

HSEQ MANAGEMENT SYSTEM AUDIT REPORT

Audit No: 1131-0821
Audit Type: HSEQ Management System & WHS Act 2012
Audit Date: 02/08/2021
Audit Due Date: 16/07/21
Member: Enerco
Member Number: 1131
Auditor/Authoriser: Ben Simpson
Assessed Sites: 85 Esmond Road, Port Pirie SA 5540
Audit Standard: NECA Certified HSEQ Management System & WHS Act 2012
Audit Scope: NECA Certified HSEQ Management System & WHS Act 2012

Entry Meeting attendees: Ben Simpson
Exit Meeting attendees: Ben Simpson

Audit Codes

C	Conforms	<i>Fulfils requirements with no action required</i>
O	Observation	<i>A positive or negative comment on the system or process where the client may consider the comment as an opportunity for improvement</i>
D	Discrepancy	<i>Client must address the discrepancy prior to the next scheduled audit</i>
NC	Non Conformance	<i>Client must develop and action plan to address the root cause of the issue including a time frame and forward to NECA within a month or as otherwise indicated</i>

Outstanding corrective actions from previous audit of	Evidence of Corrective Actions	
	Open	Closed
	10.1	Closed

HSEQ MANAGEMENT SYSTEM REQUIREMENTS

1. Policy Statements

No.	Criteria	Evidence / Findings	Code
1.1	How are the Policies displayed	Employment pack, Policy folder.	C
1.2	Are they signed and dated	Yes 16/06/21	C
1.3	Do employees understand them	Yes. Employee Pack	C
1.4	Is the wording of the displayed copies the same as in the Manual	Yes	C
1.5	How does the Company ensure new employees see and understand the Policies	Employee pack. All policies are included and signed for.	C

2. Responsibilities & Consultation

No.	Criteria	Evidence / Findings	Code
2.1	Is the Organisation Chart correct	No needs to be up dated with a change of company details form.	D
2.2	Are the designated responsibilities within the Management Manual correct	No requires needs updating with change of company details form.	D
2.3	Are employees able to freely consult / raise issues with management	Yes, open door policy. Ras Operations Manager.	C
2.4	Does management understand their duty of care	Yes HSEQ manual. Jim Bott is a consultant WHS.	C
2.5	Do Officers understand their due diligence	Yes	C
2.6	Does management review the company's WHS performance	Yes. Monthly safety meetings	C
2.7	Do employees understand their duty of care	Yes Employee pack	C
2.8	Is there an appointed Health & Safety Representative	Jim Bott looks after all WHS	C
2.9	Are Tool Box meetings held regularly	Yes. Held Monthly	C

3. Training & Induction

No.	Criteria	Evidence / Findings	Code
3.1	Are new employees inducted	Yes. Employee pack Sighted Ellice Caputo signed 17/12/21	C
3.2	How are training requirements identified	Training register	C
3.3	How does the Company know employees have the appropriate skills	Training register and employee pack	C
3.4	Are all employees identified on the Training Register	Yes	C

4. Legislative & Regulatory Requirements

No.	Criteria	Evidence / Findings	Code
4.1	Does the company have access to all the relevant legislation and regulations	TKB and OTR Round up	C
4.2	Are employees able to access this information	Yes	C

5. Planning

No.	Criteria	Evidence / Findings	Code
5.1	Is the Business Improvement Plan up to date and regularly reviewed	Yes. Sighted and reviewed every month	C
5.2	Are all outcomes from audits being recorded in the Business Improvement Plan	Yes	C
5.3	Are target dates being met	Yes	C

6. Contract & Operations

No.	Criteria	Evidence / Findings	Code
6.1	Are Work Instructions needed for any non-safety processes	Yes. Sighted WI for angle grinders, ladders and digger. Good work.	C
6.2	Is equipment being maintained	Sighted vehicle inspect sheet Nissan Navara and service record. Tool allowance for employees tools/equipment. Need to ensure that all applicable equipment calibration is completed and recorded in a register. Duty of care still falls back onto company as well as employees.	D
6.3	Is a suitable work environment and amenities provided for employees	Yes brand new	C
6.4	Are contracts reviewed and signed off by the Directors	Yes	C
6.5	Are variations reviewed, signed off, registered and workers informed where the variation affects the WHS	Yes Director	C
6.6	There are documented procedures for carrying out key HSEQ processes within the business	SWMS, WI's. Take 5's	C

7. Complaints & Feedback Reporting

No.	Criteria	Evidence / Findings	Code
7.1	How are complaints recorded	N/A	C
7.2	Is there evidence of complaints being recorded	N/A	C
7.3	Is feedback being recorded	Feedback sheets recorded and passed onto to staff at safety meeting. Whats App is used to notify staff.	C
7.4	Are complaints being resolved	N/A	C
7.5	Is the Manager reviewing complaints and feedback	Yes. Larry	C

8. Incident / Accident Reporting & Investigation

No.	Criteria	Evidence / Findings	Code
8.1	How are safety hazards reported and controlled	Take 5 and SWMS	C
8.2	Are injuries reported and investigated	Incident report form used. Sighted Larry's incident from 18. No accidents since.	C
8.3	Is the Hazards/Risks Register being maintained and up to date	HR register is blank. Need to record all applicable HR SWMS in the register.	D
8.4	Are safety and environmental incidents investigated, controlled and communicated	Incident report form.	C
8.5	How is corrective action documented	CAR is used	C
8.6	Are incidents requiring first aid materials being recorded	First Aid register for first aid kit	C
8.7	Is there notification of reportable occurrences to the Regulator	No	C
8.8	Does management review all Incident / Accident Reports	Yes	C

9. Inspections – Site, Plant & Equipment

No.	Criteria	Evidence / Findings	Code
9.1	Are risk assessments conducted on major plant or equipment	Yes. Sighted Risk assessment for equipment	C
9.2	Is the Plant & Equip Register up to date	Yes Sighted	C
9.3	Workers competent to operate major plant	Yes. RA conducted on Forklift. Licence s in training matrix and induction paperwork.	C
9.4	How are environmental or work place safety issues identified	Toolbox meetings held monthly. SWMS	C
9.5	Are weekly inspections required & conducted	Not required weekly. Site inspection conducted for business.	C
9.6	Where are site inspection forms retained	Harddrive, Dropbox	C
9.7	Plant, Equipment and Vehicles are serviced /checked and recorded	Generally Yes.	C

10. Risk Management

No.	Criteria	Evidence / Findings	Code
10.1	Are High Risk Activities recorded and understood	No. Working at Heights is not included. Others need to be updated.	N/C
10.2	Are SWMS in place and signed by all workers	Yes	C
10.3	Are safety risks being correctly assessed	Yes. Previously noted.	C
10.4	Are Hazard ID Booklets (or equivalent) being used regularly	Take 5 booklet	C

11. Emergency Response Plan

No.	Criteria	Evidence / Findings	Code
11.1	Are Emergency Plans up to date	Yes	C
11.2	Where are these retained/displayed	On the wall near front office	C
11.3	Are employees trained in emergency procedures	Yes.	C
11.4	Are Emergency Plans being tested	Evac drill Jun 21	C

12. Hazardous Substances

No.	Criteria	Evidence / Findings	Code
12.1	Are all substances / chemicals recorded on a Register	Yes	C
12.2	Is the Register current	Yes	C
12.3	Are SDS readily available to workers for each substance / chemical	Retained in a folder on-site (next to hazard locker). Also in company drive.	C
12.4	Are substances / chemicals appropriately stored	Yes. New Hazchem locker installed in shed.	C

13. Services or Goods Purchasing

No.	Criteria	Evidence / Findings	Code
13.1	Have all subcontractors / suppliers been initially assessed for WHS	N/A	C
13.2	How are unacceptable subcontractors / suppliers addressed	N/A	C

13.3	Are purchasing documents being used for major purchases	Yes PO's Xero	C
13.4	When purchasing is delegated who is it to	Delegated to 4 dedicated staff. Consumables through Storeman.	C
13.5	Are significant purchases being inspected upon receipt against price, fit for purpose and WHS requirements	Yes inspected by Larry or supervisor.	C

14. Auditing & Management Review

No.	Criteria	Evidence / Findings	Code
14.1	Is the frequency of audits conducted correct for the business	Yes	C
14.2	When was the last internal audit held	Jul 21	C
14.3	Is the entire system being audited annually	Yes	C
14.4	Are internal auditors competent to audit	Yes	C
14.5	Has an annual Management Review Meeting (MRM) been held following audit	Yes. Sighted	C
14.6	Are actions / outcomes from the MRM recorded in the Business Improvement Plan	Yes. Sighted	C

15. Document Control & Records

No.	Management Manual (MM)	Evidence / Findings	Code
15.1	Are all copies of the MM recorded	Not sighted	D
15.2	Is the Distribution Record correct	Not sighted	D
15.3	Are all internal copies of the manuals "controlled"	Not sighted	D
15.4	How are changes to the manuals made	Company details form	C
Work Instructions (WI)			

15.5	Are all WI numbered	Yes	C
15.6	Do all WI have a valid issue status / date	Yes	C
15.7	Are all WI approved	Yes. Sighted various signed in 2021	C
15.8	Are superseded WI removed	Yes	C
15.9	Are pertinent WI available to all workers	Yes	C
15.10	How are changes made to WI requested	Yes	C
Forms			
15.11	Does the Forms Register show the correct status of all forms	Yes	C
15.12	Are only current Forms in use	Yes	C
Other Data / Documentation			
15.13	Are WHS legislation and Standards current	Yes TKB	C
15.14	How is electronic data maintained / backed up	One Drive	C
15.15	Are data retention periods adhered to	Yes	C
15.16	Are records readily retrievable	Yes	C
15.17	Are records legible	Yes electronic	C
15.18	How are obsolete records destroyed	Yes	C

16. - Injury Management & Workers Compensation

No.	Criteria	Evidence / Findings	Code
16.1	Who is your Claims Agent	EML	C
16.2	Have there been any WorkCover claims in the last year	Yes	C
16.3	Is a Rehabilitation and RTW Program in place for any employee	Yes. Knee injury with blood clot	C
16.4	Is the Program being followed / monitored	Yes on restricted duties	C
16.5	What was the outcome of the RTW program	Returned to full duties after a few months.	C

Audit Summary and Findings

There were **zero** (0) Non Conformances, **seven** (7) Discrepancies and **zero** (0) Observations found in this audit.

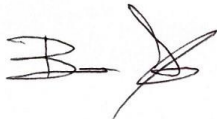
The **seven** (7) discrepancies (2.1, 2.2, 6.2, 8.3, 15.1, 15.2 & 15.5) need to be addressed prior to next audit.

It is concluded that ENERCO Pty Ltd's HSEQ system satisfactorily meets the key requirements of the NECA Certified HSEQ Management System and the WHS Act 2012.

For clarification of any point raised in this report please contact NECA on (08) 8272 2966.

Kind regards

Ben Simpson



HSEQ MANAGER/AUDITOR (No. C287330)