

### MEASUREMENT AND EVALUATION

#### Aim

To prescribe the responsibilities and actions required for development, implementation and monitoring of the Health Safety and Wellbeing (HSW) management system via internal audit and to ensure the University meets the requirements of the [Health, Safety and Wellbeing \(HSW\) policy](#) and [ReturnToWorkSA Code of Conduct for self-insured employers](#).

#### 1 Objectives

- 1.1 To conduct a systematic process of internal review against defined criteria.
- 1.2 To ensure that the HSW Management System is audited and system deficiencies are identified, recorded and actioned.

#### 2 Scope

##### 2.1 Inclusions

This applies to audits undertaken through the University of Adelaide's HSW internal audit program against relevant HSW Handbook chapters.

##### 2.2 Exclusions

- Frequently asked questions associated with the HSW Handbook.
- Audits initiated by Schools/Branches in local areas to provide information to the School/Branch.
- Audit conducted by the University Internal Auditors (managed by Legal and Risk).

#### 3 Process: Planning the Internal Audit Cycle

Person Responsible		Actions
3.1	<b>Director Health, Safety and Wellbeing</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Construct an internal audit schedule and ensure it is made available on the <a href="#">web</a>.</li> <li><input type="checkbox"/> Determine which topics will be audited (based on Handbook Chapters) in consultation with the HSW Senior Advisors and the Manager of HR/HSW Audit and Compliance based on (but not limited to): <ul style="list-style-type: none"> <li><input type="checkbox"/> safety issues raised in the HSW Online Reporting System (<a href="#">UniSafe</a>);</li> <li><input type="checkbox"/> emerging hazards and issues;</li> <li><input type="checkbox"/> overarching consolidated audit results and performance findings.</li> </ul> </li> <li><input type="checkbox"/> Choose locations that are to be audited based on: <ul style="list-style-type: none"> <li><input type="checkbox"/> hazard rating (e.g. higher risk areas such as STEM areas or lower risk areas);</li> <li><input type="checkbox"/> recommendations from HSW faculty/divisional management;</li> <li><input type="checkbox"/> hazard profile; and</li> <li><input type="checkbox"/> safety issue and injury data.</li> </ul> </li> </ul>

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### 3 Process: Planning the Internal Audit Cycle (Continued)

Person Responsible	Actions
3.2 Manager HR/HSW Audit and Compliance	<ul style="list-style-type: none"> <li><input type="checkbox"/> Develop question sets based on the actions required within the chapter, performance measures and other legislative requirements, where applicable.</li> <li><input type="checkbox"/> Determine the evidence required to be viewed by the auditors.</li> <li><input type="checkbox"/> Ensure that the audit team have completed an accredited auditing course and have a Statement of Attainment (or equivalent competency).</li> </ul>

### 4 Process: Implementation of the Internal Audit Cycle

Person Responsible	Actions
4.1 Manager HR/HSW Audit and Compliance	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct a pre-audit meeting with the audit team to discuss which of the following elements will be applied (depending on the audit questions): <ul style="list-style-type: none"> <li><input type="checkbox"/> Documentation review (where the auditors review records, documentation and systems);</li> <li><input type="checkbox"/> An inspection of the audited area;</li> <li><input type="checkbox"/> Formal interviews.</li> </ul> </li> <li><input type="checkbox"/> Communicate with the supervisor of the location, Head of School/Branch, HSW Hub Manager, Health and Safety Representative (HSR) of the workgroup and HSW Senior Advisor.</li> </ul>
4.2 Auditors	<ul style="list-style-type: none"> <li><input type="checkbox"/> Schedule and conduct the audit at a mutually agreeable time with the supervisor.</li> </ul> <p>Note: Where a supervisor does not comply with reasonable requests to complete the audit within the audit cycle then the matter is to be referred to the Director, HSW.</p>
4.3 Supervisor	<ul style="list-style-type: none"> <li><input type="checkbox"/> Meet with the Auditor(s) and provide objective evidence to demonstrate that the audit criteria have been met.</li> </ul>

### 5 Process: School/Branch Measurement and Evaluation

Person Responsible	Actions
5.1 Auditors	<ul style="list-style-type: none"> <li><input type="checkbox"/> Report to the supervisor the following: <ul style="list-style-type: none"> <li>o outcomes;</li> <li>o opportunities for improvement;</li> <li>o observations; and</li> <li>o out of scope findings.</li> </ul> </li> <li><input type="checkbox"/> Provide the supervisor opportunity to comment on the above.</li> <li><input type="checkbox"/> Draft the report to be proofed by Manager HR/HSW Audit and Compliance.</li> <li><input type="checkbox"/> Send the final report to the Executive Dean of the Faculty or Head of Division, Head of School/Branch, the HSW Hub Manager; the HSWOs of the faculty/division, the Senior HSW Advisor, Director of HSW and the supervisor and relevant HSR, outlining the results and the deficiencies.</li> </ul>

## 5 Process: School/Branch Measurement and Evaluation (Continued)

Person Responsible		Actions
5.2	Supervisor	<ul style="list-style-type: none"> <li><input type="checkbox"/> Consult with the HSW Hub regarding suitable actions to correct any findings or observations.</li> <li><input type="checkbox"/> Ensure that all corrective actions are completed within the allocated agreed timeframe.</li> </ul> <p>Note: In accordance with consultation requirements under the Work Health and Safety (WHS) Act 2012, supervisors must consult with workers they directly supervise and/or their representatives when making decisions about ways to eliminate or minimise risks or when proposing changes that may affect the health or safety of workers.</p>
5.3	HSW Officer	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide advice to the supervisor regarding appropriate corrective actions, reasonable timeframes and person responsible for the action(s).</li> <li><input type="checkbox"/> Ensure corrective actions are documented in the HSW Online Reporting System (<a href="#">UniSafe</a>).</li> </ul>
5.4	Manager HR/HSW Audit and Compliance	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct quality control over the audit findings and contact the auditor and/or the supervisor if there is a dispute.</li> <li><input type="checkbox"/> Should a dispute over audit findings occur: <ul style="list-style-type: none"> <li><input type="checkbox"/> Consult with the auditor and the supervisor to obtain a summary of the dispute together with any objective evidence provided by the auditee where relevant.</li> <li><input type="checkbox"/> Agree on the outcome (e.g. compliance or non-compliance) and either: <ul style="list-style-type: none"> <li>o Amend the internal audit report, attach any additional evidence provided and amend the observations; or</li> <li>o Accept and save the report as applicable.</li> </ul> </li> </ul> </li> <li><input type="checkbox"/> Close the audit once all actions are assigned.</li> <li><input type="checkbox"/> Ensure that at the end of the audit cycle any trends/themes (primary issues) are identified and recorded in the overarching consolidated file (refer to HSW Operations Manual for details).</li> </ul>
5.5	Senior HSW Advisors	<ul style="list-style-type: none"> <li><input type="checkbox"/> Report the results to the faculty/divisional head and HSW committees via the quarterly HSW Senior Advisor Report.</li> </ul>

## 6 Process: University reporting, review and improvement

Person Responsible		Actions
6.1	Manager HR/HSW Audit and Compliance	<ul style="list-style-type: none"> <li><input type="checkbox"/> Create a summary audit document for each audit round to be presented at University Risk Management Committee meeting or other relevant management committee after the audit round is completed.</li> </ul> <p><b>Improvement strategies</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Analyse the audit findings and performance measures; and consolidate them into the overarching consolidated file (refer to the HSW Operations Manual for details).</li> <li><input type="checkbox"/> Ensure that these results are used in planning the internal audit (3.1) and where applicable HSW Community of Practice meetings.</li> </ul>
6.2	Faculty/divisional HSW Hub Manager	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure review of audit results by faculty/division to identify systematic non-compliance or unsafe practices elsewhere within the faculty.</li> </ul>

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## 7 Performance Measures

The HSW Team will use performance measures to assist in identifying areas of success and/or where corrective action is required to meet the objectives and targets of this process.

The level of compliance with the chapter and effectiveness will be determined during the internal audit process.

## 8 Useful information and resources

8.1	<b>University related documents and policies</b> <ul style="list-style-type: none"> <li><a href="#">HSW Policy</a></li> </ul>
8.2	<b>Related Legislation</b> <ul style="list-style-type: none"> <li><a href="#">Work Health and Safety Act (SA) 2012</a></li> <li><a href="#">Work Health and Safety Regulations (SA) 2012</a></li> </ul>
8.3	<b>Useful Web-links.</b> <ul style="list-style-type: none"> <li><a href="#">ReturntoWorkSA Self-insured work health and safety standards</a></li> </ul>

## 9 Definitions

**Health and Safety Representative** – is a person who has been elected by a workgroup to represent them to management on HSW issues. They act in a voluntary capacity representing their workgroup, and have specific roles and functions under the WHS Act and [HSW Regulations](#) which may be utilised where there are safety concerns, e.g. to issue a 'Provisional Improvement Notice' or direction that work cease.

A **supervisor** – for the purposes of this HSW Handbook chapter, refers to the supervisor of the location being audited.

**Legislative requirements** – refers to requirements of the WHS Act 2012, WHS Regulations 2012, Approved Codes of Practice and standards as referenced within legislation.

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