



AS/NZS 4801:2001

Self Assessment Checklist

This document restates the requirements of AS/NZS 4801:2001 for Safety Management Systems (SMS) and has been developed to assist NCSI and its clients in the assessment of safety management systems for compliance with AS/NZS 4801.

This checklist presents the requirements of AS/NZS 4801:2001 as questions and can be used as an effective tool for implementing the safety management system and for self-assessment of the system.

TABLE OF CONTENTS

| | |
|--|-----------|
| SCOPE OF CERTIFICATION | 1 |
| OHS POLICY | 1 |
| PLANNING..... | 2 |
| Planning Identification of Hazards, Hazard/Risk Assessment and Control of Hazards/Risks | 2 |
| Legal and Other Requirements..... | 2 |
| Objectives and Targets..... | 2 |
| OHS Management Plans..... | 3 |
| IMPLEMENTATION | 4 |
| Structure and responsibility | 4 |
| <i>Resources.....</i> | <i>4</i> |
| <i>Responsibility and Accountability.....</i> | <i>4</i> |
| Training and Competency | 5 |
| Consultation, Communication and Reporting..... | 6 |
| <i>Consultation</i> | <i>6</i> |
| <i>Communication</i> | <i>6</i> |
| <i>Reporting.....</i> | <i>7</i> |
| Documentation | 8 |
| Document and Data Control..... | 9 |
| Hazard Identification, Hazard/Risk Assessment and Control of Hazards/Risks..... | 9 |
| <i>General</i> | <i>9</i> |
| <i>Hazard Identification</i> | <i>10</i> |
| <i>Hazard/Risk Assessment.....</i> | <i>11</i> |
| <i>Hazard/Risk Control.....</i> | <i>11</i> |
| <i>Evaluation</i> | <i>11</i> |
| Emergency Preparedness and Response | 12 |
| MEASUREMENT AND EVALUATION | 13 |
| Monitoring and Measurement..... | 13 |
| <i>General</i> | <i>13</i> |
| <i>Health Surveillance</i> | <i>13</i> |
| Incident Investigation, Corrective and Preventive Action..... | 14 |
| Records and Records Management..... | 14 |
| OHSMS Audit..... | 15 |
| MANAGEMENT REVIEW | 16 |

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

SCOPE OF CERTIFICATION

What is the scope of the safety management system to be included in the certification?

OHS POLICY

Is there an occupational health and safety policy authorised by the organisation's top management, that clearly states overall OHS objectives and demonstrates a commitment to improving OHS performance?

Is this policy:

- a) appropriate to the nature and scale of the organisation's OHS risks;
- b) including the commitment to establish measurable objectives and targets to ensure continued improvement aimed at elimination of work-related injury and illness;
- c) including a commitment to comply with relevant OHS legislation and with other requirements placed upon the organisation or to which the organisation subscribes;
- d) documented, implemented, maintained and communicated to all employees;
- e) available to interested parties; and
- f) reviewed periodically to ensure it remains relevant and appropriate to the organisation?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

PLANNING

Planning Identification of Hazards, Hazard/Risk Assessment and Control of Hazards/Risks

Has the organisation established, implemented and maintained documented procedures to identify the OHS hazards and assessed and controlled the associated hazards/risks of activities, products and services over which the organisation has control or influence, including activities, products or services of contractors and suppliers?

Has the organisation developed its methodology for hazard identification, hazard/risk assessment and hazard/risk control, based on its operational experience and its commitment to eliminate workplace illness and injury. Is this methodology kept up-to-date?

Legal and Other Requirements

Has the organisation established, implemented and maintained procedures to identify and have access to all legal and other requirements that are directly applicable to the OHS issues related to its activities, products or services, including relevant relationships with contractors or suppliers?

Has the organisation kept this information up-to-date as well as communicated relevant information on legal and other requirements to its employees?

Objectives and Targets

Has the organisation established, implemented and maintained documented OHS objectives and targets, at each relevant function and level within the organisation?

When establishing and reviewing its objectives, does the organisation consider its legal and other requirements, its OHS hazards and risks, its technological options, its operational and business requirements, and the views of interested parties? Are the objectives and targets consistent with the OHS policy, including the commitment to measuring and improving OHS performance?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

OHS Management Plans

Has the organisation established and maintained management plans for achieving its objectives and targets? Do they include:

- g) designation of responsibility for achievement of objectives and targets at relevant functions and levels of the organisation; and
- h) outlining the means and timeframe by which objectives and targets are to be achieved?

Has the organisation established procedures to ensure that current plans are reviewed, and if necessary amended these procedures to address such changes at regular and planned intervals, and whenever there are changes to the activities, products, or services of the organisation or significant changes in operating conditions?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

IMPLEMENTATION

Structure and responsibility

Resources

Has the organisation's management identified and provided the resources required to implement, maintain, and improve their OHSMS? Resources such as human resources and specialised skills, technology and financial resources?

Responsibility and Accountability

Has the organisation defined, documented and communicated the areas of accountability and responsibility (including those imposed by OHS legislation) of all personnel involved in the OHSMS's operation?

Where contractors are involved, are these areas of accountability and responsibility clarified with respect to those contractors?

Has the organisation's top management appointed a specific management representative(s) who, irrespective of other responsibilities, has defined roles, responsibilities and authority for ensuring that OHSMS requirements are established, implemented and maintained in accordance with this Standard; and reporting on the performance of the OHSMS to top management for review and as a basis for improvement of the OHSMS.

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Training and Competency

Has the organisation, in consultation with employees, identified training needs in relation to performing work activities competently, including OHS training?

Are procedures in place to ensure that OHS competencies are developed and maintained? Are personnel assessed as competent on the basis of skills achieved through education, training or experience, to perform assigned tasks taking into account the OHS obligations, hazards and risks associated with the work activities?

Are procedures developed for providing OHS training? Do these procedures take into account:

- a) the characteristics and composition of the workforce which impact on occupational health and safety management; and
- b) responsibilities, hazards and risks?

Has the organisation ensured that all personnel (including contractors and visitors) have undertaken training appropriate to the identified needs?

Is this training carried out by persons with appropriate knowledge, skills and experience in OHS and training?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Consultation, Communication and Reporting

Consultation

Have employees:

- a) been involved in the development, implementation and review of policies and procedures to identify hazards and assess and control hazards/risks;
- b) been consulted where there are any changes that affect workplace OHS;
- c) selected those who will represent them on OHS matters; and
- d) been informed as to who is/are their employee OHS representative(s) and specified management representative(s)?

Are there documented procedures, agreed to by employees, for employee involvement and consultation in OHS issues? Is information regarding the arrangements made available to interested parties?

Are those representing the employees and employer receiving appropriate training to undertake effectively their involvement in the development, implementation and review of OHS arrangements?

Communication

Does the organisation have procedures for ensuring that pertinent OHS information is communicated to and from employees and other interested parties?

AS/NZS 4801:2001 SELF ASSESSMENT CHECKLIST

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Reporting

Are appropriate procedures for relevant and timely reporting of information established to ensure the OHSMS is monitored and performance improved?

Are reporting procedures established to cover the following:

- a) OHS performance reporting (including results of OHS audits and reviews).
- b) Reporting of incidents and system failures.
- c) Reporting on hazard identifications.
- d) Reporting on hazard/risk assessment.
- e) Reporting on preventive and corrective action.
- f) Statutory reporting requirements.

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Documentation

Has the organisation established, implemented and maintained information, in a suitable medium such as in print or electronic form, to:

- a) describe the core elements of the management system and their interaction; and
- b) provide direction to related documentation?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Document and Data Control

Has the organisation established, implemented and maintained procedures for controlling all relevant documents and data required by this Standard to ensure that:

- a) they can be readily located;
- b) they are periodically reviewed, revised as necessary and approved for adequacy by competent and responsible personnel;
- c) current versions of relevant documents and data are available at all locations where operations essential to the effective functioning of the OHSMS are performed;
- d) obsolete documents and data are promptly removed from all points of issue and points of use or otherwise assured against unintended use; and
- e) archival documents and data retained for legal or knowledge preservation purposes or both, are suitably identified.

Is this documentation and data legible, dated (with dates of revision) and readily identifiable and maintained in an orderly manner for a specified period? Are procedures and responsibilities established and maintained concerning the creation and modification of the various types of documents and data?

Has the organisation precluded the use of obsolete documents?

Hazard Identification, Hazard/Risk Assessment and Control of Hazards/Risks

General

Has the organisation established, implemented and maintained documented procedures to ensure that:

- a) hazards are identified;
- b) hazards/risks are assessed;
- c) hazards/risks are controlled; and then
- d) steps (a) to (c) are evaluated.

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Hazard Identification

Does the identification of hazards in the workplace take into account:

- a) the situation or events or combination of circumstances that has the potential to give rise to injury or illness;
- b) the nature of potential injury or illness relevant to the activity, product or service; and
- c) past injuries, incidents and illnesses?

Does the identification process also include consideration of:

- a) the way work is organised, managed, carried out and any changes that occur in this;
- b) the design of workplaces, work processes, materials, plant and equipment;
- c) the fabrication, installation and commissioning and handling and disposal (of materials, workplaces, plant and equipment);
- d) the purchasing of goods and services;
- e) the contracting and subcontracting of plant, equipment, services and labour, including contract specification and responsibilities to and by contractors; and
- f) the inspection, maintenance, testing, repair and replacement (of plant and equipment).

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Hazard/Risk Assessment

Are all hazards/risks associated with each identified hazard assessed and have hazard/risk control priorities been assigned, based on the established level of hazard/risk?

Hazard/Risk Control

Are all hazards/risks, identified through the assessment process as requiring control, controlled through a preferred order of control methods (commonly referred to as a hierarchy), based on reasonable practicability? Is elimination the first control method to be considered?

Evaluation

Are hazard identification, hazard/risk assessment and control processes subject to a documented evaluation of effectiveness and modified as necessary?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Emergency Preparedness and Response

Are all potential emergency situations identified and emergency procedures documented for preventing and mitigating the associated illness and injury?

Has the organisation reviewed then revised, where necessary, its emergency preparedness and response procedures, in particular, after the occurrence of incidents or emergency situations?

Has the organisation periodically tested such procedures?

NOTE: It may not be practicable to test some procedures, in which case training and efficacy should be tested by other means.

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

MEASUREMENT AND EVALUATION

Monitoring and Measurement

General

Has the organisation established, implemented and maintained documented procedures to monitor and measure on a regular basis the key characteristics of its operations and activities that can cause illness and injury? Is the effectiveness of these measures evaluated?

Has appropriate equipment for monitoring and measurement related to health and safety risks been identified, calibrated, maintained and stored as necessary? Are records of this process retained according to the organisation's procedures?

With regard to the OHSMS, has the organisation established, implemented and maintained procedures to monitor:

- a) performance, effectiveness of relevant operational controls and conformance with the organisation's objectives and targets; and
- b) compliance with relevant OHS legislation.

Health Surveillance

Has the organisation identified those situations where employee health surveillance is required and implemented appropriate systems? Do employees have access to their own individual results?

Where specified by legislation, is the health of employees exposed to specific hazards monitored and recorded?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

Incident Investigation, Corrective and Preventive Action

Has the organisation established, implemented and maintained procedures for:

- a) investigating, responding to, and taking action to minimise any harm caused from, incidents;
- b) investigating and responding to system failures; and
- c) initiating and completing appropriate corrective and preventive action.

Has the organisation implemented and recorded any changes in the OHSMS procedures resulting from incident investigations and corrective and preventive action?

Records and Records Management

Has the organisation established, implemented and maintained procedures for the identification, maintenance and disposition of OHS records, as well as the results of audits and reviews?

Are OHS records legible, identifiable and traceable to the activity, product or service involved? Are OHS records stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss? Are their retention times established and recorded?

Are records maintained, as appropriate to the system and to the organisation, to demonstrate conformance to the requirements of this Standard?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

OHSMS Audit

Has the organisation established, implemented and maintained an audit program and procedures for periodic OHSMS audits to be carried out by a competent person, in order to:

- a) determine whether the OHSMS:
 - i) conforms to planned arrangements for OHS management including the requirements of this Standard;
 - ii) has been properly implemented and maintained; and
 - iii) is effective in meeting the organisation's policy as well as objectives and targets for continual OHS improvement; and
- b) provide information on the results of audits to management and employees.

Is the audit program, including any schedule, based on the OHS importance of the activity concerned, and the results of previous audits? Does the audit procedure cover the scope, frequency, methodologies and competencies, as well as the responsibilities and requirements for conducting audits and reporting results?

AS/NZS 4801:2001 REQUIREMENTS

COMMENTS ON SYSTEM STATUS

MANAGEMENT REVIEW

Has the organisation's top management, at intervals that it determines, reviewed the OHSMS to ensure its continuing suitability, adequacy and effectiveness?
Has management reviewed processes to ensure that the necessary information is collected to allow management to carry out this evaluation? Is this review documented?

Does management review the continued relevance of, and change where appropriate, policy, objectives, responsibilities and other elements of the OHSMS, in the light of OHSMS audit results, changing circumstances and the commitment to continual improvement?