



RESPONSIBLE OFFICER COMPLIANCE TOOL KIT

RESPONSIBLE OFFICER:	SCHOOL/SECTION:
SIGNATURE:	DATE:

As a Responsible Officer you should by now have completed the Responsible Officer Briefing which has been designed to provide you with an overview of your Occupational Health and Safety responsibilities as Head of a Budget Centre. This program focuses on what the role means in the context of Tasmania's Workplace Health and Safety Act.

We recognise that the briefing does not provide a Responsible Officer with more detailed assistance as to how they might actually fulfil the role at UTAS. For that reason this tool kit has been developed. It is designed to get you started in the role in a structured manner by focussing on the key requirements of each UTAS OH&S policy and procedure and what you, as Responsible Officer, can do to ensure compliance.

If you are unsure about what is being asked of you in any section of the tool kit you should refer back the relevant policy and procedure in the first instance. If you are still unclear then please contact Human Resources, Strategic HR Unit for advice.

The Compliance Tool Kit is effectively an audit of how well OH&S is managed in the work areas under your responsibility. By completing it, you will also highlight any deficiencies and be able to systematically work through OHS issues so that you can be assured that you are fulfilling both the University's expectations of you and also your obligations under both the Workplace Health and Safety Act.

Please contact the Strategic HR Unit if you require assistance to correct any OH&S deficiencies which may be evident in your work area.

Richard Easter,
Acting Executive Director, Finance and Administration

ACCIDENT/INCIDENT REPORTING AND INVESTIGATION

All accidents and incidents, no matter how minor, should be formally reported and investigated using the relevant forms. A minor injury or near miss could just as easily have been a serious injury or fatality. Records should exist in each workplace to demonstrate compliance with this policy.

1) Are staff members routinely reminded and encouraged to report all incidents using the required form?	YES	NO
2) Are incidents investigated utilising the correct form?	YES	NO
3) Are Employee Safety Representatives members of Investigation Teams?	YES	NO
4) Are corrective actions arising from investigations appropriate and implemented?	YES	NO

ACCOUNTABLE PERSONS

Most UTAS employees are Accountable Persons for the purposes of the Workplace Health and Safety Regulations. UTAS requires all such persons to undertake an online training program or an equivalent face to face program. Human Resources will be able to advise you of employees who have completed the training and you should record this data within your OHS Folder. The Performance Management process is also useful for setting targets to have any training completed.

1) Have all Accountable Persons completed the on line training modules or a comparable training course?	YES	NO
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CONTRACTORS

Most contractors are managed by Asset Management Services. However, if a Budget Centre engages its own contractor they will need to do so in accordance with the Contractor Log on and Log off Procedure.

1) Are contractors engaged in any work area under your control?	YES	NO
2) If so, are there records to prove that:		
a) All Contractors have been inducted in accordance with UTAS procedures?	YES	NO
b) Contractors record their log on and log off times?	YES	NO
3) Asset Management Services are required to notify each work area at least 1 week prior to any work being undertaken by a contractor. Are there 2 nominated contact persons per building as required by the policy?	YES	NO

DRIVING AUTHORISED VEHICLES POLICY

Driving represents one of the major risks of serious injury to UTAS employees. The policy establishes a variety of controls to ensure that fatigue is minimised and that only appropriate vehicles are used for official purposes. Records should exist in each workplace to demonstrate compliance with this policy.

1) Have designated employees been nominated to issue keys, log faults and maintain kits for Budget Centre vehicles?	YES	NO
2) Where private vehicles are used do they meet the minimum equipment and weight standards?	YES	NO
3) Have all employees who drive authorised vehicles completed a medical disclosure form? (this requirement includes employee who drive car pool vehicles)	YES	NO
4) Does your work area conduct driver safety programs or training?	YES	NO
5) Are you satisfied that Accountable Persons check that drivers are appropriately licensed for the vehicles they drive?	YES	NO
6) Do you ensure that work schedules are designed to allow for appropriate driving breaks and that work/driving activities do not exceed the maximum number of hours per day?	YES	NO
7) If remote or off road driving occurs:		
a) Is it covered by a trip plan lodged with the appropriate Accountable Person?	YES	NO
b) Do all such drivers complete an appropriate training course?	YES	NO

ELECTRICAL SAFETY IN THE WORKPLACE POLICY

This policy covers a variety of requirements. Some aspects are specific to Asset Management Services so only those issues of relevance to your workplaces have been included in this tool kit.

1) Do workplace inspections check that:		
a) Portable appliances and extension cords are tested and tagged in accordance with the requirements of the policy?	YES	NO
b) The use of multi-outlet power boards and double adapters is minimised and that "piggybacking" of double adapters does not occur?	YES	NO
c) Residual Current Devices are used in appropriate situations?	YES	NO

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d) Extension leads are used only as required in the policy?	YES	NO
e) Portable bar radiators are not used?	YES	NO

EMERGENCY MANAGEMENT

Asset Management Services is responsible for coordinating emergency management. However, as a Responsible Officer you are required to ensure that workplaces under your control respond effectively to an emergency situation.

1) Have wardens been appointed for all work areas?	YES	NO
2) Are evacuation drills conducted?	YES	NO
3) Are all employees and students advised of emergency arrangements (e.g. exits from Lecture Rooms) regularly (e.g. at the start of each Semester) and is a record kept of this process?	YES	NO

EMPLOYEE SAFETY REPRESENTATIVES

There is a wide network of Employee Safety Representatives (ESR's) at UTAS. ESR's are appointed under the Workplace Health and Safety Act and have specific powers under the Act. They also have specific roles in some UTAS Policies and Procedures e.g. workplace inspections. An ESR can be a good source of information to a Responsible Officer as to how well OH&S policies and procedures are working in their workplace.

1) Have you identified/appointed ESR's in your work area?	YES	NO
2) Do you have sufficient ESR's (particularly where there are numerous sites within your Budget Area)?	YES	NO
3) Are they actively engaged in OH&S activities in the work areas they represent?	YES	NO
4) Is the ESR included in any project user group for building works?	YES	NO
5) Do you meet with ESR's regularly to obtain feedback?	YES	NO

FIELD ACTIVITY POLICY

Field activity by its very nature exposes employees and students to an environment that is less controlled than normal activities. Responsible Officers need to be especially vigilant and ensure that the policy and associated UTAS Field Safety System is being rigorously applied. Records should exist in each workplace to demonstrate compliance with this policy.

1) Do you authorise all field activity?	YES	NO
2) Are medical exposure and authorisation forms filled out as required by the Policy?	YES	NO
3) Are hazard checklists and appropriate risk assessments being conducted?	YES	NO
4) Are the necessary records and information available to Field Activity leaders?	YES	NO
5) Are Field Activity leaders properly trained and equipped for their role?	YES	NO

FIRST AID IN THE WORKPLACE POLICY

You need to be satisfied that first aid arrangements are adequate for the identified hazards in each work area and the level of risk of those hazards.

1) Designated first aiders:		
a) Is there an appropriate number of designated first aiders having regard to the assessed risks of the work area?	YES	NO



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b) Has a designated first aider been nominated to ensure that first aid kits are appropriately stocked?	YES	NO
2) First aid kits		
a) Is there an appropriate number of first aid kits for the work area?	YES	NO
b) Are the kits stocked appropriately according to the level of risk?	YES	NO
c) Is there appropriate signage identifying where kits are located?	YES	NO
3) First Aid Register		
a) Is there a first aid register and evidence that it is kept up to date?	YES	NO

HARDOUS SUBSTANCES POLICY AND PROCEDURES/ CHEMICAL SUBSTANCE LABELLING POLICY AND PROCEDURES

Hazardous substances are those substances which have the potential to harm the health or safety of persons who handle them. Most work environments in UTAS will have some hazardous substances e.g. photocopier toner. In some work environments there will be many hazardous substances e.g. laboratories.

All such substances need to be identified, stored and handled in accordance with the relevant Material Safety Data Sheet supplied by the manufacturer. Appropriate first aid facilities for each substance need to be readily available. Work areas should not have any substances in unmarked containers. Even those substances that are not classified as “hazardous” need to be appropriately identified.

1) Is there a nominated and trained hazardous substances coordinator?	YES	NO
2) Is there a register of hazardous substances?	YES	NO
3) Are all Material Safety Data Sheets readily available and up to date?	YES	NO
4) Has a risk assessment been performed for each hazardous substance?	YES	NO
5) As a consequence of the risk assessment process, is there evidence that alternative, less hazardous substances are considered?	YES	NO
6) Is there evidence that staff involved with hazardous substances have been trained appropriately?	YES	NO
7) Are all substances appropriately labelled and stored?	YES	NO
8) Is there evidence that proactive steps are taken to minimise stock holdings?	YES	NO

HAZARD REPORTING

An important step in maintaining a safe work environment is to develop a culture where employees feel encouraged to report all hazards. The Safety Hazard Notification and Control Report Form have been developed for this purpose. You should sight all such reports.

1) Are employees regularly reminded to report hazards using the Safety Hazard Notification and Control Report Form or an equivalent electronic system?	YES	NO
2) Do you approve all Safety Hazard Notification and Control Reports?	YES	NO
3) Are there records that demonstrate that all reports are actioned in a timely manner?	YES	NO

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HEARING CONSERVATION MANAGEMENT POLICY AND PROCEDURES

Exposure to excessive noise levels will damage hearing. Noise in the workplace is a hazard which needs to be assessed and controlled appropriately. Noise exposure standards determine how soon hearing will be damaged as a result of exposure to particular levels of noise.

1) Are there any work areas where it appears that noise exposure thresholds may be exceeded?	YES	NO
2) If so, has the Accountable Person for the work area initiated a formal noise assessment?	YES	NO
3) Has a noise control plan been developed as a result of any such assessment?	YES	NO
4) Does the noise control plan apply the Hierarchy of Control by endeavouring to use higher order controls rather than hearing protection devices.	YES	NO
5) Where employees are required to wear PPE (hearing protection) have they been identified and has the Strategic HR Unit been notified?	YES	NO

HIGH RISK OR SPECIALISED HAZARDS

A number of specific policies and procedures have been developed for specialised hazards which may be encountered in UTAS. The check list below is designed to prompt you as to whether any of these hazards exist in the workplaces under your control. You should then refer back to the relevant policy or procedure for advice on your obligations.

1) Alcohol, Tobacco & Drugs – refer to the Alcohol, Tobacco & Drugs in the Workplace Policy.	YES	NO
2) Animals – Refer to the Zoonoses and Animal-Based Hazards Policy.	YES	NO
3) Asbestos – The Asbestos Procedure sets out relevant details. The Responsible Officer should establish from the Asbestos Register whether asbestos is present in workplaces under their control. Asset Management Services can then advise on any specific requirements.	YES	NO
4) Confined Spaces – Confined spaces should be registered and subject to rigorous controls on access. The Confined Space Entry Procedure provides further detail on expectations of Responsible Officers.	YES	NO
5) Dangerous Substances (Goods) – There are specific requirements for the storage and transport of dangerous substances (previously known as dangerous goods). Asset Management Services maintains license requirements but a Responsible Officer should familiarise him/herself with any Dangerous Substances that may be stored or transported in work areas under their control. For further information refer to the Dangerous Goods Handling Policy - Use and Storage.	YES	NO
6) Diving – The Diving Policy and Procedure contains very specific requirements for work areas which undertake diving.	YES	NO
7) Heights – The Working at Heights procedure covers situations where work is performed at a height of 2.4 metres or greater.	YES	NO
8) Hot Work – Work that can generate flames, heat or sparks is covered by the Hot Work Procedure	YES	NO
9) Laboratories – The Laboratory Safety Policy and Procedures specifies requirements for work in UTAS laboratories.	YES	NO
10) Machine Isolation – The Isolation Procedure is designed to minimise the risks associated with construction, installation, inspection, repair and maintenance work by use of a formal isolation system.	YES	NO
11) Potting Mix – The Potting Mix Policy establishes controls to minimise the risks associated with the use of potting mix.	YES	NO

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12) Microbiology – The Microbiology Policy and Procedure is designed to promote safe microbiological work practices in laboratories and animal, plant and invertebrate containment facilities.	YES	NO
13) Occupational Exposures to Blood And Body Fluids, Including Needle stick Incidents, Policy and Procedures – This policy and procedure covers the prevention and management of occupational exposures to blood and body fluids contaminated with blood	YES	NO
14) Personal Protective Equipment (PPE) – The policy and procedure specifies a range of responsibilities in relation to the selection, usage and maintenance of PPE.	YES	NO
15) Radiation – The Radiation Safety Policy & Procedures cover all aspects of the management and control of radiation at UTAS.	YES	NO
16) Scheduled Carcinogenic Substances – There are a variety of substances which are strictly controlled because of their known carcinogenic effects. The Scheduled Carcinogenic Substances Policy & Procedures provides all relevant details.	YES	NO
17) Sharps – The Sharps Disposal Policy and Procedures provides all relevant details.	YES	NO
18) Thermal Comfort – The Thermal Comfort guidelines provide guidance on the management of work where temperature extremes are experienced.	YES	NO
19) Workshops – The Safety in Workshops Policy specifies requirements for work in UTAS workshops.	YES	NO

INDUCTION

Employees and students must receive an appropriate induction program which highlights OH&S issues, policies and procedures that are relevant to the work area.

1) Has an appropriate Budget Centre specific induction program been developed for each work area?	YES	NO
2) Are there records that prove that students and employees have completed this program?	YES	NO

ISSUE RESOLUTION PROCEDURE

It is important that OH&S problems are raised through formal channels. Reliance on informal communication inevitably leads to poor responses to such issues.

An important way in which you, as a Responsible Officer, can demonstrate your commitment to OH&S is by ensuring that issues are resolved expeditiously in accordance with both the spirit and requirements of the procedure.

1) Are you satisfied that Supervisors understand their obligations under the procedure?	YES	NO
2) Are records kept on issues that have been raised under the procedure?	YES	NO
3) Do such records reveal that issues are resolved appropriately?	YES	NO

MANUAL HANDLING POLICY AND PROCEDURES

Musculoskeletal injuries caused by manual handling are by far the most common injury in Tasmanian workplaces. UTAS is no exception and this policy and procedure has been developed to help employees assess and control the risks of manual handling. Records should exist in each workplace that demonstrate compliance with this policy and procedure.

1) Is there evidence that all manual handling tasks have been assessed using the Safe Manual Handling checklist?	YES	NO
2) Is there evidence that employees who undertake manual handling have been appropriately trained?	YES	NO



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OFFICE COPYING MACHINES

Copying machines are present in most workplaces and carry risks caused by fumes and the replacement of toner cartridges.

1) Are photocopiers located away from workspaces in a position with natural or mechanical ventilation?	YES	NO
2) Are Material Safety Data Sheets and appropriate Personal Protective Equipment available?	YES	NO
3) Is there evidence that employees have been trained in their safe operation?	YES	NO

PURCHASING POLICY

The OH&S Purchasing Policy and Pre-Purchase Checklist has been designed to ensure that OH&S is a strong consideration in all purchasing decisions – particularly those on equipment and substances.

1) Are you satisfied that the UTAS policy on purchasing is being applied in each work area?	YES	NO
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RISK ASSESSMENT & CONTROL PROCEDURE FOR PROJECTS AND TASKS

Hazard identification, risk assessment and control processes are the cornerstone of the modern approach to OH&S. Workplaces under your control should be able to demonstrate through appropriate records that they take a structured and formal approach to these processes.

1) Is there evidence of tasks being formally risk assessed as per the policy?	YES	NO
2) Is there evidence that the Hierarchy of Risk control is used to assist in determining the most appropriate control?	YES	NO
3) Are you satisfied that the identified controls are being followed?	YES	NO
4) Are risk assessments reviewed at least every 5 years?	YES	NO

PREVENTION OF OCCUPATIONAL OVERUSE SYNDROME (OOS) POLICY AND SCREEN BASED EQUIPMENT GUIDELINES

These guidelines have been developed to assist users operate screen based equipment in a safe manner. To assist in implementing this policy and guidelines, Human Resources provide all new employees with an assessment from a professional ergonomist.

1) Have all employees received an ergonomic assessment?	YES	NO
2) Are you satisfied that the guidelines and policy are being followed, e.g. correct usage of equipment, rest breaks etc?	YES	NO

SMOKING IN THE WORKPLACE POLICY

The policy identifies the specific situations in which smoking is prohibited. The Responsible Officer must ensure that Accountable Persons apply the Policy.

1) Are the smoke free area requirements of the policy (including vehicles) being followed?	YES	NO
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WORKING FROM HOME

The desire for flexible work arrangements has meant that an increasing number of employees are seeking permission to work from home. In such circumstances, the employee's home is a workplace for the purposes of the Workplace Health and Safety Act.

The Working From Home Policy is designed to ensure that Duty of Care obligations are fulfilled in circumstances where regular performance of duties at a home-based site is agreed between the University and employee. This would include academic staff who work from home on "Research Days" or those who undertake marking activities from home etc.

1) Are any employees working form home as defined in the policy?	YES	NO
2) Has a Working from Agreement been signed in every such case and been recorded?	YES	NO
3) Have OH&S considerations been identified and addressed in such Agreements?	YES	NO

WORKPLACE INSPECTIONS

Regular inspection of the workplace is an important tool in identifying hazards and ensuring that established controls are being followed. The Workplace Inspection Procedure & Checklist establishes requirements in this area. Specific checklists have been established for:

- Administration areas
- Laboratories
- Workshops
- New or refurbished Workplaces

1) Are records available in each workplace that demonstrate that workplace inspections are conducted at intervals appropriate to the level of risk for that workplace?	YES	NO
2) Is the appropriate checklist used for each discrete work area?	YES	NO
3) Does the workplace inspection team consist of an Accountable Person, employee and Employee Safety Representative?	YES	NO
4) Do you as Responsible Officer participate in workplace inspections on at least an annual basis?	YES	NO
5) Are action plans developed and actions completed as a result of the inspections?	YES	NO