/risk assessments, certification and licencing documents, lift plans, plant on-boarding checklists, inspection and maintenance records, lifting gear register etc).

For further guidance, refer to the [Safe Work Guide to mobile cranes](#) and [OFSC Fact Sheet – Mobile plant](#).

H16.6 The system ensures there is an inspection and maintenance program for rigging and lifting equipment.



This criterion requires the builder to ensure that all required inspection and maintenance of rigging and lifting equipment is scheduled and carried out in accordance with manufacturers' requirements and relevant legislation, codes of practice and Australian standards.

Guidance notes for H16.6

The process to manage risks associated with rigging and lifting equipment may involve multiple layers of assessment such as a project level assessment, SWMS, permits, as well as relevant the builder's minimum standards and controls for rigging and lifting equipment.

The safe systems of work need to explain factors such as:

1. Establishing an inspection and maintenance program for rigging and lifting equipment, including procedures, schedules, responsibilities, and documentation requirements;
2. Ensuring that rigging and lifting equipment is inspected in accordance with the relevant Australian Standards, manufacturer recommendations, and the equipment's usage and operating conditions;
3. Maintaining a register of all rigging and lifting equipment used on-site, including slings, shackles, hooks, chains, etc;
4. Ensuring that trained operators or designated inspectors conduct regular visual inspections of rigging and lifting equipment to check for signs of wear, damage, deformation, corrosion, or other defects;
5. Maintaining all rigging and lifting gear records on site, such as registers, checklists, inspection and maintenance records, etc.

For further guidance, refer to the [Safe Work Guide to mobile cranes](#) and [OFSC Fact Sheet – Mobile plant](#).

H16.7 The system ensures that movement of plant and vehicles on-site is controlled.

1

This criterion requires the builder to ensure that plant movement on the project is assessed and effectively managed to mitigate the associated risks.

Guidance notes for H16.7

The proposed controls to manage risks associated with vehicle and mobile plant movement on site must be in accordance with the applicable legislation, codes of practice and Australian Standards.

The safe systems of work need to explain factors such as:

1. Describing the specific controls to be implemented for managing vehicle and plant movement on site. For example, designated routes for vehicle and mobile plant movement, clearly marked exclusion zones and controls for the flow of vehicles and equipment to minimise the risk of collisions and accidents.
2. Additional considerations may include:
 - installing visibility aids on mobile plant, such as mirrors, cameras, or proximity sensors, to enhance visibility of workers, pedestrians, and other plant;
 - establishing clear communication protocols between mobile plant operators, ground personnel, and supervisors to coordinate movements and ensure that plant operators are aware of the location and activities of workers on site;
 - setting and enforcing site speed limit/s;
 - erecting physical barriers, barricades, or exclusion zones around work areas and temporary structures, such as scaffolding, to prevent unauthorised entry/contact by vehicles or mobile plant;
 - assigning a dedicated spotter/s to assist vehicles/mobile plant operators where required.
3. Managing vehicle and mobile plant movement via the development of a Vehicle Movement Plan (VMP) (or similar). A VMP typically outlines the specific controls and procedures for managing vehicle and plant movement on site, including designated routes, exclusion zones, traffic flow controls, and additional safety measures.
4. Maintaining relevant records such as risk assessments, inspection records, VMPs, etc.

For further information on managing the risk of plant, refer to the [Model Code for Managing the risk of plant in the workplace](#) and [OFSC Fact Sheet – Mobile plant](#).

H16.8 The system ensures that all workers operating mobile plant are licensed, trained or competent.

1

This criterion requires the builder to ensure that there is a system in place to define the competency requirements for plant operators including any high-risk licence to operate specific items of plant. A combination of licences, formal training through an RTO and a verification of competency process may be required to operate some items of plant.

Guidance notes for H16.8

The safe systems of work need to explain factors such as:

1. Identifying WHS training, competency, qualification, and high-risk work licence requirements. This may involve the creation of a Training Needs Analysis/Training Matrix or equivalent methods;
2. Verifying WHS training, competency, qualification, and high-risk work licence requirements, typically via the builder's prequalification and site induction processes. For example:
 - prequalification criteria that include WHS training, competency, qualifications, and licensing requirements.
 - verification checks during site inductions to ensure each worker's training, competency, qualifications, and licensing are up-to-date and relevant to their assigned tasks.
3. Outlining a process for verifying of competency (VoC process) where required. For example, where there is no specific legislative high-risk licence requirement for an item of plant, the builder needs to ensure the operator has a Statement of Attainment or Certificate:
 - issued by a Registered Training Organisation (RTO) for the successful completion of the appropriate unit of competency in the Nationally Recognised Training (NRT) package; or
 - evidence of formal VoC assessment against defined competency standards.

Refer to [OFSC Fact Sheet – Verification of Competency – Mobile plant](#), for information relating to verification of competency requirements.

4. Maintaining relevant records such as Training Needs Analysis/Training Matrix, induction and licence records, etc.

For further information on managing the risk of plant, refer to the [Model Code for Managing the risk of plant in the workplace](#) and [OFSC Fact Sheet – Verification of Competency - Mobile plant](#).

H16.9 The system ensures there is an inspection program that is specific to the needs of the type of mobile plant, taking into account:

4

- regulatory inspections and registration;
- manufacturers' inspection requirements;
- pre-start inspections; and
- commissioning prior to use on site

This criterion requires the builder to ensure that mobile plant is inspected at defined frequencies in accordance with the manufacturer and legislative requirements, with commissioning inspections completed prior to use on the project.

Guidance notes for H16.9

The process for managing mobile plant inspections on site must be in accordance with the applicable legislation and manufacturers' requirements.

The safe systems of work need to explain factors such as:

1. Identifying the regulatory and manufacturers' requirements for inspections and registration of each type of mobile plant used on site;
2. Ensuring that mobile plant is inspected in accordance with regulatory and manufacturers' inspection intervals and requirements. A Plant Register may be used to track the history of each item of equipment, including inspection dates and any relevant notes or observations;
3. Verifying that pre-start inspections and commissioning of plant are undertaken prior to use on site for each item of equipment. A plant On-boarding Checklist is a useful way to confirm and record:
 - that the servicing for the plant is up to date (with supporting records);
 - details of required future maintenance – current hours operated and hours to trigger next service;
 - that the plant meets the site's minimum plant requirements, etc.
4. Ensuring that mobile plant pre-start inspection checklists are specific for the particular type of plant;
5. Ensuring that all mobile plant on site that requires design registration, as required under state/territory WHS regulations, are currently registered. For example, concrete placing booms, mobile cranes (rated capacity >10 tonnes), boom-type elevating work platforms (EWPs);
6. Maintaining relevant records on site, such as:
 - plant register;
 - pre-start inspection records;
 - on-boarding checklists;
 - inspection and maintenance records;
 - plant registration (where relevant);
 - manufacturers' manuals.

For further information on managing the risk of plant in the workplace, refer to the [Model Code for Managing the risk of plant in the workplace](#).

H16.10 The system ensures that there is a process for the ongoing maintenance of mobile plant

4

This criterion requires the builder to make sure that all required maintenance is scheduled and carried out on plant in accordance with the manufacturers' requirements and relevant legislation, codes of practice and Australian standards to ensure optimal performance and safety.

Guidance notes for H16.10

The safe systems of work need to explain factors such as:

1. Ensuring that the maintenance of all items of mobile plant on site is up-to-date. A plant on-boarding process is a useful way to confirm this (i.e. current hours operated and hours to trigger next service);
2. Establishing a system for tracking and documenting the maintenance status for each item of mobile plant. This may be achieved through transferring relevant information (i.e. plant operating hours, etc) obtained via the on-boarding process to a Plant Register. Plant operating hours can then be monitored via the site inspection process whilst the plant remains on site.
3. A plant register serves as a comprehensive database containing detailed information about each item of mobile plant, including maintenance schedules, inspection records, and service history. By regularly updating and maintaining this register, the builder can track the maintenance status of each item of mobile plant.
4. Maintaining relevant records on site, such as:
 - plant register;
 - on-boarding checklists;
 - inspection and maintenance records;
 - manufacturers' manuals.

For further information on managing the risk of plant in the workplace, refer to the [Model Code for Managing the risk of plant in the workplace](#).

H16.11 The system ensures that emergency procedures are established specific to the scope of works

1

This criterion requires the builder to develop site-specific emergency procedures to manage potential emergencies associated with mobile plant at the project.

Guidance notes for H16.11

The system needs to ensure that all foreseeable emergency scenarios associated with mobile plant are identified for the project and that emergency response procedures are developed. This may be documented in a project Emergency Response Plan, emergency risk assessment, etc. Refer also to WH13.1/WH13.2.

Issues that need to be explained include:

1. Identifying potential/foreseeable emergency scenarios associated with mobile plant, such as roll-over, collision, contact with underground or overhead electrical cables, fire, etc;
2. Developing step-by-step procedures for responding to each scenario, including how to assess the situation, communicate with emergency services if needed, and execute the rescue safely and efficiently;
3. Ensuring relevant personnel have been inducted into the emergency response procedures and have received relevant training such as first aid, CPR, and the proper use of rescue equipment etc (Refer also to WH13.4).
4. Maintaining induction and training records (e.g. Induction Register, Training Register/Matrix etc).

Glossary of Terms:

these terms are utilised repeatedly throughout this guidance document. Please review and familiarise yourself with them prior to reading, and refer back as necessary to ensure a full understanding of the requirements.

Competent	means that a person has been deemed to meet the combination of licences, qualifications, training and instruction as defined by the builder or by legal requirements for an activity or works.
Documented Process	means that there is a written process (in any format) included in the WHS Management System that clearly describes the requirements for the specific aspect, and may include the purpose, what must be done and by whom, when and how it is to be done, what tools, materials and documents are needed and how the activity is controlled and recorded.
Formally Trained	means a person who has undertaken formal training against a specified training course or plan, with outcomes documented as relevant to the activity or works.
Implementation	the completion of the requirements defined in the WHS Management System and associated procedures, including completion of any required tools, forms or documents.
Inducted	builder specific instruction provided to a worker related to a task, activity or process, with evidence of worker acknowledgement of instruction provided.
Licensed	means that a person has been deemed to meet the defined regulatory requirements for an activity or works.
Principal Contractor	means a builder that has been allocated or contracted with overall management or control of the construction works as per the WHS Regulations.
Project Risk Assessment	means the conduct of hazard identification, risk assessment and control processes (HIRAC) for the overall project in order to 'manage risks' by eliminating health and safety risks so far as is reasonably practicable, and if it is not reasonably practicable to do so, to minimise those risks so far as is reasonably practicable.
Qualified	means a person who holds a recognised degree, certificate or professional standing relevant to the activity or works.
Record	means a form of evidence of account or actions completed, documented in writing or other media that can be readily understood.
Safe Systems of Work	means a set of processes and procedures, including implementation and monitoring tools for the consistent management of hazards across project sites. Must be within the Principal Contractor's system, be repeatable, and control risks associated with identified hazards.
Senior Manager	means a person responsible for controlling or administering a significant part of the builder or group of employees above the project level management team.
System ensures	means there is a prompt or requirement within the Principal Contractor's system that ensures the required action or task is completed and recorded consistently across project sites.
Trained	worker who has been trained internally, consistent with the builder's defined requirements. Evidence of specific content delivered or communicated is required.
Verification of Competency	means a method of documented evaluation of the skill level of a person against defined competency standards in order to evaluate the person's ability to carry out the relevant activity or works.