AS 4801 HEALTH AND SAFETY MANAGEMENT SYSTEM AUDIT TOOL ATTACHMENT 1

***SECTION 3*** *Framework for Health and Safety Management*

ASSESSMENT AND RATING METHODOLOGY

This report provides an overview of the health and safety management system specifying whether the system conforms to the objectives of the standard. Should there be an element that does not conform; the degree of non-compliance must be stated.

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For a more in depth review, the identification of shortcomings are presented within the “Comments” section of completed audit. It is intended that this information will assist the organisation in the continuous improvement of its health and safety system.

AS 4801 OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS AUDIT AS 4801 OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS AUDIT

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| **OHS POLICY** | **AS/NZS 4801:2001** | **RATING** |
| Does the organisation have an Occupational Health and Safety Policy?  Does the OHS Policy comply to the following:   appropriate to the nature and scale of the organisation’s OHS risks;   demonstrates a commitment to establish measurable objectives and targets to ensure continued improvement aimed at eliminating work-related injury and illness;   includes a commitment to comply with relevant OHS legislation and other requirements to which the organisation subscribes;   documented, implemented, communicated to all employees and maintained;   accessible to all interested parties; and   reviewed periodically. | 4.2 |  |

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| **PLANNING IDENTIFICATION OF HAZARDS, ASSESSMENT AND CONTROL OF RISKS** | **AS/NZS 4801:2001** | **RATING** |
|  Has the organisation established, implemented and maintained documented procedures for hazard identification, hazard/risk assessment and control of hazards/ risks of activities, products and services over which an organisation has control or influence, including activities, products or services of contractors and suppliers?   Has the organisation developed its methodology for hazard identification, risk assessment and control of risks, based on its operational experience and its commitment to eliminate workplace illness and injury? The methodology shall be kept up-to-date. | 4.3.1 |  |

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| **LEGAL AND OTHER REQUIREMENTS** | **AS/NZS 4801:2001** | **RATING** |
|  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 communicated relevant legal and other requirements to its employees? | 4.3.2 |  |

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| **OBJECTIVES AND TARGETS** | **AS/NZS 4801:2001** | **RATING** |
|  Has the organisation has established implemented and maintained documented OHS objectives and targets, at each relevant function and level within the organisation?   When establishing and reviewing its objectives, the organisation must consider its legal and other requirements, its hazards and risks, its technological options, its operational and business requirements, and the views of interested parties. The objectives and targets shall be consistent with the OHS policy, including the commitment to measuring and improving OHS performance. | 4.3.3 |  |

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| **OHS MANAGEMENT PLANS** | **AS/NZS 4801:2001** | **RATING** |
| Have OHS management plans been established and maintained that include the following?   Plans for achieving OHS objectives and targets;   Designation of responsibility for objectives and targets at relevant functions and levels of the organisation; and   The means and time frame by which objectives and targets are to be achieved. | 4.3.4 |  |

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| **RESOURCES** | **AS/NZS 4801:2001** | **RATING** |
| Have management identified and provided resources to implement, maintain and improve the Health and Safety Management System (HSMS), as required?   Resources include human resources and specialised skills, technology and financial resources. | 4.4.1 |  |

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| **RESPONSIBILITY AND ACCOUNTABILITY** | **AS/NZS 4801:2001** | **RATING** |
| 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 HSMS’s operation?  Where contractors are involved, these areas of accountability and responsibility shall be clarified with respect to those contractors.  The organisation’s top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have defined roles, responsibilities and authority for:   ensuring that the HSMS requirements are established, implemented and maintained in accordance with this Standard;   reporting on the performance of the HSMS to top management for review and as a basis for improvement of the HSMS. | 4.4.1 |  |

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| **TRAINING AND COMPETENCY** | **AS/NZS 4801:2001** | **RATING** |
| Has the organistion, in consultation with employees, identified training needs in relation to performing work activities competently, including OHS training?  Procedures are in place to ensure that OHS competencies are developed and maintained. Personnel are 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.  Procedures are developed for providing OHS training. These procedures take into account:   The characteristics and composition of the workforce which impact on occupational health and safety management   Responsibilities, hazards and risks   The organisation ensures that all personnel (including contractors and visitors) have undertaken training appropriate to the identified needs.   Training shall be carried out by persons with appropriate knowledge, skills and experience in OHS and training.  Note: Personnel should be taken to include employees, contractors, non-employees such as unpaid work-experience staff and visitors. | 4.3.3 |  |

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| **CONSULTATION** | **AS/NZS 4801:2001** | **RATING** |
| Are there documented procedures, agreed to by the employees, for employee involvement and consultation in OHS issues?  Are employee involvement and consultation arrangements documented and made available to interested parties?  Are employees:   Involved in the development of policies and procedures to manage risks?   Consulted where there are any changes that affect workplace health and safety?   Represented on health and safety matters?   Informed of who their employee OHS representative(s) is/are?   Aware of whom their OHS representative and management representatives are? | 4.4.3 |  |

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| **DOCUMENTATION** | **AS/NZS 4801:2001** | **RATING** |
| Has the organisation established, implemented and maintained the following information?   Describe the core elements of the management system and their interactions;   Provide direction to related documentation. | 4.4.5 |  |

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| **DOCUMENTATION AND DATA CONTROL** | **AS/NZS 4801:2001** | **RATING** |
| Has the organisation established, implemented and maintained procedures for controlling all relevant documents and data required by this standard to ensure that:   they can be readily located;   periodically reviewed;   current versions are accessible at all locations;   obsolete documents and data are promptly removed; and   archived documents and data are retained for legal or knowledge preservation. | 4.4.5 |  |

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| **HAZARD IDENTIFICATION, RISK ASSESSMENT AND CONTROL OF RISKS** | **AS/NZS 4801:2001** | **RATING** |
| The organisation has established, implemented and maintained documented procedures to ensure that the following are conducted:   hazard identification;   hazard/risk assessment;   control of hazards/risks; and then   evaluation of steps a – c. | 4.3.6 |  |

Comments:

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| **HAZARD IDENTIFICATION** | **AS/NZS 4801:2001** | **RATING** |
| When identifying hazards, has the organisation taken into account;   the situation or events or combination of circumstances that has the potential to give rise to injury or illness;   the nature of potential injury or illness relevant to the hazard;   past injuries, incidents and illnesses;   Further consideration has been given to:  ~ work organisation;  ~ work design;  ~ work systems;  ~ the purchase of goods and services;  ~ hazard associated with contractual arrangements.   The inspection, maintenance, testing repair and replacement of plant and equipment. | 4.4.6 |  |

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| **RISK ASSESSMENT** | **AS/NZS 4801:2001** | **RATING** |
| Has the organisations hazards/risks been assessed and have control priorities been assigned, based on the established level of risk. | 4.4.6 |  |

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| **CONTROL OF RISKS** | **AS/NZS 4801:2001** | **RATING** |
| Have the hazards identified through the assessment process as requiring control, controlled through the hierarchy of controls – elimination being the first control of consideration?  Note. Elimination, Substitution, Engineering, Administration and PPE. | 4.4.6 |  |

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| **EVALUATION** | **AS/NZS 4801:2001** | **RATING** |
| Is there a process of evaluation of hazard/risk identification, assessment and control? | 4.4.6 |  |

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| **EMERGENCY PREPAREDNESS AND RESPONSE** | **AS/NZS 4801:2001** | **RATING** |
| Has the organisation identified potential emergency situations and developed, implemented and practiced emergency preparedness and response procedures? | 4.4.7 |  |

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| **MONITORING AND MEASUREMENT** | **AS/NZS 4801:2001** | **RATING** |
| Has the organisation established, implemented and maintained documented procedures to monitor and measure on a regular basis the activities that may cause injury or illness, using the appropriate equipment for monitoring and measuring that is calibrated, maintained and stored appropriately?  Has equipment for monitoring and measuring health and safety risks been identified, calibrated, maintained and stored as necessary?  Has the organisation established monitoring and measuring procedures for:   Performance effectiveness of relevant controls conformance with organisations targets and objectives; and   Compliance with relevant OHS legislation. | 4.5.1 |  |

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| **HEALTH SURVEILLANCE** | **AS/NZS 4801:2001** | **RATING** |
| Has the organisation identified those situations where employee health surveillance should occur?  Is the health of employees exposed to specific hazards monitored, where required by legislation? | 4.5.1 |  |

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| **INCIDENT INVESTIGATION, CORRECTIVE AND PREVENTATIVE ACTION** | **AS/NZS 4801:2001** | **RATING** |
| Has the organisation implemented and recorded any changes in the HSMS procedures resulting from incident investigations and corrective and preventative actions for:   responding to and taking action to minimise any harm caused from incidents;   investigation and responding to system failures; and   initiating and completing appropriate corrective and preventative action. | 4.5.2-3 |  |

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| **MANAGEMENT REVIEW** | **AS/NZS 4801:2001** | **RATING** |
| Do the organisation’s senior management perform management reviews of the HSMS, to ensure its suitability, adequacy and effectiveness?  Does the management review process ensure that the necessary information is collected to allow management to carry out the above evaluation? | 4.6 |  |

Comments:

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