



MASTER ELECTRICIANS
**SAFETY
CONNECT**

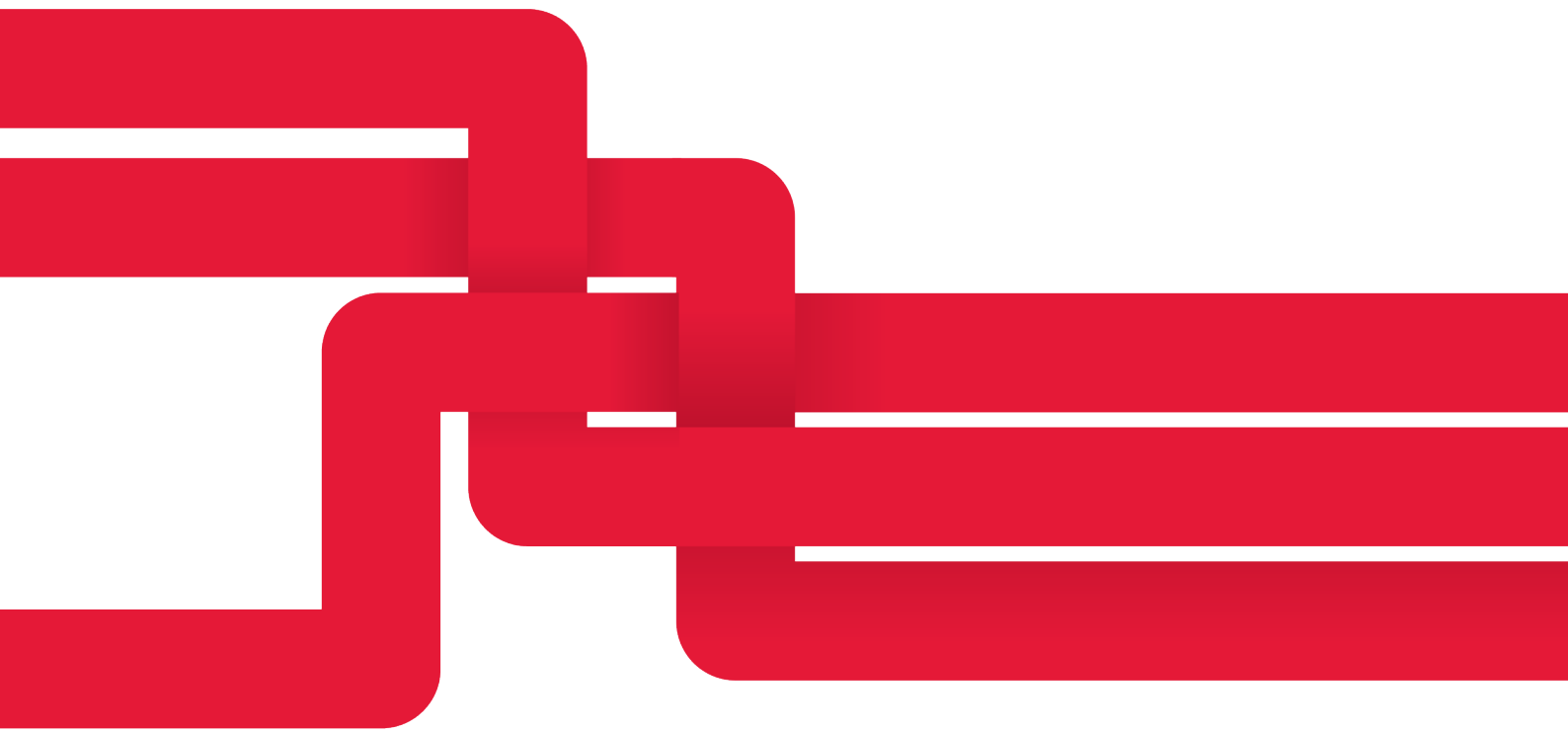
R.T. Projects Electrical

Overview

AS4801

SECTION 1

VERSION 5.0.2



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AMMENDMENTS

Ref	Rev	Date	Details of Change /Amendment
V5.0.1	1	1 Feb 2013	Editorial amendments only
V5.0.2	2	15 July 2013	New Risk Matrix Section 1.17 Figure 1

Note to release:

SafetyConnect Manual version 5 sections 1-4 have been reviewed in accordance with review requirements. Changes in this version are editorial in nature. SafetyConnect members are encouraged to use this copy to maintain currency requirements.

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FOREWORD

Welcome

Welcome to SafetyConnect Australia. By choosing to implement the SafetyConnect Australia Safety Management System in your business, you have made a strong commitment to the safety of your business, and your staff.

This manual includes detailed information, tools, equipment and procedures which will enable you and your staff to deliver a 'fit for purpose' safety solution for your clients.

The system has been developed by leading industry safety experts and complies with the highest levels of electrical standards and safety. By implementing this program effectively, you will ensure a safe environment for your clients and staff through the delivery of best practice safety techniques.

SafetyConnect Australia will assist you with maintaining the competency and skills of your staff so they understand the latest regulatory requirements. We encourage you to regularly audit the work of your staff to ensure overall compliance with company policies to protect your business.

An electronic version of this Manual will always be available from the 'Members Only' site at www.safetyconnect.com.au

Your personalised SafetyConnect Safety Management Manual

SafetyConnect prides itself on the personalisation of the Safety Management Manual; however, with the varying degrees of company and business names, the following course of action has been taken to ensure consistency with formatting.

Your business name currently known as “ **R.T. Projects Electrical** “ for the purposes of this manual shall be known here in as “ **the Business** “

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1.0 SAFETY MANAGEMENT SYSTEM - GENERAL

1.1 OBJECTIVE

The objective of this Safety Management Manual is to ensure that The Business maintains a safe and healthy working environment for the mutual benefit of The Business employees, our customers, other contractors, the public, and other personnel that are engaged by The Business.

1.2 THE PURPOSE

The purpose of this Safety Management Manual is to show all concerned the steps The Business personnel should take to identify and control potential safety & health hazards and by so doing, minimise the risk of injury to its employees and others whilst engaged in the day-to-day operations of The Business.

Readers of this Safety Management Manual should be aware that this manual was prepared with the personal safety and health of workers and stakeholders in mind and should accept the procedures set down and work towards injury free operations by The Business.

1.3 SCOPE

The Scope of Work of this Safety Management Manual includes all electrical work other than heavy industrial and those enterprises with specific needs.

This Safety Management Manual covers in “part” High Voltage (HV); Hazardous Area Electrical installations; any installations under Coal Mining and Quarrying Safety; Petroleum and / or Gas legislation additional information may be required under specific circumstance.

This Safety Management Manual does not cover any requirements that are site (or client) specific.

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1.4 DEFINITIONS

1.4.1 QUALIFIED TECHNICAL PERSON (QTP) (Nominee)

A qualified technical person, for a private company, partnership or corporation, is an individual who satisfies the relevant state licensing authority that he or she:

- Is a fit and proper person
- Can satisfy the relevant state requirements for the issuing of a license to operate as a contractor
- Is competent to perform electrical work as, or for The Business
- Has satisfactorily finished any course of instruction, or examination required by the relevant state licensing authority, on the legislative and technical aspects of performing electrical work
- Is an employee and remains an employee of The Business, partnership or corporation

1.4.2 QUALIFIED BUSINESS PERSON (QBP) (Nominee)

A qualified business person, for a private company, partnership or corporation, is an individual who satisfies the relevant state licensing authority that he or she:

- Is a fit and proper person
- Is competent to perform the business aspects of performing electrical work as, or for, The Business
- Has satisfactorily finished any course of instruction, or an examination required by the relevant state licensing authority, on the business aspects of performing electrical work
- Is able to satisfy the relevant state licensing authority requirements for pre-existing business experience
- Is and remains an employee of The Business, partnership or corporation

1.4.3 WORKER IN CHARGE

The one person who is given, or who takes, responsibility for electrical safety at any particular workplace. The Worker in Charge could be the QTP, Leading Hand, Service Person, Foreman, Supervisor, Project Manager, or any other suitable licensed staff member.

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1.4.4 ELECTRICAL WORKER

Any licensed or in training worker, who is either employed, hired, rented, contracted or sub-contracted by The Business.

1.4.5 ECA

The Electrical Contractors Association.

1.4.6 SAFETYCONNECT AUSTRALIA

SafetyConnect Australia Pty Ltd

1.4.7 VISIT COORDINATOR

In respect to regulatory inspections and legal investigations, the person delegated by The Business or SafetyConnect to liaise on behalf of The Business with all stakeholders.

1.4.8 RISK ASSESSMENT

Is the overall process of estimating the magnitude of Risk and deciding what actions will be taken.

1.4.9 JOB SAFETY ANALYSIS (JSA)

Is a site-specific risk assessment conducted prior to commencement of work.

1.4.10 JOB SAFETY & ENVIRONMENTAL ANALYSIS (JSEA)

Is a site-specific risk assessment and environmental assessment conducted prior to commencement of work.

1.4.11 SAFE WORK METHOD STATEMENT (SWMS)

Is a permanent risk assessment prepared in advance and authorised by the QTP.

1.4.12 PERSON CONDUCTING A BUSINESS OR UNDERTAKING (PCBU)

A person conducts a business or undertaking:

Whether the person conducts the business or undertaking alone or with others; and

Whether or not the business or undertaking is conducted for profit or gain.

A PCBU may be a partnership or an unincorporated association.

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Note that a self-employed person is a PCBU for the purposes of s.19 (Primary duty of care) of the relevant Act.

The Act also specifies when a person does not conduct a business or undertaking:

- A person engaged solely as a worker in, or as an officer of, the business or undertaking
- An elected member of a local authority
- The regulations also specify circumstances in which a person is not a PCBU
- A strata title body corporate with responsibility for premises used solely for residential purposes is excluded from the PCBU definition. Note that this does not apply if the body corporate engages a worker as an employee (Administrative regulations 2010, 1.2.2)
- A volunteer association - here a volunteer association means a group of volunteers working together for one or more community purposes where none of the volunteers, whether alone or jointly with any other volunteers, employs any person to carry out work for the volunteer association.

1.5 EXCLUSIONS

There are no exclusions from the system or list any exclusions here.

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Table 1: Safety Management System Standards Matrix

AS/NZS 4801:2001	OHSAS 18001:2007	THE BUSINESS Reference
General Requirements	General Requirements	THE BUSINESS Safety Management System Manual
Policy	Policy	Safety Policy
Planning and Hazard Identification, Risk Assessment and Control (HIRAC)	Planning and Operational Controls	Document Management Procedure Risk Management Procedure Safety Risk Registers Safety Management Plan
Legal and Other Requirements		Legal and Other Requirements Register Document Management Procedure
Objectives and Targets and Safety Management Plans	Objectives and Programmes	Safety Management Plan
Implementation	Implementation and Operation	Safety Management Manual Construction Safety Management Manual Service Safe Work Method Statements Electrical Procedures Work Health and Safety Procedures
Training and Competency	Competency, Training and Awareness	Induction Training Position Descriptions Performance Reviews
Communication	Communication	Toolbox Talks Noticeboards
Consultation	Participation and Consultation	Toolbox Talks SWMS Development
Reporting	-	Management Reviews
Documentation	Documentation	THE BUSINESS Safety Management System Manual

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AS/NZS 4801:2001	OHSAS 18001:2007	THE BUSINESS Reference
		Document Management Procedure
Control of Documents	Control of Documents	Document Management Procedure
Evaluation of Hazard Identification, Risk Assessment and Control (HIRAC)	-	Document Management Procedure Risk Management Procedure
Emergency Preparedness and Response	Emergency Preparedness and Response	Emergency Preparedness Procedures
Monitoring and Measurement	Performance Measurement and Monitoring	Internal Audits Inspections Management Reviews
Health Surveillance	-	THE BUSINESS Safety Management System Manual
Monitoring and Measurement, Evaluation of Compliance	Evaluation of Compliance	Document Management Procedure Risk Management Procedure
Incident Investigation, Corrective and Preventative Action	Incident Investigation, Nonconformity, Corrective and Preventative Action	Incident Reporting Procedure Investigations Procedure Improvements Procedure
Records and Records Management	Control of Records	Records Management Procedure
Safety Audits	Internal Audits	Audits/Inspections Procedure
Management Review	Management Review	Management Review Procedure

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1.6 MANAGEMENT SYSTEM REQUIREMENTS

THE BUSINESS has established, documented, implemented, and maintains a safety management system and continually improves its effectiveness in accordance with AS/NZS 4801 and OHSAS 18001.

1.7 DOCUMENTATION REQUIREMENTS

The safety management system documentation includes:

Policy Statements

THE BUSINESS Goals and Objectives

THE BUSINESS Safety Management System Manual – General

Procedures and records required by AS/NZS 4810 and OHSAS 18001

Documents, including records, determined to be necessary to ensure the effective planning, operation, and control of processes

Documentation and records

1.7.1 CONTROL OF DOCUMENTS

The Document Management Procedure has been developed for controlling documents required for the operation of the safety management system. The procedure defines the controls needed for ensuring:

- Documents are approved by a competent person for adequacy prior to release
- Documents are reviewed, updated as necessary and re-approved
- The relevant versions of documents are legible, readily identifiable, retrievable and available at locations where activities essential to the effective functioning of the safety management system are performed
- To ensure that documents remain legible and readily identifiable
- To ensure that documents of external origin are identified and their distribution controlled
- To, prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose

Documents may be in any form of media and shall include those of external origin.

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1.8 LEGAL REQUIREMENTS

THE BUSINESS ensures that Statutory and Regulatory (Legal) requirements, as applicable are determined.

THE BUSINESS has established, implemented and maintains a Document Management Procedure that:

- Identifies and ensures access to the applicable legal requirements and other requirements to which the organization subscribes related to its safety risks
- Determines how these requirements apply to its safety risks
- Ensures these applicable legal requirements and any other requirements have been taken into account in establishing, implementing and maintaining the safety management system

Legal requirements shall be communicated to employees, contractors and other interested parties.

A THE BUSINESS Legal and Other Requirements Register has been established.

Reference: 4.28 Document Management Procedures

1.9 CONTROL OF RECORDS

THE BUSINESS ensures that records established to provide evidence of conformity to requirements, of the effective operation of the Safety Management System are controlled.

The Records Management Procedure details the identification, storage, retrieval, protection, retention time and disposition of records.

Records shall remain legible, readily identifiable and retrievable.

Reference: Table 13 Records register

A THE BUSINESS Records Register has been established.

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1.10 MANAGEMENT RESPONSIBILITY

1.10.1 MANAGEMENT COMMITMENT

The Director/Partner/Principal is fully committed to the development, implementation and continually improving effectiveness by:

- Communicating the importance of meeting customer as well as statutory and regulatory requirements
- Establishing policies, goals and objectives
- Conducting management reviews of the Safety Management System
- Ensuring the availability of resources

1.10.2 RESPONSIBILITIES

1.10.2.1 DIRECTOR / PARTNER / PRINCIPAL (PCBU)

There are five foundation responsibilities for directors/partners/principals of The Business. They are:

- All directors/partners/principals of The Business will comply with the statutory duty of due care and diligence – that is, a discharge of duties, with the degree of care and diligence that a reasonable person would exercise if they were a director of The Business
- All directors/partners/principals of The Business will exercise powers and discharge their duties in good faith and in the best interests of The Business and for a proper purpose
- All directors/partners/principals of The Business will not improperly use their position to gain advantage for themselves or someone else or cause detriment to The Business
- All directors/partners/principals of The Business will not improperly use information obtained as a director to gain an advantage for themselves or someone else or cause detriment to The Business
- All directors/partners/principals of The Business must not disclose to other directors any material of personal interest in a transaction between The Business and another

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1.10.2.2 QUALIFIED BUSINESS PERSON (QBP)

The QBP for The Business has authority on matters relating to business practices. A qualified business person, for a private company, partnership or corporation, is an individual who satisfies the relevant state licensing authority that he or she:

- Is a fit and proper person
- Is competent to perform the business aspects of performing electrical work as, or for, The Business
- Has satisfactorily finished any course of instruction, or an examination required by the relevant state licensing authority, on the business aspects of performing electrical work
- Is able to satisfy the relevant state licensing authority requirements for pre-existing business experience
- Is and remains an employee of The Business, partnership or corporation

1.10.2.3 QUALIFIED TECHNICAL PERSON (QTP)

The QTP for The Business has authority on matters relating to safety, electrical or otherwise, for any The Business electrical work.

The responsibilities associated with this position include:

- Stopping work when it's unsafe to continue and take whatever remedial steps are required to make the workplace or installation safe
- Ensuring that all workers remain familiar with the contents of this Safety Management Manual
- Counselling employees not working within the framework of this Safety Management Manual
- Maintaining appropriate risk mitigation procedures
- Ensuring that all employees comply with The Business safety requirements and take immediate steps to correct any breaches
- Encouraging and maintaining high standards of housekeeping
- Encouraging employees to report hazards, unsafe work practices, near misses and all injuries

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- Recording the details of, and reporting on, any incidents or accidents immediately to the Principal Contractor, Department of Workplace Health and Safety and/or the relevant state/industry regulator as appropriate
- Ensuring that all persons conducting live testing or live work are assessed and deemed competent prior to commencement of testing
- Ensuring that only electrical test equipment that is “in test” and with the appropriate Installation Category is allowed to be used by any Electrical Worker

1.10.2.4 WORKER IN CHARGE

The Worker in Charge is responsible for the day-to-day operations on a nominated job and the safety and well-being of the employees at the various nominated work faces.

The responsibilities associated with this position include:

- Stopping work when it's unsafe to continue and reporting the incident immediately to the QTP and awaiting further instructions
- Ensuring that THE BUSINESS safety requirements are maintained
- Participating with employees in the finalisation of Safe Work Method Statements
- Organising work places to ensure work is performed to the required standards with minimum risk to employees, the public or others, equipment and materials
- Communicating to all workplace employees and other personnel precise instructions on the responsibilities for correct safe working methods
- Liaising with the QTP on matters relating to safety
- Planning and maintaining a tidy work environment by arranging for the removal of debris at timely intervals to maintain a safe work environment at all times
- Ensuring that all The Business plant and equipment is properly maintained in accordance with the manufacturer's specification
- Ensuring that only test equipment that is “in test” and with the appropriate Installation Category is used on the job site
- Ensuring that all employees are aware of their responsibilities.

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1.10.2.5 EMPLOYEES / ELECTRICAL WORKERS

All The Business employees have a responsibility for their own Health and Safety and are encouraged to participate in all aspects of this manual for their own safety and the safety of the public, others, and their co-workers.

The responsibilities associated with this position include:

- Stopping work when it's unsafe to continue and reporting the incident immediately to the Worker in Charge and awaiting further instructions
- Complying with the instructions given for their own Health and Safety
- Reviewing prepared Safe Work Method Statements (WMS) for validity prior to commencing the assigned tasks included on the WMS
- Ensuring WMS are revised to suit assigned tasks when required AND prior to commencing any work on the task
- Reporting sub-standard practices or conditions to the Worker in Charge
- Actively participating in the elimination of risks and hazards
- Promptly reporting all injuries and unsafe circumstances to the Worker in Charge
- Correctly using and maintaining Personal Protective Equipment (PPE) at all times
- Adhering to all instructions issued by The Business and the Person in Control
- Considering the knowledge and experience of those working around them
- Warning others of dangers when appropriate
- Not putting themselves and others at risk
- Not conducting live testing/live work unless they are assessed and deemed competent by the QTP prior to commencement of testing
- Not bringing any personal test equipment on site unless it is "in test" and has the appropriate Installation Category without the approval of the QTP
- Maintaining a high standard of housekeeping at all work places

1.10.2.6 POLICY STATEMENT

The Director/Partner/Principal (PCBU) has ensured that the policy statement:

- Is appropriate to the nature and scale of the organisation's safety risks

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- Includes the commitment to providing a framework for establishing measurable objectives and targets to ensure continued improvement aimed at elimination of work-related injury and illness
- Includes a commitment to comply with relevant legislation and with other requirements placed upon the organization or to which the organization subscribes
- Is communicated to all employees
- Is available to interested parties
- Is reviewed periodically to ensure it remains relevant and appropriate

1.11 PLANNING

The Business shall establish, implement and maintain a procedure(s) for the ongoing hazard identification, risk assessment and determination of necessary controls.

The procedure(s) for hazard identification and risk assessment shall take into account:

- Routine and non-routine activities
- Activities of all persons having access to the workplace (including contractors and visitors)
- Human behaviour, capabilities and other human factors
- Identified hazards originating outside the workplace capable of adversely affecting the health and safety of persons under the control of THE BUSINESS within the workplace
- Hazards created in the vicinity of the workplace by work-related activities under the control of the organization
- Infrastructure, equipment and materials at the workplace, whether provided by THE BUSINESS or others
- Changes or proposed changes in the organization, its activities, or materials
- Modifications to the safety management system, including temporary changes, and their impacts on operations, processes and activities
- Any applicable legal obligations relating to risk assessment and implementation of necessary controls
- The design of work areas, processes, installations, machinery/equipment, operating procedures and work organization, including their adaptation to human capabilities

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The organization's methodology for hazard identification and risk assessment shall:

- Be defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive
- Provide for the identification, prioritization and documentation of risks, and the application of controls, as appropriate

For the management of change, the organization shall identify the safety hazards and safety risks associated with changes in THE BUSINESS, the safety management system, or its activities, prior to the introduction of such changes.

THE BUSINESS shall ensure that the results of these assessments are considered when determining controls.

When determining controls, or considering changes to existing controls, consideration shall be given to reducing the risks according to the following hierarchy:

- a) Elimination
- b) Substitution
- c) Engineering controls
- d) Signage/warnings and/or administrative controls
- e) Personal protective equipment

THE BUSINESS shall document and keep the results of identification of hazards, risk assessments and determined controls up-to-date.

THE BUSINESS shall ensure that the safety risks and determined controls are taken into account when establishing, implementing and maintaining the safety management system.

1.12 OPERATIONAL CONTROL

THE BUSINESS shall determine those operations and activities that are associated with the identified hazard(s) where the implementation of controls is necessary to manage the safety risk(s). This shall include the management of change.

For those operations and activities, THE BUSINESS shall implement and maintain:

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- Operational controls, as applicable to THE BUSINESS and its activities
- THE BUSINESS shall integrate those operational controls into its overall safety management system
- Controls related to purchased goods, equipment and services
- Controls related to contractors and other visitors to the workplace
- Documented procedures, to cover situations where their absence could lead to deviations from the safety policy and the objectives
- Stipulated operating criteria where their absence could lead to deviations from the safety policy and objectives

1.13 OBJECTIVES AND TARGETS

THE BUSINESS has established, implemented and maintains documented objectives and targets, at all relevant functions and levels. The objectives and targets are measurable, where practicable, and consistent with the policy, legal and other requirements and continual improvement, including providing a safe workplace. THE BUSINESS takes into account the legal requirements and other relevant requirements, and its safety risks. It also considers its technological options, its financial, operational and business requirements, and the views of interested parties.

1.14 PLANS

Plans have been developed that identify activities and resources needed to achieve objectives and targets. Planning shall be consistent with other requirements of the Safety Management System. It is ensured that the integrity of the Safety Management System is maintained when changes to the system are planned and implemented. The plans include:

Designation of responsibility for achieving objectives and targets at relevant functions and levels of the organisation

The means and time-frame by which they are to be achieved

The plan shall be reviewed at regular intervals and if changes occur to product, service and activities.

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1.14.1 HAZARD IDENTIFICATION, RISK ASSESSMENT AND CONTROL (HIRAC)

THE BUSINESS has established, implemented and maintains procedures that identify the safety hazards and has assessed and controlled the associated risks of activities, products and services over which THE BUSINESS has control and influence, which includes, products or services of contractors and suppliers.

The methodology for hazard identification, risk assessment and risk control has been developed, based on operational experience and commitment to eliminate workplace illness and injury. The methodology is kept up-to-date.

1.15 RESPONSIBILITY AUTHORITY AND COMMUNICATION

An organisation chart and related position descriptions have been developed that details the interrelations, responsibilities and authorities with regard to the safety management system.

1.15.1 RESOURCES, ROLES, RESPONSIBILITY, ACCOUNTABILITY AND AUTHORITY

The Director/Partner/Principal (PCBU) shall take ultimate responsibility for safety and the safety management system.

The Director/Partner/Principal shall demonstrate commitment by:

- Ensuring the availability of resources essential to establish, implement, maintain and improve the safety management system
- Defining roles, allocating responsibilities and accountabilities, and delegating authorities, to facilitate effective safety management; roles, responsibilities, accountabilities and authorities shall be documented and communicated

THE BUSINESS shall appoint a member of top management (Safety Coordinator) with specific responsibility for safety, irrespective of other responsibilities, and with defined roles and authority for:

- Ensuring that the safety management system is established

The BUSINESS Safety Coordinator assists the PCBU in relation to safety activities and responsibilities include:

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- Ensuring that processes needed for the safety management system are established implemented and maintained
- Reporting to management on the performance of the safety management system, including recommendations and needs for improvement
- Ensuring that safety requirements are established, implemented and maintained in accordance with all requirements, including AS/NZS 4801; and OHSAS18001

1.15.2 COMMUNICATION

Hazards and the safety management system shall be communicated to all levels within THE BUSINESS, contractors and visitors.

With regard to communication, a procedure has been established for:

- Internal communication among the various levels and functions of the organization
- Receiving, documenting and responding to relevant communication from external interested parties

1.15.3 CONSULTATION

All employees, as required, have:

- Been involved in the development, implementation and review of policies and procedures to identify hazards and assess and control risks
- Been consulted where there are any changes that affect the safety management system
- Selected those who will represent them on safety matters
- Been informed as to who their safety representative(s) are

Documented procedures, agreed to by employees, have been established for employee involvement and consultation in safety issues.

1.15.4 REPORTING

The Management Review Procedure has been established for relevant and timely reporting of information established to ensure the safety management system is monitored and performance improved.

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The procedure covers the following:

- Safety performance reporting (including results of audits, inspections, customer feedback and reviews)
- Reporting of incidents and system failures
- Reporting on hazard identifications
- Reporting on risk assessment
- Reporting on preventive and corrective action
- Statutory reporting requirements

1.15.5 MANAGEMENT REVIEW

The Director/Partner/Principal (PCBU) shall as a minimum, on an annual basis, or as required by changing circumstances hold, a review of the safety management system to ensure its continuing suitability, adequacy and effectiveness.

The review shall include assessing opportunities for improvement and the need for changes, including policies and objectives.

Reference: 4.39 Management Review

Records of such reviews shall be maintained.

1.15.5.1 REVIEW INPUT

- Review of previous meetings minutes (to ensure all actions are satisfactorily completed)
- Customer feedback. This shall include complaints and positive remarks
- Review of corrective and preventive actions, including an evaluation of effectiveness
- Review of audit findings, internal and external
- Review of safety inspections
- Resources, including responsibilities
- Safety incidents, investigations and issues
- Corrective and preventive actions
- Safety Policy

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- Objectives and targets
- Results of participation and consultation
- Changing circumstances, including developments in legal and other requirements related to possible changes
- Recommendations for improvements

1.15.5.2 REVIEW OUTPUT

Review Output, the output from management review shall be consistent with THE BUSINESS commitment to continual improvement and shall include any decisions or actions related to possible changes in:

- Safety performance
- Safety policy and objectives
- Resources
- Other elements of the safety management system
- Improvement of the effectiveness of the system and its processes

Relevant outputs shall be made available for communication and consultation.

1.16 RESOURCE MANAGEMENT

1.16.1 HUMAN RESOURCES

It is ensured that personnel are competent on the basis of appropriate education, training, skills and experience.

1.16.2 COMPETENCE TRAINING

The Director/Partner/Principal (PCBU) shall:

- Provide training or take other actions to achieve the necessary competence
- Provide training to ensure a safe work place
- Evaluate the effectiveness of the actions taken
- Maintain appropriate records of education, training skills and experience

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1.17 HAZARD IDENTIFICATION, RISK ASSESSMENT & CONTROL OF RISKS (HIRAC)

1.17.1 GENERAL

A Hazard/Risk Management Procedure has been established that ensures:

- a) Hazards are identified
- b) Risks are assessed
- c) Risks are controlled
- d) The steps above are evaluated

1.17.2 HAZARD IDENTIFICATION

The identification of hazards in the workplace takes into account:

- The situation or events or combination of circumstances that has the potential to give rise to injury or illness
- The nature of potential injury or illness related to the activity, product or service
- Past injuries, incidents and illnesses

The identification process also includes consideration of:

- The way work is organised, managed, carried out and any changes that occur in this
- The design of workplaces, work processes, materials, plant and equipment
- The fabrication, installation and commissioning and handling and disposal (of materials, workplaces, plant and equipment)
- The purchasing of goods and services
- The contracting and subcontracting of plant, equipment, services and labour, including contract specification and responsibilities to and by contractors
- The inspection, maintenance, testing, repair and replacement (of plant and equipment)

1.17.3 RISK ASSESSMENT

All risks associated with each identified hazard assessed have risk control priorities assigned, based on the established level of risk.

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1.17.4 RISK CONTROL

All risks, identified through the assessment process as requiring control measures are controlled through a preferred order of control methods (commonly referred to as a hierarchy), based on reasonable practicability.

Note: Elimination is the first control method to be considered.

1.17.5 EVALUATION

Hazard identification, risk assessment and control processes are subject to a documented evaluation of effectiveness and modified as required.

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Figure 1:Risk Matrix

		CONSEQUENCES				
		Insignificant [1]	Minor [2]	Moderate [3]	Major [4]	Catastrophic [5]
LIKELIHOOD	Almost Certain [5]	Moderate (5)	High (10)	High (15)	Catastrophic (20)	Catastrophic (25)
	Likely [4]	Moderate (4)	Moderate (8)	High (12)	Catastrophic (16)	Catastrophic (20)
	Possible [3]	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
	Unlikely [2]	Low (2)	Moderate (4)	Moderate (6)	Moderate (8)	High (10)
	Rare [1]	Low (1)	Low (2)	Low (3)	Moderate (4)	Moderate (5)

If the residual risk	=	Catastrophic (16+)	then	Work unable to proceed seek other methods (Significant)
	=	High (10 – 15)	then	Permission from high level management for work to proceed (Significant)
	=	Moderate (4 – 9)	then	Permission from worker in charge for work to proceed (Insignificant)
	=	Low (1 – 3)	then	Work able to proceed (Insignificant)

1. Eliminate →	2. Substitute →	3. Isolate →	4. Redesign →	5. Administrative →	6. PPE Last Resort
<i>Eliminate the hazard</i>	<i>Substitute with a less hazardous material, process or equipment</i>	<i>Isolate the hazard</i>	<i>Redesign equipment or work process</i>	<i>Introduce administrative controls</i>	<i>Use appropriate Personal Protective Equipment</i>

C = Consequence	L = Likelihood
5 = Catastrophic = Fatality, permanent disability, long term widespread impacts, huge financial loss.	5 = Almost Certain = It is almost certain that the risk will occur in most circumstances.
4 = Major = Permanent disability or extensive injuries, medium to long term widespread impact, major financial loss.	4 = Likely = The risk is likely to occur in most circumstances.
3 = Moderate = Lost time injury, reversible medium term local impact, high financial loss.	3 = Possible = There is uncertainty that the risk could occur.
2 = Minor = Medical treatment, reversible short – medium term impact to local area, medium financial loss.	2 = Unlikely = The risk could occur at some time but there is confidence that it will not.
1 = Insignificant = First aid, limited impact to minimal area, low financial loss. .	1 = Rare = The impact/risk may occur only in exceptional circumstances.

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1.18 MEASUREMENT, ANALYSIS AND IMPROVEMENT

1.18.1 GENERAL REQUIREMENTS

A system has been established that defines plans and implements measurement, monitoring, analysis and improvement processes to:

- Ensure conformity to the safety management system
- Continually improves the effectiveness of the system

The effectiveness of measures implemented is periodically evaluated. Where appropriate, the system includes the use of statistical tools. The results of data analysis and improvement activities are an agenda item of the Management Review Meetings.

1.18.2 INTERNAL AUDIT

Internal Audits are conducted at planned intervals to determine whether the safety management system:

- Conforms to planned arrangements, to the requirements of AS/NZS 4801 and to system requirements
- Is effectively implemented and maintained

The audit process, including the schedule, is based on risk assessments, the status and importance of the processes and areas to be audited and the results of previous audits. The procedure for internal audit defines the audit criteria, scope, frequency and methodologies, as well as the responsibilities and requirements for conducting audits, establishing records and reporting results to management.

The selection of auditors and implementation of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.

Management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes.

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Follow up activities shall include the verification of the actions taken and the reporting of verification results.

1.18.3 CONTINUAL IMPROVEMENT

THE BUSINESS shall continually improve the effectiveness of the safety management system.

Methods shall include:

- Policies
- Goals and objectives
- Audit results
- Analysis of data
- Corrective and preventive actions
- Management review

1.18.4 INCIDENT INVESTIGATION

THE BUSINESS shall establish, implement and maintain a procedure(s) to record, investigate and analyse incidents in order to:

- Determine underlying safety deficiencies and other factors that might be causing or contributing to the occurrence of incidents
- Identify the need for corrective action
- Identify opportunities for preventive action
- Identify opportunities for continual improvement
- Communicate the results of such investigations

The investigations shall be performed in a timely manner.

The results of incident investigations shall be documented and maintained.

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1.18.5 NONCONFORMITY, CORRECTIVE ACTION AND PREVENTIVE ACTION

THE BUSINESS shall establish, implement and maintain a procedure(s) for dealing with actual and potential nonconformities and for taking corrective action and preventive action. The procedure(s) shall define requirements for:

- Identifying and correcting nonconformities and taking action(s) to mitigate their safety consequences
- Investigating nonconformities, determining their cause(s) and taking actions in order to avoid their recurrence
- Evaluating the need for action(s) to prevent nonconformities and implementing appropriate actions designed to avoid their occurrence
- Recording and communicating the results of corrective action(s) and preventive action(s) taken
- Reviewing the effectiveness of corrective action(s) and preventive action(s) taken

Where the corrective action and preventive action identifies new or changed hazards or the need for new or changed controls, the procedure shall require that the proposed actions shall be taken through a risk assessment prior to implementation.

Any corrective action or preventive action taken to eliminate the causes of actual and potential nonconformities shall be appropriate to the magnitude of problems and commensurate with the safety risk(s) encountered.

THE BUSINESS shall ensure that any necessary changes arising from corrective action and preventive action are made to the safety management system documentation.

1.19 EMERGENCY PREPAREDNESS AND RESPONSE

THE BUSINESS has established, implemented and maintains procedures to identify potential emergency situations and potential accidents that can have an impact(s) on safety and how it will respond to them.

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THE BUSINESS periodically reviews and, where necessary, revises its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations. This shall include all relevant parties, (emergency services and neighbours).

Reference: 4.20 Emergency Preparedness and Response procedure

Periodically the procedures are tested where practicable.

1.20 MONITORING AND MEASUREMENT

THE BUSINESS has established, implemented and maintains procedures to monitor and measure, on a regular basis, the key characteristics of its operations that can have an impact on safety. The procedures include the documenting of information to monitor performance, applicable operational controls and conformity with the organization's objectives and targets.

1.21 EVALUATION OF COMPLIANCE

Consistent with its commitment to compliance THE BUSINESS shall establish, implement and maintain a procedure(s) for periodically evaluating compliance with applicable legal requirements.

THE BUSINESS shall keep records of the results of the periodic evaluations.

THE BUSINESS shall evaluate compliance with other requirements to which it subscribes.

1.22 HEALTH SURVEILLANCE

Where situations are identified where employee health surveillance is required the appropriate controls will be implemented.

All employees have access to their own individual results.

Where specified by legislation, the health of employees exposed to specific hazards is monitored and recorded.