WHS DOCUMENTS & TEMPLATES

DOC-AUD-RSK · How to Manage WHS Risks Code of Practice Audit Tool

Product Overview

For: Australian businesses in the harmonised WHS jurisdictions: WHS advisers, managers, supervisors and health and safety representatives who check how well the code's expectations are met

Version 1.0 · 15 November 2026

SAMPLE

An audit tool for the code of practice How to manage work health and safety risks: 30 audit questions, chapter by chapter, each with the code reference and the evidence to look for, scored automatically in Excel, with a dashboard, a corrective action register, a field checklist and a report template.

The risk management code of practice sets out the four steps every business uses to manage work health and safety risks: identify hazards, assess risks, control them using the hierarchy of control, and review the controls, with consultation and records throughout. This tool turns what the code expects into 30 plain-English audit questions, in the code's own chapter order, each with its chapter and section number and the documents, observations and interviews that would show it is in place.

Rate each question Compliant, Partly, Not compliant or N/A. The workbook scores each chapter and the whole audit automatically, leaving out anything not applicable, draws a dashboard, and gathers every gap into a corrective action register. The field checklist carries the same questions on paper, and the report template turns the results into a short report with sign-off.

It is written once for the harmonised WHS jurisdictions and audits Western Australia's edition of May 2022. A short table shows which edition applies in each of NSW, Queensland, Western Australia, South Australia, Tasmania, the ACT, the Northern Territory and Comcare. Victoria has its own compliance codes. Made by Orana Skills Centre.

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How to Use This Audit Tool

How to Manage WHS Risks Code of Practice Audit Tool

What this tool audits

The risk management code of practice sets out the four steps every business uses to manage work health and safety risks: identify hazards, assess risks, control them using the hierarchy of control, and review the controls, with consultation and records throughout. This tool audits Western Australia's approved Code of practice: How to manage work health and safety risks (May 2022), the newest edition read for this tool whose licence allows commercial use. It follows the national model code; the questions keep to what all jurisdictions share, and the jurisdiction differences show what Western Australia added and the edition that applies elsewhere.

The tool has 30 audit questions in 6 chapters. Each gives the chapter and section it comes from, so you can read the code itself, and the evidence that would show it is in place.

File	What it is for
Audit Workbook (Excel)	The main tool: audit details, the checklist with ratings and actions, the dashboard of scores, and the corrective action register
Field Audit Checklist (Word, PDF)	The same questions on paper, for the walk-through
Audit Report Template (Word, PDF)	The report to the people who must act on the findings

When to use it

- On a schedule: at least once a year where the code's hazards are present, and more often where the risks are high or the work changes often
- Before an external audit, an inspection or a tender that asks how you manage these risks
- After an incident, a near miss or a complaint that points to a gap
- After a change: new work, plant, premises, people or contractors
- To check that the actions from the last audit were done and are working

Who should audit

- Someone who knows the code and the work, and has the time to do it properly
- Someone who is not auditing their own work. In a small business, a manager from another area or an outside adviser can do it
- With the people who do the work: involve health and safety representatives, and talk to workers on every shift audited
- With the authority to see the records and the workplace, and to report to someone who can act

How to rate

Rating	Use it when
Compliant	What the code expects is in place, it is working, and you saw evidence of it: a record, the thing itself, or consistent answers from the people doing the work.
Partly	Some of it is in place, or it is in place but not working well, not followed everywhere, or not evidenced. Raise an action.
Not compliant	It is not in place, or what is there does not control the risk. Raise an action, and act now if anyone is at risk of serious harm.

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[Company name]

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Field Audit Checklist

How to Manage WHS Risks Code of Practice Audit Tool

Site		Auditor	
Date		Scope	

How to use it

- Take this checklist on the walk-through. Look for the evidence, tick a rating and note what you saw. Then enter the results in the Audit Workbook, which scores them.
- C: Compliant (in place, working, evidenced). P: Partly. NC: Not compliant. N/A: does not apply here (say why). Raise an action for every P and NC.
- Ref is the chapter and section of the code of practice How to manage work health and safety risks (Western Australia's edition of May 2022).

No.	Ref	Audit question	Evidence to look for	Rating	Notes
1 Introduction: duties and the risk management approach					
1	1.1	Does the business know which risks it must manage because of its work, its workplace, the plant and substances it supplies, and the people its work affects?	Document: The risk register or hazard list, the scope of the WHS system. Ask: The manager responsible for WHS.	☐ C ☐ P ☐ NC ☐ N/A	
2	1.1	Do officers exercise due diligence: do they know the main risks, receive reports on them, and see that resources are provided to control them?	Document: Board or management reports and minutes, WHS budget. Ask: An officer.	☐ C ☐ P ☐ NC ☐ N/A	
3	1.2	Has the business shown its commitment to managing risks, for example with a policy, assigned responsibilities and time and money set aside?	Document: The WHS policy, position descriptions, budget. Ask: Managers.	☐ C ☐ P ☐ NC ☐ N/A	
4	1.2	Are workers and their health and safety representatives consulted at each step of managing risks, and are their views taken into account?	Document: Consultation records, committee minutes, signed risk assessments. Ask: Workers and health and safety representatives.	☐ C ☐ P ☐ NC ☐ N/A	
5	1.2	Where other businesses share the same risks, such as contractors, labour hire or a shared site, do the businesses consult, cooperate and coordinate on them?	Document: Contracts, coordination meeting notes. Ask: Contractors, the host business.	☐ C ☐ P ☐ NC ☐ N/A	
6	1.2	Is the risk management process used when starting a business, changing work, buying new plant or substances, after incidents and when new information about a hazard comes to light?	Document: Change records, purchase approvals, risk assessments dated after changes. Ask: Managers.	☐ C ☐ P ☐ NC ☐ N/A	
2 Step 1: identify hazards					
7	2	Have hazards been identified across the physical work environment, the equipment, materials and substances, the tasks and how they are done, and the design and management of the work?	Document: The hazard register, inspection checklists. Observe: Walk the workplace for hazards not listed.	☐ C ☐ P ☐ NC ☐ N/A	

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END OF THE FREE SAMPLE

This sample shows a few pages, so you can judge the layout and the quality. An audit tool for the code of practice How to manage work health and safety risks: 30 audit questions, chapter by chapter, each with the code reference and the evidence to look for, scored automatically in Excel, with a dashboard, a corrective action register, a field checklist and a report template.

What the full product contains

- **Excel audit workbook: 30 audit questions in 6 chapters, each with its code reference and the evidence to look for, automatic scores, a dashboard and a corrective action register**
  02_AUDIT_TOOL/Audit Workbook.xlsx
- **Field audit checklist with the same questions, to print and carry on the walk-through**
  02_AUDIT_TOOL/Field Audit Checklist.docx and .pdf
- **Audit report template: executive summary, scope and method, overall and chapter scores, key findings, actions and sign-off**
  03_AUDIT_REPORT/Audit Report Template.docx and .pdf
- **How to use this audit tool: when to audit, who should audit, how to rate and evidence, and how to follow up, with the differences between jurisdictions**
  01_START_HERE/How to Use This Audit Tool.pdf
- **Read Me First, Product Overview, Permitted Use Terms and Version Information**
  01_START_HERE/ (PDF)

Formats

- Excel (.xlsx), editable, with dropdowns and formulas (no macros)
- Word (.docx), editable, with your logo and business name in the header
- PDF copies, for printing blank
- Delivered as a single ZIP download

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