



**Australian Government**

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**Office of the Australian Building and  
Construction Commissioner**

# AUDIT REPORT

National Code of Practice for the Construction Industry

**[INSERT PROJECT NAME]**

[INSERT PROJECT LOCATION]

[INSERT NAME OF HEAD CONTRACTOR]

Audit Date: [INSERT DATE]

# BACKGROUND

The Office of the Australian Building and Construction Commissioner (ABCC) has primary responsibility for conducting Audits and Inspections for compliance with, and investigating alleged breaches of, the workplace relations provisions of the National Code of Practice for the Construction Industry (Code).

The Audit was undertaken in accordance with agreed procedures set down by the Code Monitoring Group (CMG) using the Australian Government Implementation Guidelines for the National Code of Practice for the Construction Industry [INSERT VERSION OF GUIDELINES] (Guidelines) as a reference. The ABCC reports the results of its investigations to the CMG for their consideration in accordance with section 9 [section 8 IF 2009 GUIDELINES] of the Guidelines.

The subject of the Audit was the [INSERT NAME OF PROJECT] located at [INSERT ADDRESS] (Project). [INSERT NAME OF HEAD CONTRACTOR] has an obligation to ensure its processes, practices and onsite behaviours are compliant with the Code. [DELETE NEXT SENTENCE IF PRIVATELY FUNDED PROJECT][INSERT HEAD CONTRACTOR NAME] must also require compliance with the Code and Guidelines from all subcontractors and relevant material suppliers engaged on the Project.

The on-site component of the Audit was conducted from [INSERT DATE OF ONSITE AUDIT] by ABCC Officers [INSERT NAME OF INVESTIGATORS]. The standard suite of documents utilised by [INSERT HEAD CONTRACTOR] was reviewed, followed by a review of live records, systems and on-site behaviours. Interviews were subsequently conducted with [INSERT HEAD CONTRACTOR] site management representatives and a selection of subcontractors engaged on the Project.

[INSERT FURTHER RELEVANT INFORMATION IF NECESSARY Example: funding arrangements, historical information which impacts on the findings of this Audit etc]

# THE PROJECT

## NATIONAL CODE APPLICATION

<b><u>Project Summary</u></b>	
<b>Formal name of Project</b>	
<b>Formal name of builder contracted to undertake Project:</b>	
<b>Total Project Value: (as advised)</b>	
<b>Tender release date: (Date tender was released to the public)</b>	
<b>Construction Commenced: (e.g. first movements on site, surveying, breaking ground etc)</b>	
<b>Scheduled Completion Date: (as advised)</b>	
<b>Type of Project: (Directly funded, Indirectly funded, Privately funded, Pre-commitment Lease)</b>	
<b><u>For Direct, Indirect, Pre-Commitment Lease Projects</u></b>	
<b>Australian Govt Agency: (as client or funding agency)</b>	
<b>Funding Recipient Agency: (if Indirectly funded)</b>	
<b>Project Developer/Owner (if Pre-commitment Lease)</b>	
<b>Australian Govt Contribution: (if Indirectly Funded or Pre-commitment Lease)</b>	
<b>Guidelines applicable to the Project :</b>	
<b>Original Code Commitment Project Name and Date for Head Contractor:</b>	
<b><u>Prior ABCC Monitoring &amp; Education on the Project</u></b>	
<b>Site Visits: (dates)</b>	
<b>Other Activity : (inspections, reviews, presentations)</b>	

# THE PROJECT

## OCCUPATIONAL HEALTH SAFETY AND REHABILITATION (OHS&R) STANDARDS **<Complete for 2009 Guidelines only>**

The Code states: “OHS&R obligations must be actively addressed by all industry participants. Unequivocal commitment to OHS&R management must be demonstrated in systems that address responsibilities, policies, procedures and performance standards to be met by all parties involved in a project and are directly linked to quality OHS&R outcomes.”

The Australian Government is committed to being both a model client and to influencing the OHS outcomes of the building and construction industry. The Australian Government Building and Construction Scheme (Scheme) is directed at OHS systems of head contractors working on directly funded projects in excess of \$3 million and some indirectly funded projects. The Scheme is administered by the Federal Safety Commissioner in accordance with the *Building and Construction Industry Improvement Act 2005*. The Scheme is separate to the National Code and Guidelines. The Office of the Federal Safety Commissioner (OFSC) conducts separate on-site audits of projects subject to the Scheme.

A standard component of the ABCC’s on-site monitoring of projects is to confirm that principal contractors have an OHS&R plan in place. Issues relating to non-compliance are referred to the Code Monitoring Group secretariat and relevant OHS authorities for more detailed review and action. During the monitoring process, the ABCC’s will conduct an assessment of the principal contractor’s commitment to OHS&R management. This is to be demonstrated through systems that address the responsibilities, policies, procedures and performance standards to be met by all parties involved in a project. ABCC Investigators review and confirm a comprehensive management plan is in place and includes the following:

OHS&R Assessment Criteria (Ref: Section 6.10 of 2009 Guidelines)	Result
<ul style="list-style-type: none"> <li>Is the principal contractor accredited under the Australian Government Building and Construction OHS Accreditation Scheme by the OFSC?</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Was the principal contractor accredited by the OFSC prior to undertaking construction work on the Project?</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>OHS&amp;R Management Plan is in place on the Project, and includes the following:</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Explicit management commitment</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Employee involvement</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Rigorous work practices analysis</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Proactive worksite analysis that anticipates and assigns roles and responsibilities and defines efficient procedures while on site</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Hazard identification, prevention and control</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Induction and task training including, with the employer’s consent, participation of the site OHS&amp;R delegate</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Appropriate case management and rehabilitation: and,</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Efficient maintenance of records</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
Outcome/Additional Comments:	

# ABCC FINDINGS

CLIENT AGENCY: [INSERT AGENCY NAME]

No	Issue Identified	Information Source	Section	ABCC Comment on Issue
1	[Insert identified issue]	<b><u>Attachment 1</u></b> [Insert document title]	[Insert Guideline Reference eg: s.4.2]	[Insert comment on identified issue]
2	[Insert identified issue]	<b><u>Attachment 2</u></b> [Insert document title]	[Insert Guideline Reference eg: s.4.2]	[Insert comment on identified issue]
3				
4				
5				

# ABCC FINDINGS

HEAD CONTRACTOR: [INSERT HEAD CONTRACTOR NAME]

No	Issue	Information Source	Section	ABCC Comment
6	[Insert identified issue]	<u>Attachment #</u> [Insert document title]	[Insert Guideline Reference eg s.5.1]	[Insert comment on identified issue]
7	[Insert identified issue]	<u>Attachment #</u> [Insert document title]	[Insert Guideline Reference eg s.5.1]	[Insert comment on identified issue]

# RECTIFICATION SCHEDULES

CLIENT AGENCY: [INSERT CLIENT AGENCY NAME]

The role of the ABCC is to monitor and report on compliance with the National Code. Rectification of issues raised remains the responsibility of relevant Australian Government departments and agencies as clients or funding administrators.

No	Issue Identified	ABCC Proposed Rectification program
1	[Repeat identified issue text from above]	[Insert proposed rectification utilising Guideline References/wording & that of associated Model Clauses]
2	[Repeat identified issue text from above]	[Insert proposed rectification utilising Guideline References/wording & that of associated Model Clauses]
3		
4		
5		

**Rectification Required by: .....**

# RECTIFICATION SCHEDULES

HEAD CONTRACTOR: [INSERT HEAD CONTRACTOR NAME]

The role of the ABCC is to monitor and report on compliance with the National Code. Rectification of issues raised remains the responsibility of relevant Australian Government departments and agencies as clients or funding administrators and head contractors. As a standard practice the ABCC provide the following advice on the rectification of the identified issues. It is provided as a recommendation only.

No	Issue Identified	ABCC Proposed Rectification program
6	[Repeat identified issue text from above]	[Insert proposed rectification utilising Guideline References/wording & that of associated Model Clauses]
7	[Repeat identified issue text from above]	[Insert proposed rectification utilising Guideline References/wording & that of associated Model Clauses]

**Rectification Required by: .....**

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# GUIDELINE REFERENCES

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## AUSTRALIAN GOVERNMENT IMPLEMENTATION GUIDELINES FOR THE NATIONAL CODE OF PRACTICE FOR THE CONSTRUCTION INDUSTRY

APPLICABLE GUIDELINES: [INSERT APPLICABLE GUIDELINES]

No	Section	Extract from Guidelines
1	[Insert Guideline Section Reference]	[Copy/Paste relevant section reference 2005/2006 Refer: DM 113381] [Copy/Paste relevant section reference 2009 Refer DM 147247]
2	[Insert Guideline Section Reference]	[Copy/Paste relevant section reference 2005/2006 Refer: DM 113381] [Copy/Paste relevant section reference 2009 Refer DM 147247]
3		
4		
5		