

**SAFETY MANAGEMENT AUDIT FOR PRINCIPALS**  
*Documented evidence must be provided for each criteria to show compliance*

Principal/Company  
Name

Type of Operation \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Date of Audit \_\_\_\_\_

Number of Contractors

Number of Crews

**Auditor's Summary Report**

**Critical Issues Identified**

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Auditor's Name

Signed Auditor

Date

This audit is to be followed up within 3 months of start up using the Safety Management Effectiveness Audit for Principals if the prospective supplier is contracted

## Contractor/Sub Contractor Management

ELEMENT	CRITERIA	SCORE	COMMENTS
1. Principal carries out a formal evaluation of prospective contractors H&S system prior to employment	<ul style="list-style-type: none"> <li>• Documented procedures</li> <li>• Audit evaluation criteria comparable to forest owner audits.</li> <li>• Evidence of information supplied by contractor/subcontractor showing past health and safety performance</li> <li>• Evidence that meeting these criteria are part of the final selection process</li> </ul>		
2. Health and safety expectations and responsibilities are written into all contracts.	<ul style="list-style-type: none"> <li>• Outlines legal responsibilities</li> <li>• Outlines principals and forest owner requirements</li> <li>• Contract examples available</li> </ul>		
3. The contract includes health and safety management performance criteria and responsibilities.	<ul style="list-style-type: none"> <li>• Contract includes               <ul style="list-style-type: none"> <li>- performance targets for H&amp;S</li> <li>- measurement of performance targets</li> <li>- enforcement of standards</li> <li>- staff training and competencies</li> </ul> </li> </ul>		
4. Induction to on-site health and safety procedures is undertaken by a designated person managing the contract for the principal, for all contracted staff who may be exposed to workplace hazards on-site.	<ul style="list-style-type: none"> <li>• Documents showing induction training for contractors, as appropriate, including sign off</li> <li>• Induction covers principals and forest owner requirements</li> </ul>		
5. There is a process to carry out formal annual health and safety systems audits of contractors and regular operational inspections of their worksites.	<ul style="list-style-type: none"> <li>• Documents showing timetable for review of systems</li> <li>• Records of audits and inspections</li> <li>• Audits meet at least same standards as the forest owner</li> </ul>		
6. There is a clear corrective action process associated with these audits	<ul style="list-style-type: none"> <li>• Non conformances from audits and inspections are identified</li> <li>• Corrective actions followed to ensure they are carried out</li> </ul>		

### Safety Management Audit For Principals

Audit Scoring

Does not meet criteria = 0

Criteria partially met = 1

Criteria fully met = 2

2

Critical Issues

Non Critical Issues

	<ul style="list-style-type: none"> <li>Audit results are analysed and new audit schedules are set on the basis of this analysis</li> </ul>		
7. The principal carries out hazard identification with contractor prior to block commencement?	<ul style="list-style-type: none"> <li>Effective controls are agreed between principal and contractor</li> <li>Hazards and controls documented to contractor</li> </ul>		
8. Principals clearly involve contractors in operational planning	<ul style="list-style-type: none"> <li>Contractor has been issued with information in sufficient time to allow them to carry out a hazard assessment of the next work site</li> <li>Contractor has the opportunity to review work methods to reduce risks from unidentified hazards during pre block checks</li> <li>Principal reviews work methods if new hazards are identified and they can reduce risk</li> </ul>		

CRITICAL ISSUES IDENTIFIED

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NON CRITICAL ISSUES IDENTIFIED

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RECOMMENDED CORRECTIVE ACTIONS

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**Safety Management Audit For Prospective Suppliers**

Audit Scoring

Does not meet criteria = 0

Criteria partially met = 1

Criteria fully met = 2

Critical Issues

Non Critical Issues