

# Guidelines for Safety Management Plans for the Construction Industry

Workplace Standards Tasmania  
Department of Justice



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## Preface

The *Workplace Health and Safety Act 1995* and The *Workplace Health & Safety Regulations 1998* requires a Safety Management Plan (SMP) to be submitted to Workplace Standards Tasmania (WST) where construction projects are approved by council and the contract value exceeds \$2,000,000 (two million dollars). Written Safety Management Plans may also be required by WST for smaller construction projects in order to demonstrate a safe system of work.

This document has been prepared by Workplace Standards Tasmania, a Division of the Department of Justice, to guide the Tasmanian Construction Industry in the preparation of Safety Management Plans as required by Regulation 128 of the *Workplace Health and Safety Regulations 1998* and has been developed with reference to this legislation and Australian Standard AS/NZS 4801-2001 Occupational Health & Safety Management Systems. The guide can also be used as a general tool for the construction industry to develop safety management systems for smaller construction projects.

At the end of this guide is a list of the components that should be considered in your Safety Management Plan. This document outlines the SMP content and provides references to Legislation and relevant standards; this can be used as a working checklist when developing plans as well as an audit tool for validating plan components. The guide also contains additional detail for the plans key components.

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## **INTRODUCTION**

The Tasmanian Construction Industry has developed a high level of commitment to completing projects on time and to the required standard without accidents.

### ***What is a Safety Management Plan?***

A Safety Management Plan (referred to as an SMP from here on) is a collection of documents that outline how the principal contractor will manage health and safety for employees, sub-contractors, suppliers, visitors and the general public. It will cover all work activities that make up the job. The content and detail expected in an SMP will depend on the size and complexity of the proposed work.

An SMP must be prepared before the first soil is turned and should be subjected to an ongoing review as the project evolves. This approach leads to the most effective identification and control of the health and safety risks as the project progresses.

The amount and type of documentation contained in an SMP will vary depending on the size and complexity of the project. Much of an SMP and its documentation will be transferable (“Generic”) from project to project. At the planning stage of every project the principal contractor must review their safety management systems and generic SMP components against the new project requirements and tailor the SMP to suit.

### ***Why Have Safety Management Plans?***

An SMP is mandatory for construction sites where the value of the project exceeds \$2million. It formulates the approach to risk management and minimizes the potential human and financial loss to employers and employees alike. Plans form part of a construction company’s health, safety and rehabilitation management systems.

If the value of the construction project exceeds \$2million you must submit an SMP to the Director, Operations at Workplace Standards Tasmania and receive approval before any work can start on the project, Your SMP will be reviewed against minimum criteria to ensure that you, as the principal contractor, have adequate systems and procedures developed to manage the health and safety risks.

The Director, Operations must approve or reject the SMP within 10 working days and approval must be received prior to starting work. Submission of the SMP must therefore take place at least 10 working days prior to the intended project start date to allow adequate time for the review and approval to take place.

The authority to demand an SMP is found in Regulation 128 (10) of the *Workplace Health & Safety Regulations 1998*.

### ***Who Makes the SMP work?***

The Principal Contractor and/or his/her nominated responsible officer is responsible for the preparation, submission and the administration of the Plan ensuring compliance by employees, contractors, sub-contractors and their employees, suppliers, visitors and the general public. To ensure compliance an individual or organisation that is contracted to undertake construction work must appoint a “Responsible Officer”. This person represents management and, therefore, must have clearly defined authority and responsibility to direct and control what happens at the project site.

In particular, the Responsible Officer ensures that safe systems of work are maintained and monitored and where necessary, documented. The appointment and duties of the Responsible Officer are detailed in sections 10 & 11 of the *Workplace Health & Safety Act 1995*. Documentation is critical because it:

- Makes known the requirements to be achieved
- Enables evaluation of the system in place
- Allows for system improvements
- Facilitates the maintenance and monitoring of improvements

It may not be possible to identify every health and safety issue before work starts. The nature of the industry may result in a need to change or vary the work to accommodate available resources or cope with changes in the construction schedule. In these situations the Responsible Officer must ensure variations to planned schedules are evaluated to minimize and control risk in line with the principles contained in the Plan.

Inspectors from Workplace Standards will conduct compliance checks of construction sites to validate that the system outlined in an SMP is in place and working.

### ***What Will Safety Management Plans Include?***

The SMP must:

- Contain the Workplace Health & Safety Policy, a copy of the Workers Injury Management and Rehabilitation Policy and other relevant policy documents
- Define the roles and responsibilities for key personnel, in particular the Contract Manager, Responsible Officer and Site Supervisor as well as reference to the general duty of care all employees; contractors; sub-contractors and their employees; designers; manufacturers; suppliers; and installers.
- Outline the training and minimum competency requirements for employees
- Establish a process for identification of hazards associated with each phase of the work and the assessment and control methodology to be used.
- Contain copies of, or reference to, procedure documents relevant to the project activities and any safe work statements or site safety rules as applicable
- Indicate the site evacuation and emergency response procedures
- Outline the accident/incident notification, reporting, recording and investigation process
- Outline disciplinary procedures.

The SMP should ensure the orderly timing and conduct of all work at the site. This is required to the extent necessary to secure health and safety and assist the principal contractor and sub-contractors to discharge their obligations. This includes ensuring site activities do not put at risk the health and safety of visitors and members of the public on or near the site

## **RESOURCES**

Organisations need to allocate adequate resources to their safety management systems to ensure they work; this includes human as well as financial resources. Employees must be encouraged to actively participate in the implementation and maintenance of minimum safety standards.

It may be necessary to fund the use of external consultants who can provide specialist expertise in assessing risk, monitoring work environments and providing training for staff.

When reviewing project requirements and developing Plans it is necessary to make allowance for the additional resources needed to implement, maintain and improve the systems developed to manage health and safety.

In some cases Clients and / or Principal Contractors need to engage the services of specialist consultants prior to and during construction projects. Air monitoring, confirming structural integrity and even project management may be contracted out. Despite these arrangements the client and principal contractor are not absolved of their responsibilities. The consultant undertakes a responsibility for health & safety **in addition** to the “Duty of Care” responsibility of the client and principal contractor.

## **I. IDENTIFY THE PROJECT**

The SMP must provide details relating to the client (The Principal). Despite appointing a successful tenderer to carry out the construction work The Principal still carries a level of responsibility to ensure those engaged to carry out the work do so in a manner which accords with the requirements of Legislation and best industry practice. Workplace Standards Tasmania may need to make contact with The Principal where project activities fail to meet these standards.

In addition the SMP must contain a project scope of work including: location, a summary of the major activities, an outline of any new technology or unusual construction methods being introduced, impact on existing site users or neighbours and any special considerations during the project.

## **2. POLICIES, LEGISLATION, CODES OF PRACTICE AND STANDARDS**

An effective Safety Management Plan will feature a series of policy documents that communicate how OH&S will be managed. These policy documents will cover key OH&S system elements, such as:

- Management Commitment
- Workplace Health & Safety
- Rehabilitation & Injury Management
- Responsibility & Accountability
- Duties of all persons in the workplace
- A statement requiring employees, contractors, sub contractors and visitors to comply with the Safety Management Plan
- Provision of Resources
- Consultation & Communication
- Plant and equipment and associated certificates of competency
- Training (induction, ongoing etc)
- Hazardous materials
- Risk Assessment and Management
- Documentation & Document Control
- Auditing
- Accident/incident reporting and investigation
- Discipline
- System Maintenance & Improvement

Policy documents outline, in broad terms, the commitment to measurable goals and form the framework for the development of detailed procedures and safe work method statements.

Policies, procedures and safe work method statements help form the Safety Management Plan.

### ***Workplace Health & Safety Policy***

The organisation's Workplace Health & Safety Policy Statement must clearly state a commitment to achieving overall health and safety objectives. The policy should:

- Be dynamic and relevant to the organisations overall vision & objectives
- Broadly define the responsibilities of all parties in the workplace
- Express a commitment to legislative compliance
- Establish a framework for continual improvement
- Promote consultation with employees, sub contractors and interested parties
- Be current, signed and dated by the organisation's most senior management person

The policy is intended to clearly inform employees, suppliers, customers and other interested parties that OH&S is an integral part of all operations.

## **Workers Rehabilitation & Injury Management**

Where the principal contractor employs 20 or more employees there must be a rehabilitation policy (*s-143 Workers Rehabilitation & Compensation Act 1988*).

The Rehabilitation and Injury Management Policy of the organisation should include:

- A statement of the employer's commitment to the principles of effective return to work for injured or ill workers
- Require return to work plans to be developed in consultation with all relevant parties
- State the rights and responsibilities of all parties and be compliant with the provisions of the *Workers Rehabilitation & Compensation Act 1988*
- Be consistent with the organisation's Workplace Health & Safety Policy
- Be supported by adequate written procedures which are readily available in the workplace and which identify key personnel involved in the rehabilitation process
- Be current, signed and dated by the organisation's senior management person

Employees must be aware of the responsibility to report any injury promptly therefore injury management procedures should be included in the induction process. To enable accurate reporting employers should provide the relevant forms at all project sites. Employees must be advised as to who is the organisation's injury management contact person.

## **Legal Requirements**

To adequately manage its Health & Safety obligations, an organisation must have at its disposal copies of relevant Acts, Regulations, Standards and Codes of Practice applying to its business activities. This information must be kept up to date through a periodic review process

## **Safe Systems of Work**

Section 9 of the *Workplace Health & Safety Act 1995* clearly defines the "duty of care" provisions that require an employer to provide and maintain, as far as is reasonably practicable, safe systems of work. A safe system of work is one which minimises the risk of employees and others being injured or harmed by the work activity. To achieve this required level of safety, the employer must:

- Consider contemporary technical standards and approved codes of practice applicable to their business;
- Systematically identify all hazards in the workplace;
- Determine which of the identified hazards are significant; and
- Take all reasonable steps to either eliminate the hazard, or at least minimise the risk of injury or harm from the hazard through isolation, substitution, administrative or engineering means, or the provision of personal protective equipment. If elimination of the hazard is not reasonably practicable, it is a

requirement that the highest ranked control measure or measures practicable are adopted.

Failure to pursue excellence in occupational health and safety in the workplace by controlling hazards amounts to not providing a safe system of work and is an offence under the Act.

## ***Duty of Care***

A “Duty of Care” is a legal responsibility. The general duty of care provisions in the *Workplace Health & Safety Act 1995* are limited by “reasonable practicability”. Practicable means it must be possible or capable of being done safely.

To carry out a duty as far as is reasonably practicable means the degree of risk in a particular activity or environment can be balanced against measures taken to control it.

The “reasonable practicability” test must take into account the nature of the task or, as the case may be, a particular aspect of the task concerned; and

- the likelihood of any potential injury, harm to health or damage to property occurring;
- the severity of any potential injury or harm to health or safety that may be involved, and the degree of risk that exists in relation to such potential injury or harm;
- the state of knowledge about the injury or harm to health or safety that may be involved; the risk of the occurrence of that injury or harm to health or safety; and any methods of preventing, removing or mitigating that injury, harm or risk;
- the availability and suitability of ways to prevent, remove or mitigate that injury or harm to health or safety or risk; and
- whether the cost of preventing, removing or mitigating that injury or harm to health or safety or that risk is prohibitive in the circumstances.

As the risk increases, it is reasonable to increase substantially the time, effort and cost needed to reduce or eliminate that risk. General duties of care are central to legislation, requiring all workplace participants to take practicable steps to ensure health and safety measures are met.

Each person under a duty must satisfy it, even if other persons also have a similar duty. The duties set out in the Act have always existed under common law.

The duty of care as it applies to all people in the workplace which may influence the provision and maintenance of a safe and healthy workplace are detailed in Section 9 of the *Workplace Health & Safety Act 1995*

## ***Roles and Responsibilities***

The Plan will identify those persons or positions that, irrespective of other responsibilities, have a defined role and authority for establishing, implementing and maintaining the SMP.

Every worker has a responsibility to meet the employee’s general duty of care while there will be key individuals who are accountable for planning and controlling the work. A statement of responsibilities must nominate who will:

- Be the Responsible Officer as defined in Section 10 of the *Workplace Health & Safety Act 1995*; every project with a value over \$200,000 must have a designated responsible officer, the duties of a responsible officer are contained in Section 11 of The Act
- Review the OH&S requirements at the planning stage of the project. This begins the process of developing the project Safety Management Plan which will be submitted to Workplace Standards Tasmania
- Oversee the identification and assessment of the hazards associated with each phase of the work and to document the control measures to be taken
- Manage and communicate the requirements for compliance with legislation, regulations, standards and codes of practice.
- Conduct site-specific induction and work activity safety training to ensure employees, contractors, sub-contractors and their employees are appropriately inducted and understand and comply with the SMP.
- Manage workplace injury and rehabilitation, to conduct incident investigations following injury and to co-ordinate emergency procedures.
- Collect & maintain documentation during the project; record keeping is important in confirming the organisation is managing its obligations appropriately, induction records, contractor insurance records, certificates of competency and so on, are examples of records that should be collected.

### **3. RISK IDENTIFICATION AND MANAGEMENT**

Identifying and managing risk is central to maintaining and improving health & safety in your business. Organisations must establish a formal process of identifying and recording hazards and then assessing and controlling their associated risk in order to achieve compliance with the requirements of legislation.

#### ***Identification of Hazards & Assessment and Control of Risk***

All hazards should be identified and assessed to determine the level of risk. Regulations 17 and 18 of the *Workplace Health & Safety Regulation 1998* outline what should be considered when undertaking this exercise. The risks identified must then be controlled. The steps taken must be documented and reviewed regularly as part of an ongoing process.

Employers, managers and site supervisors must have an understanding of the process of hazard identification, risk assessment and risk control. Exposure to the identified hazards must be controlled and the risk of exposure eliminated wherever possible or minimized so far as reasonably practicable.

Hazard identification, assessment and control must be carried out in consultation with employees. Their experience and knowledge will greatly assist the review process. As they must work in compliance with documented procedures their input is invaluable in maintaining minimum standards and bringing to the attention of supervisors any issues that impact on the safe system of work.

The SMP must contain documentation that lists the known hazards for the project and the range of control options that will be utilized, when considering control options employers must apply the preferred order of control, known as the Hierarchy of Control. A sample risk assessment matrix and a risk assessment form can be found at Appendix 2 & 3.

#### **The order of control is as follows:**

Elimination

Substitution

Isolation

Engineering Means

Administrative Means

Personal Protective Equipment

The highest ranked control measure reasonably practicable is to be selected.

## 4. DOCUMENTING PROCEDURES

The Plan will include copies of, or reference to, documented work procedures that detail specific requirements for higher risk activities such as the installation of pre-cast tilt-up concrete elements or working at heights. Where minimum compliance requirements are paramount to ensure the safety of workers those work procedures should be documented. Documented procedures may also cover issues like:

- Induction Requirements,
- Excavation & Trenching Work,
- Height Work and Scaffolding,
- Alcohol & Drugs,
- Asbestos Removal,
- Protection from UV Rays,
- Cutting M.D.F. & Compressed Sheet,
- Mobile Plant Operation,
- Operating Power Tools,
- Equipment Isolation,
- Personal Protective Equipment including Hearing Protection
- Electrical Safety,
- Explosive Powered Tools,
- Evacuation,
- Permit to work systems: Confined Space Entry, Hot Work and so on.....

Documented procedures must be available to all persons engaged to work on the project, ideally these documented procedures will form the basis of site induction and be readily available at each project site. Such documentation must be controlled, reviewed periodically and updated to reflect improvements and changes in work practices.

Supporting the detailed procedures will be a collection of Safe Work Statements that briefly outline what the minimum requirements are for a range of issues that may not require a detailed procedure. In these cases, a Safe Work Statement outlines what is expected. A sample Safe Work Statement can be found at Appendix 4.

## **5. HAZARDOUS/DANGEROUS SUBSTANCES**

The *Workplace Health & Safety Act 1995* and the *Workplace Health and Safety Regulations 1998* contain specific references to the use of hazardous substances. Employers must have at their disposal copies of the MSDS (material safety data sheet) for every hazardous substance used at the workplace. The information contained in the MSDS forms the basis of any risk assessment carried out on the use of those substances and provides vital information for the work supervisor and end user (the worker).

Any dangerous substances on site must be stored, used and handled in accordance with the *Dangerous Substances (Safe Handling) Act 2005* and any relevant Australian Standard. The SMP must contain a list of any hazardous or dangerous substance intended to be used at the project site and MSDS's must be held at the project site for each substance listed. Copies of any procedure documents relevant to the storage and handling of hazardous or dangerous substances must be included.

## 6. PLANT, EQUIPMENT & LICENSING

The SMP must contain an outline of all major plant intended for use on the project and in particular how the requirements of Regulations 53, 95, 96 and 102 and Schedules 7, 8 and 9 the *Workplace Health & Safety Regulations 1998* are to be administered. The Principal Contractor must have in place systems to ensure that the prescribed plant is registered, and has a current certificate of inspection, which has been sighted as evidence as to the condition of the plant. Copies of these documents must be obtained at the time of hire or prior to arrival on site and be available for inspection if required by a Workplace Standards inspector.

The SMP must contain an outline of the maintenance, inspection, testing and repair regime for all plant and equipment that will be used on the project including any procedures for identifying, isolating and removing from service any unsafe plant.

The SMP must outline how the requirements of Regulation 39, 44b and Schedule 5 of the *Workplace Health and Safety Regulations 1998* are to be administered on the Project. Persons performing High Risk Work must hold a current licence for the relevant class of work, ie Crane Operation, Scaffolding, Rigging etc.

Employees and contractors performing “specified tasks” i.e. gasfitting, plumbing work and electrical installation must be licensed in accordance with the applicable legislation.

A register must be maintained at the workplace listing details of the licenses held, and made available for inspection on request. The register should also list details of Construction Industry Induction Cards held. (see also following chapter).

*Note: Changes to national certification arrangements (for prescribed tasks: Schedule 5)*

*Following a review of the national certification arrangements which have been in place across Australia since the mid 1990's all states are moving to a “National Licencing System” that will see all “Certificates of Competency” expire and be replaced by an equivalent licence to perform “High Risk Work”. All old certificates of competency will have expired by 30 June 2012 (depending on their date of issue)*

*Construction work can involve a significant amount of prescribed “High Risk Work” therefore the Principal Contractor must check that licences presented by employees and contractors engaged to carry out that work are current and cover the correct class of “High Risk Work”. The SMP*

## 7. TRAINING AND INDUCTION

Sections 9(1)(c) and 9(2)(f)(i) of the *Workplace Health & Safety Act 1995* outline the responsibility employers have to ensure, so far as reasonably practicable, that the employee is, while at work, safe from injury and risks to health and in particular must;

- Provide any information, instruction, training & supervision reasonably necessary to ensure that each employee is safe from injury and risk to health
- Ensure that any employee of the employer who could be put at risk by a change in the workplace, in any work practice, in any activity or process or plant: is given proper information, instruction and training before the change occurs.

With the introduction of the Construction Industry Induction Card on 19 August 2009 employers should be requesting and maintaining details of holders of the cards:

- People with less than 5 years construction work experience will have 12 months from 19 August 2009 to complete the training.
- People with more than 5 years construction work experience will have 2 years from 19 August 2009 to complete the training.
- All new people to the construction industry will have 12 months from their entry to the industry to complete the training
- After 19 August 2011 the card will be regulated (mandatory) and audits will be conducted to check for compliance. Infringement notices may be issued in cases of non-compliance.

Site-specific inductions for all workers should be a feature of each new project. The issues covered during the site induction will relate to the timing and conduct of all work at the site and focus on the details in the SMP. All site workers, including sub-contractors must attend and be made aware of the higher risk tasks and how they will be managed as well as the foreseeable hazards associated with the project; this process should be supported by regular work team briefings by the site supervisor.

Employees must understand the levels of responsibility an individual has and the requirement to hold licenses or certificates of competency for designated tasks. (See Regulation 39, 44b and Schedule 5 of the *Workplace Health & Safety Regulations 1998*.)

## 8. COMMUNICATION AND CONSULTATION

Organisations must consult with employees about any proposed changes to workplace arrangements that will have an affect on their health & safety while at work; this requirement is outlined in Regulation 15 of the *Workplace Health & Safety Regulations 1998*.

An effective consultation process will assist to provide an atmosphere of co-operation between employers and employees who can provide valuable information regarding any review of working conditions or practices. Involving them will greatly improve their ownership of any changes introduced.

Employers need to document who their management representatives are with respect to health and safety and ensure that all workers are provided with this information.

Organisations must develop and implement ways of communicating health and safety information to all employees. Using weekly team briefings (tool box talks), notice boards and newsletters are common ways of providing health and safety information. Procedures should also address the necessary communications with the public, project site neighbours and authorities regarding the projects activities including emergency planning and other relevant issues.

To have an effective health and safety management system in place senior company officials will receive regular reports on the organisations performance, included will be information in respect of any incidents occurring within the reporting period, the hazard identification process and subsequent corrective actions, the status of injured workers and their injury management and any statutory reporting requirements.

## **9. HEALTH SURVEILLANCE**

### **Health Surveillance**

Where persons who are engaged on the project are exposed to substances, listed in Schedules 4 and 6 of the *Workplace Health & Safety Regulations 1998*, at levels likely to cause adverse health effects, their employer must arrange for health surveillance to be carried out, at the employer's expense and by suitably qualified and registered medical professionals and maintain records accordingly. The SMP must specify how this is to be addressed and managed on the project.

Records of any health surveillance are confidential and access to results must therefore be restricted. Health surveillance records must be maintained for 30 years.

These health surveillance requirements are outlined in Regulation 22 of the *Workplace Health & Safety Regulations 1998*.

### **Audiometric Testing**

Audiometric testing is mandatory where employees are required to wear hearing protection due to excessive noise levels in the workplace, these requirements are detailed in Regulation 111 of the *Workplace Health & Safety Regulations 1998*.

In the construction industry there is a high probability of exposure to excessive noise from the machinery associated with construction work and therefore audiometric testing is one area where health surveillance may be required.

Employees to whom this regulation applies must be undergo audiometric testing no later than 3 months after commencing employment and then at intervals of 2 years. Records must be kept for 20 years.

## 10. ACCIDENT/INCIDENT REPORTING AND INVESTIGATION

There must be procedures in place that detail how accidents/incidents of injury, illness and system failures are reported and investigated to avoid a recurrence. Responsibility for notifying Workplace Standards Tasmania of serious accidents and dangerous incidents as detailed in Section 47 of the *Workplace Health & Safety Act 1995* must also be identified. Regulations 61, 62 and 63 of the *Workplace Health and Safety Regulations 1998* address the issue of investigation and corrective/remedial action required under the legislation.

Part IV “Claims for Compensation” of the *Workers Rehabilitation & Compensation Act 1988* details the requirements for employees and employers in reporting and processing a claim for compensation following a work related injury or illness, the organisation must have established procedures to ensure this process is followed.

The main reasons for conducting an investigation are to ensure the impact of an incident is minimised and to learn from the incident so as to prevent a recurrence of the same event at some later time. All work related incidents should be investigated as soon as possible after an incident occurs.

Serious accidents involving a fatality, or injury serious enough to require admission to hospital, must be reported to Workplace Standards Tasmania as soon as practical following the event, this is also a requirements where a dangerous incidents occurs. The definition of a dangerous incident is as follows:

- (a) damage to any boiler or other pressure vessel, or damage to a load bearing member of any lifting machinery, scaffolding or amusement structure, being damage which endangers the health or safety of any person in the vicinity; or
- (b) an uncontrolled explosion, fire or discharge of electricity, gas or steam; or
- (c) an occurrence, including those involving any dangerous substance, involving imminent risk of explosion, fire, death, serious bodily injury or illness to any person or serious damage to any property;

A dangerous incident at a workplace includes, but is not limited to the following:

- An accidental explosion of gas, dust or explosive material;
- An incident involving a high probability of severe electric shock;
- A fire in a confined space including underground;
- A serious fire, other than a bush fire, requiring the attention of a trained fire fighting team;
- Any interference with, or obstruction of the use of, a sole emergency egress from an area in which a person is required to work.
- An accident or incident involving a mine winder or shaft, including a serious mine winder over-wind;
- Any uncontrolled escape of high pressure oil or water;
- The tipping over of self-propelled mobile plant;

- An accident involving the failure of load-bearing or pressure-retaining components of registered plant;
- Any other type of incident of which an inspector has specifically requested notification.

The quickest means of notifying Workplace Standards Tasmania is by contacting the Helpline on 1300 366 322 (within Tasmania) or (03) 6233 7567 (outside Tasmania). After office hours these numbers will redirect your call to a Duty Officer.

When an accident occurs it is important that the scene is preserved until advised otherwise by a WST Inspector.

## **II. EMERGENCY PLANNING**

While the focus of occupational health and safety management systems is to prevent illness, injury and damage to plant and the environment, it needs to be recognized that some unforeseen events may still occur. Significant events can include fire, explosion and natural disasters.

Employers must establish appropriate systems for managing emergencies. As a minimum this will include:

- Nomination of a person responsible for overseeing the evacuation and for taking account of personnel following an evacuation
- Identifying the direct contact numbers for all emergency service providers nearest to the project site
- Notification for neighbors effected by any site emergency
- Detailed address and/or directions to the project site, this is particularly relevant where the site is isolated
- The designation of a marshalling area for workers to congregate following an evacuation
- Instructions for securing and isolating equipment and services during the evacuation
- Training for all workers on the emergency preparedness system

## **12. INSPECTIONS, AUDITS, & PERFORMANCE MONITORING**

The SMP will outline how the Principal Contractor will carry out inspections and /or audits during the project. Periodic inspections, conducted by competent people, will measure the performance of and compliance with the established systems for managing health and safety. Inspections and audits provide confirmation that what has been documented is in fact being done in order to maintain minimum standards. This process also provides an opportunity to identify and implement system improvements.

Persons carrying out the inspections should be impartial to the process. Inspections and audits may be performed by personnel from within the business or by people chosen from outside the organisation, in either case the persons conducting the inspection should do so competently, impartially and objectively.

The SMP should identify the frequency of inspections and the persons or positions responsible for carrying out the inspections. Copies of checklists used should be included in the SMP as should any procedures outlining how the findings will be actioned.

Workplace Standards Tasmania inspectors may conduct compliance checks of project sites to confirm that the systems outlined in an approved SMP are in fact in place and working, their role will be to seek confirmation from various levels of the organisation that adequate resources and effort are being applied in accordance with the SMP.

### ***Disciplinary Procedures***

The SMP must outline the disciplinary procedures that will apply under the SMP in respect to employees, contactors, sub-contractors and their employees for serious breaches of site safety rules.

## DEFINITIONS

**"accountable person"** is any person who is responsible for the management or control of the relevant place at which work is undertaken or any person temporarily working in that capacity, or any person on whom, the Workplace Health and Safety Act imposes a duty or an obligation relevant to the regulation containing the reference.

**"approved code of practice"** means a code of practice approved by the Minister under section 22;

**"certificate of competency"** means –

- (a) a certificate issued under regulation 41; or
- (b) a certificate which is issued by an interstate certifying authority and which in the Director's opinion is equivalent to a certificate issued under that regulation;

**"certificate of inspection"** means a certificate issued under Division 3 of the Regulations.

**"construction site"** means a workplace or other place at which –

- (a) the construction, erection, equipping, alteration, repair, maintenance, cleaning, painting or demolition of, or addition to, a building or structure is carried on; or
- (b) any of the following activities is carried on, except if the activity is directly related to mining:
  - (i) excavating, shaft-sinking or tunnelling;
  - (ii) driving or extracting piles, sheet piles or trench sheet;
  - (iii) the construction or maintenance of roadwork's, the permanent way of a railway, bus way or tramway, an airfield or airstrip or a cycle path;
  - (iv) dredging or salvaging;
  - (v) earthmoving by power-driven equipment;
  - (vi) the placing, laying, lining or maintenance of pipes or cables, either above or below ground level;
  - (vii) land clearing in preparation for an activity referred to in paragraph (a) or paragraph (b)(i), (ii), (iii), (v) or (vi);

**"construction work"** means any work carried out on a construction site;

**"contractor"** means a person engaged by any person (otherwise than as an employee) to perform work for gain or reward;

**"employee"** means a natural person who is employed under a contract of service and, a natural person who uses substances or plant in an educational establishment;

**"employer"** means a person by whom an employee is employed under a contract of service;

**"hazardous substance"** means a substance which –

- (a) is listed on the List of Designated Hazardous Substances issued by Worksafe Australia; or
- (b) satisfies the criteria of the Approved Criteria for Classifying Hazardous Substances issued by Worksafe Australia;

**"health surveillance"** means the monitoring, including biological monitoring, of an individual to identify any change in the individual's health due to exposure at the workplace to a hazardous substance;

**"high risk work"** means any work or task which is set out in schedule 5

**"high risk work licence"** means a licence to perform high risk work issued in accordance with Division 3A of the Regulations

**"industry"** means any industry, trade, business, undertaking, profession, calling, function, process or work in which persons are employed or engaged and includes the use of plant in an educational establishment;

**"inspector"** means a person appointed as, or authorised to perform the functions and exercise the powers of, an inspector under section 34 and includes the Secretary and the Director;

**"monitoring"** means the assessing of measures used to control hazards in the workplace;

**"plant"** includes any machinery, equipment, scaffolding, amusement structure, appliance, implement or tool and any component or fitting of any of those things;

**"principal"** means a person who engages any person (otherwise than as an employee) to perform work for gain or reward;

**"principal contractor"** means the person or company contracted by the client to oversee & manage all aspects of the project on behalf of the client, a principal contractor may, with client approval, sub-contract out portions of the contract

**"registered plant"** means plant specified in Schedule 7;

**"registered plant inspector"** means a person registered as a plant inspector under regulation 46;

**"responsible officer"** means a person appointed as a responsible officer under section 10;

**"risk assessment"** means the evaluation of the probability and consequences of injury or illness arising from exposure to an identified hazard;

**"safety management plan"** means a set of procedures and instructions relating to health and safety which is implemented, or may be implemented, at a workplace;

**"self-employed person"** means a natural person who works for gain or reward otherwise than as an employee;

**"value of work"** (as defined in regulation 128 of the Workplace Health & Safety Regulations 1998) construction notification requirements are based on \$ values of work. These values are GST inclusive

**"workplace"** means any premises or place (including any mine, aircraft, vessel or vehicle) where an employee, contractor or self-employed person is employed or engaged in industry.

## Appendix I — Criteria for Writing Safety Management Plans

Appendix 1 — Criteria For Safety Management Plans				
Criteria Number	Plan content	References	SMP Page or Section Reference	Comments and notes for clarification
1	Identify the client: include the contact name/s and phone number.	<ul style="list-style-type: none"> <li>• AS 4801 C1 4.4.1.2.</li> <li>• The Act sections 9–12.</li> <li>• Regulations 5 &amp; 128.</li> </ul>		
2	State the scope of work with adequate detail to clarify the construction type, number of floors, unique construction methods etc.			
3	State the project's start date and timing.			
4	Explain the management structure of your construction company.			
5	Summarise your company's OHS management system (the plan is part of this).			
6	Identify any specialist consultants engaged.			
7	Identify the people responsible for establishing, implementing and maintaining the plan (and therefore the OHS management system): their OHS duties and phone numbers.			
8	Include your company's workplace health and safety policy, workers rehabilitation and compensation policy and any other relevant policies.	<ul style="list-style-type: none"> <li>• AS 4801 C1 4.2.</li> <li>• Section 143 WR&amp;C Act.</li> <li>• COP for Working at Heights in Commercial Construction.</li> <li>• COP Managing Risk of Falling~Housing Const'</li> <li>• Regulation 116 Facilities</li> </ul>		
9	Identify the compliance requirements of relevant legislation, standards and codes of practice			
10	Identify, assess and control risk on an ongoing basis. Include findings from this risk management process.	<ul style="list-style-type: none"> <li>• AS 4801 C1 4.3.1.</li> <li>• AS 4801 C1 4.4.6.</li> </ul>		
11	State the key personnel on the project who have done risk management training	<ul style="list-style-type: none"> <li>• Regulations 17-19, 21, 110.</li> </ul>		

<b>12</b>	List the processes for managing unforeseen and significant emergencies such as fire, explosion and natural disasters.	<ul style="list-style-type: none"> <li>AS 4801 C1 4.4.7.</li> <li>Regulation 24.</li> </ul>		
<b>13</b>	State procedures for alerting neighbours effected by any emergency			
<b>14</b>	State procedures for advising all parties on site to evacuate			
<b>15</b>	State training about responding to emergency events.			
<b>16</b>	State the training, general and site-specific induction required of all parties and workers at the site	<ul style="list-style-type: none"> <li>AS 4801 C1 4.4.2.</li> <li>The Act section 9</li> <li>Regulations 33, 39 &amp; schedule 5.</li> <li>Regulations part 3 Div' 3.</li> </ul>		
<b>17</b>	Outline the information covered in site-specific inductions			
<b>18</b>	State that you will keep records of training and inductions; include sample attendance records			
<b>19</b>	Outline how you will recognise and meet the OHS training needs of all parties at the site			
<b>20</b>	List all OHS training you will provide during the project			
<b>21</b>	State how you will communicate OHS information to all workers on site, to visitors and the general public and to senior officials of your company	<ul style="list-style-type: none"> <li>AS 4801 C1 4.4.3.1.</li> <li>AS 4801 C1 4.4.3.2.</li> <li>The Act part 5.</li> <li>Regulation 15.</li> </ul>		
<b>22</b>	Document your communication and consultation processes			
<b>23</b>	Identify employee safety committee members, representatives, first aiders and OHS contact person			
<b>24</b>	State any hazardous substance you intend to use at the site	<ul style="list-style-type: none"> <li>The Act</li> <li>Section 9(1)(a)(iii)</li> <li>Dangerous Substances (Safe Handling) Act 2005</li> <li>Dangerous Substances (Safe Handling) Regulations 2009</li> <li>Regulations 22,75-79 and Schedules 4 &amp; 6</li> </ul>		
<b>25</b>	Include written procedures for storing and handling hazardous substances.			
<b>26</b>	Maintain an inventory of hazardous substances and ensure that an MSDS for every hazardous substance used will be available at the site			

<b>27</b>	Provide sub-contractors with copies your OHS policy documents.	<ul style="list-style-type: none"> <li>• AS 4801 C1 4.4.4.</li> <li>• The Act section 9</li> <li>• Regulations 17-19, 21.</li> </ul>		
<b>28</b>	Sub-contractors must provide copies of their documents for managing the OHS risks associated with their part of the project.			
<b>29</b>	List the project's higher risk activities; include written work procedures that detail specific requirements for these			
<b>30</b>	Include written work procedures that detail specific requirements for activities covered under a permit to work system			
<b>31</b>	Include site safety rules.			
<b>32</b>	Include less-detailed safe work statements			
<b>33</b>	State the systems you have in place for registering plant listed under schedule 7 of the Regulations.	<ul style="list-style-type: none"> <li>• The Act section 9.</li> <li>• Regulations 53, 54, 95, 102 to 106.</li> <li>• Schedules 7, 8 and 9.</li> </ul>		
<b>34</b>	State the registered plant you intend to use for the project			
<b>35</b>	State all other major plant you intend to use for the project			
<b>36</b>	If registered plant is owned by you, include current certificates of inspection.			
<b>37</b>	If registered plant is hired, state that you will obtain current certificates of inspection at the time of hire or arrival on site.			
<b>38</b>	State the procedures for maintaining, inspecting, testing and repairing all plant and equipment.	<ul style="list-style-type: none"> <li>• The Act section 9.</li> <li>• Regulations 83-85</li> </ul>		
<b>39</b>	State the procedures for identifying, isolating and removing from service any unsafe plant			
<b>40</b>	List the work activities requiring appropriate certificates of competency.	<ul style="list-style-type: none"> <li>• The Act section 9(1)(c)</li> <li>• Regulations 39 to 44G</li> <li>• Schedule 5</li> </ul>		
<b>41</b>	State who holds these certificates of competency, keep copies of the certificates of competency, ensure compliance			
<b>42</b>	State the procedures for reporting incidents of injury or illness	<ul style="list-style-type: none"> <li>• AS 4801 C1 4.5.2.</li> <li>• The Act sections 47, 48.</li> </ul>		

<b>43</b>	State the procedures for processing any resulting compensation claims.	<ul style="list-style-type: none"> <li>• Regulations 61-64.</li> <li>• <i>The Dangerous Substances (Safe Handling) Act 2005 and the Dangerous Substances (Safe Handling) Regulations 2009</i></li> <li>• The Act sections 9, 13, 16</li> </ul>		
<b>44</b>	State the procedures for investigating incidents of injury or illness			
<b>45</b>	List possible corrective actions to take after an incident.			
<b>46</b>	Name the person responsible for reporting serious and dangerous incidents to Workplace Standards Tasmania.			
<b>47</b>	State the procedures for maintaining security at the accident site following serious and dangerous incidents.			
<b>48</b>	Disciplinary Procedures.			
<b>49</b>	State how inspections and audits will be conducted, how often and who by.	<ul style="list-style-type: none"> <li>• The Act section 9, 13 and 16.</li> <li>• Regulations 17-19, 21.</li> </ul>		
<b>50</b>	State how you will provide feedback and information from inspections to all parties at the site			
<b>51</b>	State how you (or your company's management) will review and act on the inspection's findings			
<b>52</b>	Collect and maintain originals or copies of important documents	<ul style="list-style-type: none"> <li>• AS 4801 C1 4.5.3.</li> </ul>		

Notes

- References such as *Incidents* and *OHS policies* refer to sections in this *Guide to safety management plans for the construction industry*.
- COP = code of practice.
- The Act = *Workplace Health and Safety Act 1995*.
- Regulations = the *Workplace Health and Safety Regulations 1998*.
- AS 4801 = AS/NZS: 4801 Occupational health and safety management systems—specification and guidance for use. With relevant clause information.
- AS 4360 = AS/NZS: 4360 Risk management



## Appendix 3 — Sample Risk Management Matrix

Probability →	A: Practically impossible	B: Not likely to occur	C: Could occur, heard of it happening	D: Known to occur, has happened in the past	E: Known to be a common or repeated occurrence
Consequence ↓					
1: Minor illness or injury	negligible	very low	low	medium	medium
2: Moderate illness or injury	very low	low	medium	medium	high
3: Serious illness or injury	low	medium	medium	high	urgent
4: Death or permanent disability	medium	medium	high	urgent	critical

### How to use

This sample matrix could be used to classify hazards in most workplaces. The degree of risk is determined by considering the “Consequence” (outcome should a person be exposed to the hazard **without any controls in place**) and the “Probability” of this occurring. Both Consequence and Probability should be considered in consultation with those persons who do the work. Controls should be identified that either eliminate the risk altogether or reduce the risk to an acceptable level. Transfer the risk classification to column 2 of the Risk Assessment Form

### Interpreting the risk

Hazards with an urgent or critical risk assessment should be addressed *immediately*.

Hazards with a medium or high risk assessment should be addressed as soon as possible or incorporated into your OHS management system.

Remaining hazards should be addressed once higher risks are resolved.



### LEGISLATION

- *Workplace Health and Safety Act 1995*
- *Workplace Health and Safety Regulations 1998*
- *Workers Rehabilitation & Compensation Act 1988*
- *Dangerous Substances (Safe Handling) Act 2005*
- *Dangerous Substances (Safe Handling) Regulations 2009*
- *Dangerous Goods (Road and Rail Transport) Regulations 1998*

### USEFUL INFORMATION SOURCES

- **AS/NZS 4360:2004** Risk management
- **AS/NZS 4801:2001** Occupational health and safety management systems
- Workplace Standards Tasmania's Helpline: call 1300 366 322 inside Tasmania or (03) 6233 7657 outside Tasmania
- [www.wst.tas.gov.au](http://www.wst.tas.gov.au) — the Workplace Standards Tasmania website
- [www.thelaw.tas.gov.au](http://www.thelaw.tas.gov.au) — access Tasmanian legislation; search the acts and regulations database
- [www.workcover.vic.gov.au/construction](http://www.workcover.vic.gov.au/construction) — Workcover Victoria's website, with relevant information about OHS in the construction industry – includes useful checklists – remember that references to the legislation will be to Victorian not Tasmanian legislation.
- [www.safeworkaustralia.gov.au](http://www.safeworkaustralia.gov.au) – for National Standards and Codes of Practice.
- [www.saiglobal.com/](http://www.saiglobal.com/) — Australian Standards – purchase online or subscribe.