

Team Leader prompt list for file content when reviewing files - electronic and hard files.

Section 1	Complainant has been contacted by Inspector
	Printed investigation summary
	Printed InfoNET case summary file
Section 2	Closure letter (as applicable)
	Show Cause letter (as applicable)
	Warning letter (as applicable)
Section 3	Initial case conference form (where required)
	Case conference record of outcome (when case conference has been held)
Section 4	Copy of field note book entry/entries
	Inspection Report – issued only on first visit
Section 5	Copy of Field note book entries of phone call with injured party
	Statement/s (where taken)
Section 6	Notice/s issued. To include evidence of non-compliance (eg photos) as well as signed compliance slips and evidence of compliance i.e. photo/s
	Receipt number when something is seized (under S175)
Section 7	HRWL check (where appropriate)
	Any email sent – check the content of and attach
	Phone call entries – include brief note of what call was about
	Letter sent entries for any agency letters/emails sent and attach
	Stakeholder engagement entry (when site visit undertaken)
Section 8	Desktop audit when documents, photos, evidence received
Section 9	Photographs / photo log
Section 10	Correct PCBU Details
	ABN Confirmation
	Site address updated on InfoNET
	HSR Contact
	Workplace visit entry for other visits

Complaints / NSI's / NDI's

- Revise the Description* field on front page of the InfoNET job to clearly and accurately describe what the matter is about
- Evidence the complainant was contacted to let them know that SWSA is actioning the matter and/or to get clarifying details
- Evidence that you have dealt with the actual incident / matters complained about
- Inspection report 1st visit (*only when inspection work has been done – not for audits*)
- Evidence collection entries and attach
- Documentary evidence as applicable (must be in NSI/NDI files); e.g:
 - Risk assessments (pre & post) i.e. activity / equipment / environment / process / control measures / containment etc
 - SOP/SWMS/JSEA (pre & post)
 - Evidence of relevant workers knowledge of above 2 items
 - Training / retraining
 - PCBU Incident/Investigation
- If plant is involved the following evidence is required:
 - For complaints only where relevant
 - For NSI's & NDI's must be in the file
 - Serial Number, Make, Model (plant/equipment)
 - Manufacturer's book (plant/equip)
 - Maintenance/Service records
 - Certificate / Licence (forklift/crane)
 - Engineer report (buildings)
 - Evidence from competent person item/plant/structure is safe for use / entry etc