

WHS Audit Checklist: What an Auditor Asks to See

Three pages. One row per record an auditor asks to see, the basis for it, and who holds it. Start 6 weeks before the audit. Write a named holder against every row and mark each site Y (can produce it now), P (partly, or not for every date) or N. Then write a sample date and one contractor who worked that day, try to produce every row for that date, and put anything slow to find in the action column with an owner and a due date.

Business and audit scope				Sample date (DD/MM/YYYY)		Contractor and worker sampled						
S1: site		S2: site		S3: site		S4: site		S5: site		S6: site		

Document	What the auditor asks to see	Basis (model WHS law unless stated)	Usually held by	Named holder and where kept	S1	S2	S3	S4	S5	S6	Action, owner, due
1. Leadership and verification											
WHS policy	Signed and dated by leadership, reviewed, and known to workers	Practice (an ISO 45001 policy is a certification criterion)	CEO or general manager								
Officer reporting	WHS reports to the board or executive, and what they asked or decided	Act s 27 (officer due diligence; the record is practice)	Company secretary or CEO								
Previous audit findings	The last audit report, and each finding's action, owner and close-out date	Practice	Safety manager								
2. Risks and controls											
Risk assessments or risk register	The main hazards at each site, the controls chosen, and when they were assessed	Act s 19 (so far as is reasonably practicable; the record is practice)	Safety manager with site managers								
Control measure reviews	When each control was last reviewed and what prompted it, including any request from a health and safety representative	Regs r 38 (the record is practice)	Safety manager								
Workplace inspection records	Scheduled inspections done on time, and their findings closed	Practice	Building or site manager								
Forklift and pedestrian separation	How powered mobile plant is kept from colliding with pedestrians and other plant: the traffic management plan and the last check of it	Regs r 215(4) (the plan is practice)	Warehouse or site manager								
Psychosocial risks	How psychosocial hazards such as workload and night rostering were identified and controlled	Regs r 55C (the record is practice)	Safety manager with HR								
3. Consultation											
Consultation with workers	Committee minutes, representative arrangements, and toolbox notes that record outcomes	Act s 47 (the record is practice; model code, July 2023)	Safety manager								
Coordination with other duty holders	What was agreed with tenants, the FM provider and contractors about shared work	Act s 46 (the record is practice)	Building or site manager								
4. Training, licences and first aid											
Induction and training	For each worker: what they were trained in, when, and for which work	Regs r 39 (the record is practice)	HR or training coordinator								

Document	What the auditor asks to see	Basis (model WHS law unless stated)	Usually held by	Named holder and where kept	S1	S2	S3	S4	S5	S6	Action, owner, due
High risk work licence	Written evidence of each high risk work licence, sighted before the work and kept at least 1 year after it	Regs r 85	Site or warehouse manager								
First aid	Where the equipment is, and who is trained to give first aid or how workers reach someone who is	Regs r 42 (the record is practice)	Site manager								
5. Incidents and emergencies											
Incident register and investigations	Each incident, its investigation, and the actions closed	Practice	Safety manager								
Notifiable incident records	A record of each notifiable incident, kept at least 5 years from the day notice was given. The model Act as at 5 December 2025 extends this to notifiable extended absences and suicides; check your state	Act s 38	Safety manager								
Emergency plan	The plan for each workplace, how often its procedures are to be tested, the last test, and the warden list	Regs r 43 (the test record and warden list are practice)	Building or site manager								
6. Plant and hazardous materials											
Registered plant records	Tests, inspections and maintenance for registered plant such as lifts, escalators, and boilers and pressure vessels of hazard level A, B or C, kept while it is used or until control passes, then handed over	Regs r 237	FM provider or engineering								
Hazardous chemicals register	The list of hazardous chemicals used, handled or stored, a current safety data sheet for each, and where workers can reach it	Regs r 346	Site or warehouse manager								
Asbestos register and plan	For buildings in scope: the register and the management plan	Regs r 425 and r 429 (Victoria: OHS Regulations 2017 r 227, reviewed every 5 years under r 228; no management plan duty)	Owner or FM provider with management or control								
Asbestos register copy	The date each contractor whose work risked exposure to airborne asbestos was given a copy of the register	Regs r 427(2) (Victoria: r 229, the contractor is told and given access; tenants get a copy)	Owner or FM provider								
7. Contractors: one job, one date, one worker											
Contractor approval	Insurance, licences and safety history current on the date of the work, not only today	Act s 19 (the record is practice)	Procurement or contract owner								
Worker clearance	The worker's induction, and for high risk work the licence evidence sighted before they started	Regs r 85 (licence evidence)	Site manager								
Site attendance and permits	The sign-in record for that day, and any permit issued for the job	Practice	Site manager or gatehouse								

Document	What the auditor asks to see	Basis (model WHS law unless stated)	Usually held by	Named holder and where kept	S1	S2	S3	S4	S5	S6	Action, owner, due
Safe work method statement	For high risk construction work: the statement the contractor must have before work starts, and your check of it	Regs r 299 (the check is practice; r 312 for a principal contractor)	Contract owner								
8. Certification only (ISO 45001:2018), skip if not certified											
Policy and objectives	The policy, the objectives, and the plan for meeting each one	Certification	Safety manager and leadership								
Internal audit program	What was audited, when, by whom, and the reports	Certification	Safety manager								
Management review	The record that leadership reviewed the system's results and decided what to change	Certification	CEO or general manager								
Nonconformities	Each nonconformity, its cause, and the action taken	Certification	Safety manager								

Basis: "Act" is the model Work Health and Safety Act and "Regs" the model Work Health and Safety Regulations, both as at 5 December 2025, published by Safe Work Australia. The Commonwealth, states and territories each implement them as their own laws, and numbering can differ; Victoria has not implemented the model laws, so a Victorian site uses the Occupational Health and Safety Act 2004 and Regulations 2017. The general duties in the Act apply so far as is reasonably practicable; r 42, r 43, r 85, r 215(4), r 237, r 346, r 425, r 427 and r 429 carry no such qualifier. "Practice" means an auditor will ask for it, but no model provision requires the record itself. AS/NZS 4801:2001 is "available superseded"; AS/NZS ISO 45001:2018 is current.

From the guide at www.complyflow.com/blog/whs-audit-checklist. A practical aid, not legal advice. The CSV version has the same rows and columns.