**Context**

An OHS management system (OHSMS) can be a useful way to meet all workplace safety obligations. An OHSMS can assist organisations provide a safe and healthy workplace by improving safety performance, compliance with health and safety legislation and creating an environment that produces better outcomes for clients and for staff.

An OHSMS may benefit small, medium and large CSOs by:

* Securing commitment from senior managers and Boards to improving the health, safety and wellbeing of staff and others at the workplace
* Creating **safer work environments**
* **Reduced injuries and injury-related costs** (for example pre-empting injuries, reduced employer medical expenses, reduced injured employee’s wages, reduced replacement labour costs, and reduced WorkCover premiums)
* **Improved business opportunities** (many companies have preferential purchasing policies for organisations with an OHSMS)
* Providing measurable systems that **verify OHS performance**
* Demonstrated legal and other compliance
* Enhanced **reputation**
* **Improved recruitment and retention of staff**
* **Enhancing staff morale**
* **Providing a consistent platform for benchmarking within the sector and across the industry.**

A management system standard such as AS/NZS 4804:2001 or SafetyMAP provides a good framework for developing, monitoring and evaluating safety management. The OHS management system can then be independently assessed against the audit standard AS/NZS 4801:2001 or SafetyMAP. Certification of an OHSMS is recognition for meeting the requirements of the chosen standard.

As the standards for OHS management systems are not prescriptive, it is important to recognise that conformance to the standard will not guarantee workplace safety. The key to an effective OHS management system and improved protection of health, safety and wellbeing of employees, clients and others at the workplace is the quality of the decision making that takes place during the development, monitoring, maintenance, and evaluation of all aspects of the OHS management system.

**Purpose**

The OHSMS self-assessment and audit tool should integrate with existing OHS systems as it is aligned with the Australian Standard for occupational health and safety management systems (AS/NZS4801:2001) and the SafetyMAP (Safety Management Achievement Program).

This OHSMS self-assessment & audit tool is designed to be informative and flexible to the needs of CSOs. It can be used to:

* Guide CSOs in the development of an OHSMS that is appropriate to the size and complexity of the organisation
* Provide a framework for evaluating existing OHS management systems to identify gaps and opportunities for improvement
* Provide guidance to Boards and management on aspects of an OHSMS that should be monitored and reviewed for ongoing improvement
* Measure progress towards conformance to a standard for certification.

Crucial to the success of an OHSMS is that Boards and executives of community service organisations (CSO) take responsibility for the conduct and outcomes of the OHS self-assessment audit. They need to drive improvement throughout the organisation.

**Considerations**

This tool is based on AS/NZS4804:2001 *Occupational health and safety management systems – general guidelines on principles, systems and supporting techniques* and AS/NZS4801:2001 *Occupational health and safety management systems – specification with guidance for use.* It is alsoaligned with SafetyMAP requirements.

AS/NZS4801:2001 *Occupational health and safety management systems – specification with guidance for use* sets auditable criteria for an OHSMS.

AS/NZS4804:2001 *Occupational health and safety management systems – general guidelines on principles, systems and supporting techniques* is the companion standard to AS4801 and its purpose is to provide guidance on how an OHSMS may be developed, implemented, continually improved and the resources required. It is not a compliance standard.

The OHS Management System – Self-assessment & Audit Tool relates to the following area of the NDS Risk and Controls Model:

*Element* People

Sub-element OHS

* Contractor Management

**Procedure**

**Organisational self-assessment of the OHS Management System (OHSMS)**

The following tool is designed to inform, educate and enable an organisation to evaluate its existing health and safety management system and identify areas of conformance and areas for improvement.

The self-assessment is best completed by a small, impartial and independent team that includes executive and employee representatives.

The self-assessment requires an organisation to select a response for every question in the Audit Criteria that best reflects its current situation. For example:

Does the organisation have a current OHS policy displayed in a prominent place?

Yes No I

**Y**es The organisation has evidence to support this statement.

**N**o The organisation has no evidence to verify conformance with the statement.

**I**mprovement The organisation has some evidence to verify conformance with the statement,

e.g. not documented or informal process.

To provide an indication of how well the organisation is meeting the requirements of AS/NZS 4801:2001, responses may be calculated to gain an overall score. As the OHSMS self-assessment is repeated the organisation may track its progress and areas for improvement. In its current form each individual audit criteria is equally weighted, even though the number of audit criteria for each element varies. Organisations may choose to allocate a weighting to some of the elements or individual audit criteria.

* Scoring of the audit tool allows for results to be expressed in terms of conformance or non-conformance for all elements or for each element. For example:
* Calculating all of the ‘YES’ answers can achieve an estimate of conformance to the Australian Standard (i.e. 38/77 = 49% conformance to the audit criteria).
* Calculating all of the ‘YES’ answers for each element can identify specific areas requiring more focus (i.e. Measurement and Evaluation 10/15 = 66%, Planning 1/8 = 12.5%)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Audit Element** | **# Audit Criteria** | **Y** | **N** | **I** | **# Yes answers per element** |
| 1. COMMITMENT AND POLICY | 2 Questions |  |  |  | /2 = % |
| 2. PLANNING | 8 Questions |  |  |  | /8 = % |
| 3. IMPLEMENTATION | 48 Questions |  |  |  | /48 = % |
| 4. MEASUREMENT AND E EVALUATION | 15 Questions |  |  |  | /15 = % |
| 5. MANAGEMENT REVIEW | 4 Questions |  |  |  | /4 = % |
|  |  | /77 | /77 | /77 |  |

Organisations may choose to count ‘Improvement’ responses as a partial conformance or a partial non-conformance, either way it is important that this decision is made early and applied consistently every time the score is calculated.

**OHSMS Self-assessment & Audit Tool**

**Organisation name:**

**Date:**

**Location:**

**Assessment conducted by:**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **OHS MANAGEMENT SYSTEM REQUIREMENTS** | | | | | | | | | | | | |
| **1. COMMITMENT AND POLICY**  Reference: *AS/NZS 4804:2001 p. 6-10*  *(The purpose of AS4804:2001 is to assist with construction and implementation of an OHSMS. It is not a compliance standard.)*  Senior management must demonstrate genuine commitment to the establishment, review and improvement of the OHSMS. Organisational commitment through leadership and the appropriate allocation of resources will encourage the participation and support of all employees in maintaining and improving the OHSMS. | | | | | | | | | | | | |
| Establishing commitment and writing policy   1. Leadership commitment is necessary for successful improvements to OHS. Effective leadership and commitment is required in the following areas:    1. Determining the organisation’s current position on OHS    2. Resource allocation including setting budgets, responsibilities, authority and accountability    3. Coordinated management planning and agreed delegations    4. Decisions followed through and performance assessed    5. Communication of the values and policies unambiguously throughout the organisation    6. Management demonstrating their commitment by their own actions    7. Regular review of OHS at senior management level to reinforce its importance to successfully meeting the organisation’s strategic objectives and legal obligations. 2. An initial review of OHS that looks at the current arrangements and identifies gaps. 3. OHS policy clearly states the overall OHS objectives are consistent with the organisation’s values and demonstrate a commitment to improving OHS performance. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.6.* | | | | | | | | | | | | |
| Does the organisation have a current OHS policy displayed in a prominent place? | | **Y** | | | | **N** | | | | **I** | | |
| Does the policy meet *all* of the following criteria?   1. Signed by the CEO or equivalent 2. Includes clear statement of objectives to eliminate or reduce workplace injury 3. Includes commitment to improve performance 4. Includes commitment to comply with relevant OHS legislation and other requirements 5. Communicated to all employees & contractors 6. Reviewed periodically | | **Y** | | | | **N** | | | | **I** | | |
| Possible Evidence   * A hard copy OHS policy that meets all of the above criteria | | | | | | | | | | | | |
| Observations and Comments | | | | | | | | | | | | |
| **2. PLANNING**  Reference: *AS/NZS 4804:2001 p.11.*  An organisation should plan to fulfill its OHS policy, objectives and targets. The planning commences with the initial OHS review and should include the regular identification of hazards/risks and related legal requirements.  The level and complexity of planning needs to suit the organisation’s size, complexity and needs. An organisation may have multiple plans or one plan including all elements. Some aspects to consider include:   1. Planning to establish or improve the OHSMS 2. Risk control plans for the reduction of specific hazards in the workplace 3. Disaster/emergency plans and business continuity plans 4. Post-incident investigation, injury management and return to work plans   There are four components to the Planning section in an OHSMS which have specific audit criteria. They are:   1. Establish and document procedures and methodology for the identification of hazards, risk assessment and control of risks 2. Legal and other requirements 3. Objectives and targets 4. OHS management plans. | | | | | | | | | | | | |
| **2.1 Planning identification of hazards, risk assessment and control of risks**  Reference: *AS/NZS 4804:2001 p.12.*  An organisation should develop a methodology appropriate to its size and function so it can identify hazards and assess risks. This methodology is typically written into policies and procedures.  Where an organisation purchases or supplies goods and/or services, procedures should be in place covering hazard identification, risk assessment and control of risks associated with the purchase/supply of those goods and services. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.6*. | | | | | | | | | | | | |
| Does the organization have documented procedures for the identification of hazards and the assessment of control of risks? | **Y** | | | | **N** | | | | **I** | | | |
| Possible Evidence:   * Hazard Inspection procedure(s) * Risk assessment / risk control procedures * Forms for inspections, risk assessments, etc. * Completed hazard reports (a hazard reporting system) * Hazard / Risk Register * Responsibility for hazards assigned and completed hazards signed off * Risk controls implemented and reviewed * Instructions and templates for safe work method statements or Job Safety Analysis (JSA) * Workplace inspection calendar * Contractor management procedures * Pre-purchase checklists for incoming goods/equipment | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **2.2 Legal and other requirements**  Reference: *AS/NZS 4804:2001 p.12.*  An organisation should identify and understand all regulatory requirements (e.g. *OHS Act 2004*, *OHS Regulations 2007* and standards) that are applicable to its activities, products and services including those of contractors and suppliers.  To keep track of legal requirements an organisation can establish a list of all laws and regulations relevant to its activities, products and services and utilise several sources to monitor changes (i.e. WorkSafe, NDS Victoria, VMIA, VHIA, Ai Group, VECCI). It should communicate relevant information about regulatory requirements to employees and contractors. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.6.* | | | | | | | | | | | | |
| Does the organisation have procedures in place for identifying all legal and other requirements that are relevant to the organisation’s activities, products and services? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have a procedure for ensuring that all regulatory information is kept up-to-date? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have a process by which relevant information on legal and other requirements is communicated to employees and contractors? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Relevant legislation is available in hard copy and/or intranet (e.g. *OHS Act 2004*, *OHS Regulations 2007*, compliance codes, codes of practice) * Legal and other requirements register * Meeting minutes record discussions on legislation updates, etc * Document control showing updates to legislation * Policies refer to current legislation | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **2.3 Objectives and targets**  Reference: *AS/NZS 4804:2001 p.13.*  An organisation should set objectives and targets so that it can achieve the overall goals set out in the OHS policy. Objectives and targets also provide a means to evaluate OHS performance. Objectives and targets can be developed for those areas highlighted in the initial review where OHS performance is less than desired.  Objectives and targets can apply broadly across the organisation or be specific to sites, service type or activity. When setting objectives and targets, the organisation should consider establishing measurable performance indicators. Performance indicators provide information about what is happening. Lag indicators that are outcome based (e.g. injury rate) and lead indicators that are input based (e.g. number of inspections completed) can be used independently or in combination. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.7.* | | | | | | | | | | | | |
| Does the organisation have documented objectives and targets that are consistent with the overall goals set out in the OHS policy? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation monitor progress against those objectives and targets? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * There are documented objectives and targets that are specific, measurable, achievable, result-oriented (or realistic) and time limited * There are processes in place to review progress against the targets and objectives * Objectives and targets for the organisation are reviewed periodically | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **2.4 OHS management plans**  Reference: *AS/NZS 4804:2001 p.14.*  The successful implementation of an OHSMS requires plans to be developed that clearly set out how the objectives and targets will be achieved. Management plans require allocation of responsibility for the achievements of objectives and targets at the different levels in an organisation and should outline the means and timeframe by which targets and objectives should be achieved. Operational plans to address specific OHS issues need to be developed and implemented. Procedures should be established to ensure that current plans are amended to address changes to the organisation’s activities, services or operating conditions. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.7* | | | | | | | | | | | | |
| Does the organisation establish and maintain management plans for achieving its OHS objectives and targets? | | | **Y** | | | | **N** | | | | **I** | |
| Do the OHS management plans include allocation of responsibilities, means to achieve activities and objectives within time frames? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Documented OHS Improvement Plan * Organisation improvement plans * Business plans that include OHS components * Operational plans to address specific OHS issues * Procedures for reviewing plans when activities, services or operating conditions change | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3. IMPLEMENTATION**  Reference: *AS/NZS 4804:2001 p.15.*  An organisation should develop the capabilities and support mechanisms that are necessary to achieve the goals in its OHS policy and the objectives and targets set out in the OHS management plan and operational plans.  To achieve its goals and objectives, an organisation should involve its people and align its systems, resources and structures.  There are ten components to the Implementation section in an OHSMS. All of which have specific audit criteria.   1. Resources 2. Responsibility and accountability 3. Training and competency 4. Consultation 5. Communication 6. Reporting 7. Documentation 8. Document & data control 9. Hazard identification, risk assessment and control of risks 10. Emergency preparedness & response | | | | | | | | | | | | |
| * 1. **Resources**   Reference: *AS/NZS 4804:2001 p.15.*  The resources required for achieving the objectives and targets set out in the OHS management plan(s) and for the successful implementation and review of the OHSMS should be clearly defined and made available. These resources typically include human resources (personnel with adequate skills and time allocated), facilities, equipment, technology and financial. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.7.* | | | | | | | | | | | | |
| Does the organisation have a defined list of the resources (human resources, facilities, equipment and financial) that are required to implement and monitor its OHSMS? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation provide necessary resources (determined to be essential) to achieve the objectives and targets in the management plans? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * List of all resources determined to be necessary * Meeting minutes that capture discussions about resources required * Budget allocation * OHS Management Plan | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| * 1. **Responsibility and accountability**   Reference: AS/NZS 4804:2001 p.17.  To ensure that the development and implementation of the OHSMS is done effectively, an organisation should define the areas of accountability and responsibility of the personnel involved.  Designate responsibility and authority to act, specify reporting lines and communicate OHS responsibilities and accountabilities to all employees and include in position descriptions or individual performance plans. Assign a person at a senior management level responsibility for ensuring the OHSMS is implemented and performs to expectations. Ensure operational managers are responsible and accountable for the effective implementation and achievement of targets in the OHS plans relevant to their area. Hold all employees accountable for their contribution to the organisation’s OHS performance, within the scope of their responsibilities. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.7.* | | | | | | | | | | | | |
| Does the organisation designate, document and communicate specific accountability and responsibility for OHS to all employees? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation allocate responsibility to one senior manager to ensure that the OHSMS is established, implemented and maintained effectively and holds that manager accountable for reporting on the performance of the OHSMS? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation include contractors, sub-contractors, volunteers and agency staff when allocating OHS responsibilities and accountabilities? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * An organisational chart with clear reporting lines for OHS is developed and communicated to employees * All position descriptions include clear statements describing individual OHS responsibilities * Specific health and safety responsibilities, authority to act according to legislative obligations, authority to act and reporting relationships in the organisation have been defined, documented and communicated * Annual performance reviews are used to hold personnel accountable for their OHS responsibilities * Induction training outlining responsibilities for OHS is provided to all employees, contractors, sub-contractors, volunteers, agency staff * Employees at all levels could accurately identify the senior manager who has overall responsibility for the performance and effectiveness of the OHSMS | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| * 1. **Training and competency**   Reference: *AS/NZS 4804:2001 p.18.*  The effective implementation and maintenance of an organisation’s OHSMS is dependent on the competency of the personnel to fulfill their allocated responsibilities and accountabilities. An organisation should identify and document its training and development needs to ensure that employees are capable of performing their assigned work tasks competently and safely. The organisation must provide the necessary training and skill development opportunities. Training should be provided by those with appropriate knowledge, skills and experience in OHS and training.  Management training is important to ensure that senior managers and operational managers are knowledgeable about their legislative obligations. They need to be capable of identifying and controlling hazards and risks in consultation with employees and understand their responsibilities. Managers should also participate in specific training regarding the hazards and risks in their area of responsibility. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.8.* | | | | | | | | | | | | |
| Does the organisation have a documented training needs analysis for all competency requirements including OHS? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have a documented training plan that reflects the identified training needs, including those prescribed by legislation? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation provide the required training to employees and managers? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have procedures in place to ensure that training is provided by persons with appropriate knowledge, skill and experience in OHS and training? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation keep accurate and up-to-date records of skills, experience, training and competency for all employees, including senior management? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Current and up-to-date training needs analysis for all employees, including managers * Annual training plan aligned to identified training needs * There are records of training provided that includes register of attendance, training content, participant assessment and evaluation * Documented procedures are in place for the selection and evaluation of trainers | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.4 Consultation**  Reference: *AS/NZS 4804:2001 p.18.*  The purpose of consultation is to involve employees in the OHS management system and to seek their opinion, suggestions and support for improving health and safety performance.  OHS legislation in some Australian States and Territories prescribes the method by which organisations should consult with employees in relation to health and safety matters. The two main methods are the establishment of designated work groups with elected health and safety representatives and OHS committees that include employee and management representatives. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.8*. | | | | | | | | | | | | |
| Does the organisation have procedures for employee involvement in OHS matters? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have an OHS committee that includes employee representatives from all work areas and management representatives with decision making authority? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation consult with employees prior to making decisions about changes to workplace or work practices? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation involve employees in the development, review and implementation of policies and procedures for hazard identification, risk assessments and risk control? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation consult with employees on ways to improve the health and safety practices or performance? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation provide employee and employer representatives with suitable training to enable them to consult with employees and actively participate in OHS committee meetings? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Issue resolution procedure documented * Minutes from OHS committee meetings * Notes from meetings with employees about changes to workplace or practice * Procedures for the election of health and safety representatives and/or committee representatives * Training attendance records for all employee representatives and management representatives | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.5 Communication**  Reference: *AS/NZS 4804:2001 p.21.*  The provision of appropriate information to the organisation’s employees, their representatives and other stakeholders encourages participation and understanding of the organisation’s efforts to improve its OHS performance. Effective two-way communication of plans, activities and results is an essential element of an OHS management system. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.8.* | | | | | | | | | | | | |
| Does the organisation have procedures for ensuring that pertinent OHS information is communicated to employees and other interested parties? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Communication plan developed that includes the information needs of various parties * Communication plan takes into account various communication methods e.g. types of disability, culturally and linguistic diverse backgrounds, etc * OHS committee meeting minutes * Email or hard copy bulletin to all employees * Intranet with links to OHS information * Posters * OHS activities and results included in Annual Report | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.6 Reporting**  Reference: *AS/NZS 4804:2001 p.22.*  Procedures for the reporting of information need to be established to ensure the OHSMS is monitored and performance improved. Reporting should include:   * Health and safety performance – monitoring against safety plans * Non-conformance with procedures * Incidents and events * Health and safety improvements * Health and safety audits * Hazard identification * Statutory reporting requirements * Stakeholder reporting | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.9.* | | | | | | | | | | | | |
| Does the organisation have procedures for the relevant and timely reporting of OHSMS performance? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have procedures for reporting incidents and system failures? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have procedures for reporting about hazard identification, risk assessments and preventive and corrective actions? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have procedures to ensure that all statutory reporting requirements are met? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Periodic reports on OHS performance against targets submitted to senior management, CEO and Board * Incident reports collated and discussed at staff meetings and OHS committee * Incident notifications submitted to WorkSafe and DHS in accordance with timelines and mandatory reporting procedures * Completed hazard reports * Reports on preventive and corrective actions and improvements made * Reports on health monitoring and surveillance * Reports on workplace monitoring (dust, noise, heat, cold) * Records of complaints and/or concerns from stakeholders | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.7 Documentation**  Reference: *AS/NZS 4804:2001 p.23.*  Documentation is a key part of the OHS management system and should be tailored to the needs of the organisation. The range and detail of the documented procedures that form part of the OHSMS are dependent on the complexity of the work, work methods and the level of skill and training of the people responsible for those roles and functions.  Where elements of the OHSMS are integrated into the organisation’s overall management system, the OHS documentation can be integrated into existing documentation. It is suggested that the organisation prepares and maintains a summary of the documentation relating to:   * OHS policy, objectives and targets * Description of the means of achieving the targets and objectives * Key roles and responsibilities * Provides direction to related documentation | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.9.* | | | | | | | | | | | | |
| Does the organisation prepare, implement and maintain information in a suitable format (i.e. print or electronic)? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation’s documentation describe the core elements of the management system and their interaction? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation’s documentation provide direction to related documentation? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * OHS folder (hard copy or electronic) containing documentation relating to the OHSMS * Intranet site with relevant information and links to related documents | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.8 Document and Data Control**  Reference: *AS/NZS 4804:2001 p.24.*  OHS documents are the main method by which an organisation can communicate to staff and stakeholders the standards that it sets for OHS performance and the expected behaviours and actions it requires for tasks to be fulfilled. As such, document control is crucial. The documents should be current, comprehensive and issued by an authoritative source. Documents can be in any medium as long as they are accessible, useful and easily understood. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.9.* | | | | | | | | | | | | |
| Does the organisation have procedures for controlling all relevant documents and data related to its OHSMS? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation’s document/data control system ensure that information is:   1. easily located with the current version available at all locations 2. periodically reviewed and revised by competent personnel 3. removed from all locations when outdated or superseded to protect against unintended use 4. appropriately archived to retain and retrieve documents and data for legal and/or knowledge purposes | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * All OHS related documents are in a consistent format and readily identifiable * All documentation is dated and only current versions are available * The filing and archive system allows for documents required for legal or knowledge purposes to be easily accessed or recalled * Documents relating to all aspects of the OHSMS such as incident reports, risk assessments, training records, monitoring data, supplier and contractor information * OHS audit reports and reports from internal reviews are included in the record management/document control system | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.9 Hazard identification, risk assessment and control of risks**  References:  *AS/NZS 4804:2001 p.25*  *AS/NZS ISO 31000:2009 Risk management — Principles and guidelines*  *HB 205 – 2004* *OHS Risk Management Handbook*  Hazard identification, risk assessment, risk control and review are an ongoing process that should be applied to all hazards in the workplace, in other locations where work is performed or workers are present.  The hazard identification, risk assessment and risk control process also applies to supplies and equipment that are brought into the workplace and should be expected of contractors working at your workplaces.  The process should be repeated when there are changes to the workplace environment, clients and personnel and when there is new knowledge on hazards, methods of control or changes to legislation and/or other requirements. | | | | | | | | | | | | |
| **3.9.1 Hazard identification**  Reference: *AS/NZS 4804:2001 p.25.*  Hazard identification is the process of finding all items, activities and situations, products and services that could give rise to injury or illness. When identifying hazards, consideration should be given to:   * the situations or events or combination of circumstances that give rise to injury or illness * the type of injury or illness that is possible *(cont. over)* * the way work is organised, managed, conducted and the circumstances that cause a deviation from the usual procedure or practice * past injuries, incidents, illnesses * the design of workplaces, work methods, plant and equipment * the purchase or hire of goods and services * the use of contractors * the inspection, testing, repair, maintenance and disposal of plant and equipment including vehicles.   Tools to assist with hazard identification include:   * Consultation with workers who do the job or have experience in the job, managers, customers and neighbours * Physical inspection of the workplace guided by a checklist * Review of records relating to past events or incidents such as incident reports, investigation reports, WorkSafe Improvement Notices or Entry Reports * Information or advice from specialists including plant and equipment manuals/specifications * Task analysis – the breaking down of tasks to its component parts to identify hazards in the individual elements. * Informal hazard analysis – asking ‘what if..?’ | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.10.* | | | | | | | | | | | | |
| Does the organisation undertake identification of hazards in an organised and systematic way considering all possible circumstances? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have a methodology that ensures a thorough and consistent approach to hazard identification? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation utilise information from multiple sources for effective hazard identification? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation ensure that hazard identification and risk assessment is undertaken by personnel who are competent in the use of its methodology? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation consult with representative employees (and contractors where required) when undertaking hazard identification? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Hazard identification inspection schedule * Documented hazard identification procedure or methodology * Pre-purchase guidelines for goods and services * Incident investigation reports * Creation of ‘hot spot’ maps from injury/incident reports * Job Safety Analysis (JSA)/safe work method statements completed by contractors prior to work commencing | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.9.2 Risk assessment**  Reference: *AS/NZS 4804:2001 p.25.*  Risk assessment is the process used to analyse and evaluate risk to determine the level of risk of injury or illness associated with each identified hazard for the purpose of control. Establishing the level of risk requires clear specification of the actual components of the risk. Risk level needs to be assessed separately for all foreseeable consequences for each sequence of events.  RISK LEVEL = CONSEQUENCES x EXPOSURE FREQUENCY x LIKELIHOOD/PROBABILITY | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.8.* | | | | | | | | | | | | |
| Does the organisation assess risk through the effective analysis and evaluation of identified hazards? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have procedures or methodology for the assessment of risk for identified hazards? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation consult with affected employees (and sub-contractors as required) when assessing risks? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Completed risk assessments with evidence of employee consultation * Written procedure for risk assessment with a prescribed methodology (such as use of risk matrix to establish risk level) * Documented evidence of risk analysis and evaluation for identified hazards * OHS committee meeting minutes record discussion about risk assessments | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.9.3 Risk control**  *HB* *205 – 2004 OHS Risk Management Handbook, p. 35-36*  *AS/NZS 24804:2001 p.28*  *‘Persons who control or manage matters that give rise or may give rise to risks to health and safety are responsible for eliminating or reducing those risks so far as is reasonably practicable.’ OHS Act 2004*, p.3.  In OHS risk reduction, risk mitigation and risk avoidance are usually referred to as risk control. Risk avoidance reduces the risk to zero. This can usually only be achieved by eliminating the hazards or ceasing the activity. Risk reduction/mitigation may involve reducing the likelihood of harm occurring or reducing the consequences if an unwanted event does occur. Risk controls are best implemented at the planning and design stages, but should be implemented as soon as practicable after a risk is identified.  A systems model of risk control should consider:   * Well designed physical environment * Competent and knowledgeable workers * Suitable rules and procedures * Fit-for-purpose equipment * Suitable organisation environment and management approach.   The most common approach to risk control employs a preferred order or hierarchy from most desirable to least desirable:   * Elimination * Substitution * Engineering controls (including isolation) * Administrative (procedural) controls * Personal protective equipment (PPE). | | | | | | | | | | | | |
| Audit Criteria  Reference: AS/NZS 4801:2001 p.10. | | | | | | | | | | | | |
| Does the organisation control risks by following with the hierarchy of control so far as reasonably practicable? | | | **Y** | | | | | **N** | | | **I** | |
| Does the organisation attempt to control risks at the source wherever possible? | | | **Y** | | | | | **N** | | | **I** | |
| Does the organisation monitor the effectiveness of risk controls? | | | **Y** | | | | | **N** | | | **I** | |
| Does the organisation review the appropriateness of risk controls on receipt of an incident/near miss or injury report? | | | **Y** | | | | | **N** | | | **I** | |
| Does the organisation review the appropriateness of risk controls when there are changes to legislation or standards? | | | **Y** | | | | | **N** | | | **I** | |
| Does the organisation consult with affected employees prior to implementing risk controls? | | | **Y** | | | | | **N** | | | **I** | |
| Possible Evidence:   * Meeting minutes record discussions about risk control options and implementation plans * Decision about risk controls are documented * Risk control plans or risk assessment worksheets are signed off when controls are implemented * There is a schedule for reviewing effectiveness of risk controls * Incident and injury reports include a section for the review/evaluation of current risk controls * Incident investigation reports include a documented review of risk control measures with recommendations for improvement | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.9.4 Evaluation**  The effectiveness of the organisation’s hazard/risk management methodology, processes and documentation should be reviewed from time to time to ensure that the process is being followed correctly, that the process is meeting the needs of the organisation and reflects changes in legislation and/or other requirements. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.11.* | | | | | | | | | | | | |
| Does the organisation do a planned review and evaluation of its methodology/processes for the identification of hazards and the assessment and control of risks? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation document the findings of the review/evaluation? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation make improvements or modifications to its methodology or processes as a consequence of the review/evaluation? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * The OHS Committee and/or management team do an evaluation of the organisation’s methodology, procedures and forms for the identification of hazards, assessment and control of risks every 2-3 years? * Archived versions of the organisation’s hazard/risk management program that demonstrate the process of evaluation and continuous improvement * Compliance reports to ascertain whether the organisation is meeting its legal and other requirements | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **3.10 Emergency preparedness and response**  *AS/NZS 2804:2001 p. 34-35.*  While the OHSMS focuses on prevention of illness, injury and damage to plant or the environment, unplanned events can have a detrimental effect on staff health, safety and wellbeing. The extent or nature of the emergency or disaster could also have long standing impact on the viability of the organisation.  *(cont. over)*  An organisation should identify all potential emergencies situations that will impact on its operations, including threats to power supply, communications, IT systems, pandemic, bushfire, flood, other natural disasters or emissions from neighbouring businesses.  Detailed emergency response and recovery plans should be developed in consultation with staff and local authorities, procedures developed and communicated to all stakeholders and periodically tested. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.8.* | | | | | | | | | | | | |
| Does the organisation have a list of all potential emergency situations that could affect its buildings, staff and services? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have emergency response procedures documented, communicated, practiced and reviewed? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have a disaster/critical incident recovery plan? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have a documented procedure to review, evaluate and improve its emergency response and recovery plans? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have procedures in place for immediate response, recovery and rehabilitation of injured or affected employees? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Emergency procedures in place, evacuation exercises are undertaken annually (or whenever it is appropriate to the organisation), wardens and control personnel appointed and trained * Bushfire plans developed and communicated to staff and clients in all bushfire prone areas * Business continuity plans in place for recovery and service continuity following emergency or disaster * First aid procedures and trained personnel available to respond to staff and client injuries * Processes in place to provide debriefing, rehabilitation and return to work support to injured or effected workers | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **4. MEASUREMENT AND EVALUATION**  Reference: *AS/NZS 4801:2001 p.11.*  An organisation should establish, implement and maintain procedures to monitor and measure health and safety risks. An organisation should also monitor and evaluate the performance of the OHS management system and conformance to the organisations targets, objectives, legislative and other requirements. | | | | | | | | | | | | |
| **4.1 Monitoring and measurement**  Reference: *AS/NZS 4804:2001 p.35-37.*  The effectiveness of the organisation’s chosen risk control measures should be monitored and evaluated. Appropriate equipment for monitoring and measurement related to health and safety should be identified, calibrated, maintained and stored correctly.  Organisations also need to identify those situations where employee health surveillance is required and implement appropriate systems. Where specified by legislation, employee health should be monitored and records kept for the specified time. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.11.* | | | | | | | | | | | | |
| Does the organisation have a process to identify those situations where employee health surveillance is required? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation retain records of health surveillance for the statutory period? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation provide employees with access to their own results? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation provide the appropriate equipment for monitoring and measuring health and safety risks that is calibrated, maintained and stored correctly? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation monitor those areas of the workplace that require exposure monitoring to verify effectiveness of the selected risk controls? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have an audit process in place to monitor performance of the OHSMS and evaluate conformance to the organisation’s objectives and targets? | | | **Y** | | | | **N** | | | | **I** | |
| Does the organisation have a process in place to ensure that the components of the OHSMS comply with relevant legislation? | | | **Y** | | | | **N** | | | | **I** | |
| Possible Evidence:   * Workplace inspection reports * Noise assessment reports of the workplace * Audiometric testing reports * Dust/contaminant sensors in place, maintenance and testing records available * Equipment calibration records * Internal audit program and audit schedule * Audit reports * Non-conformances addressed and signed off | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **4.2 Incident investigation, corrective and preventive action**  Reference: *AS/NZS 4804:2001 p.37-38.*  Corrective action is action taken after the event to correct any problem to ensure that a repetition will not occur. Preventive action is pro-active and involves taking steps before problems occur. An organisation’s management should ensure that these corrective and preventive actions have been implemented and that there is systematic follow-up to ensure their effectiveness.  The investigation of incidents provides an opportunity to examine many aspects of the operation of an organisation’s OHSMS. The focus of incident investigation is to identify system deficiencies and to identify control measures that will prevent a recurrence of the same incident. To prevent a recurrence of an incident, change is necessary. Management has a responsibility to authorise, develop and resource any required action. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.11.* | | | | | | | | | | | | |
| Does the organisation investigate all incidents (including near misses) to identify system deficiencies and to identify control measures that would prevent a recurrence? | | | | **Y** | | | | **N** | | | | **I** |
| Does the organisation make the necessary changes to its OHSMS and business operations to prevent recurrence? | | | | **Y** | | | | **N** | | | | **I** |
| Does the organisation’s management take responsibility to authorise, develop and resource appropriately to implement the required changes? | | | | **Y** | | | | **N** | | | | **I** |
| Possible Evidence:   * Completed risk assessments with corrective actions identified * Incident investigation procedure * Investigation reports, including close out of corrective actions * Evidence of discussion of corrective/preventive action at management meetings * OHS Committee meeting minutes recording discussion of corrective and prevention actions * OHSMS Audit Reports | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **4.3 Records and Records Management**  Reference: AS/NZS 4804:2001 p.24.  Records are the means by which the organisation can demonstrate compliance with its OHSMS. The collection and retention of all records created as part of the OHSMS can create a complex range of information from a number of sources. The effective management of these records is essential to the successful implementation of the OHSMS. Key features of a good OHS information management system include identification, collection, indexing, filing, storage, maintenance, retrieval, retention and access to pertinent OHSMS documentation and records. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.8.* | | | | | | | | | | | | |
| Does the organisation maintain OHS records that are legible, identifiable and traceable to the activity, product or service involved? | | | | **Y** | | | | **N** | | | | **I** |
| Does the organisation store and maintain OHS records in such a way that they are readily retrievable and protected against damage, deterioration or loss? | | | | **Y** | | | | **N** | | | | **I** |
| Possible Evidence:   * A records management system is in place for active and archived documents * Hazard identification/risk assessment reports * OHS training activities * Workplace inspection, equipment calibration and maintenance schedules * Incident reports * OHS audit reports – internal and external | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **4.4 OHSMS Audit**  Reference: *AS/NZS 4801:2001 p.12.*  Periodic audits of the OHSMS should be conducted by a competent person to determine whether the OHSMS:   1. conforms to planned arrangements for OHS management, including conformance to the relevant standard 2. has been properly implemented and maintained 3. is effective in meeting the organisation’s policy as well as objectives and targets for continual improvement | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.12.* | | | | | | | | | | | | |
| Does the organisation have an established OHS audit program using trained and competent auditors? | | | | **Y** | | | | **N** | | | | **I** |
| Does the organisation audit program evaluate whether the OHSMS meets the organisation’s policy, targets and objectives? | | | | **Y** | | | | **N** | | | | **I** |
| Does the organisation’s audit program evaluate whether the OHSMS meets the requirements for the Australian Standard (4801:2001)? | | | | **Y** | | | | **N** | | | | **I** |
| Possible Evidence:   * Audit schedule is documented and maintained * Audit reports are documented and non-conformances remedied | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |
| **5. MANAGEMENT REVIEW**  Reference: *AS/NZS 4804:2001 p.39.*  A continual improvement process should be applied to an OHSMS to achieve overall improvement in OHS performance.  Management review is the cornerstone of the management system, providing an opportunity for senior management to regularly review the operation of the system and its continuing suitability, to make adjustments and improve its effectiveness. | | | | | | | | | | | | |
| Audit Criteria  Reference: *AS/NZS 4801:2001 p.8.* | | | | | | | | | | | | |
| Does the organisation's senior management undertake a review of the OHSMS system to ensure its continuing suitability, adequacy and effectiveness at planned intervals? | | | | **Y** | | | | **N** | | | | **I** |
| Does the organisation's senior management evaluate the OHSMS systems effectiveness in meeting the organisation’s OHS policy, objectives and targets? | | | | **Y** | | | | **N** | | | | **I** |
| Does the organisation's senior management consider:   * findings of OHS audits * changes in legislation and other requirements * changes in activities of the organisation or locations of work * lessons from OHS incidents in its own organisation and in other organisations/industries * feedback from employees and other stakeholders | | | | **Y** | | | | **N** | | | | **I** |
| Does the organisation's senior management document its recommendations for improvements and allocate appropriate resources to make the necessary changes? | | | | **Y** | | | | **N** | | | | **I** |
| Possible Evidence:   * Senior management meetings at which the OHSMS is reviewed are scheduled at least annually * Minutes of meetings document OHSMS reviews and actions to be undertaken * OHS policy is updated with a review date and version control information * Action plans developed to implement changes to the OHSMS recommended by senior management | | | | | | | | | | | | |
| Observations and Comments: | | | | | | | | | | | | |

**OHS Self-assessment Audit complete on:**

**OHS Self-assessment Audit team:**

|  |  |
| --- | --- |
| **Management Representative**  **Name:**  **Signed:** | **Employee Representative**  **Name:**  **Signed:** |
| **Management Representative**  **Name:**  **Signed:** | **Employee Representative**  **Name:**  **Signed:** |
| **Management Representative**  **Name:**  **Signed:** | **Employee Representative**  **Name:**  **Signed:** |

**Results / Scoring**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Audit Element** | **# Audit Criteria** | **Y** | **N** | **I** | **# Yes answers per element** |
| 1. COMMITMENT AND POLICY | 2 |  |  |  |  |
| 2. PLANNING | 8 |  |  |  |  |
| 3. IMPLEMENTATION | 48 |  |  |  |  |
| 4. MEASUREMENT AND EVALUATION | 15 |  |  |  |  |
| 5. MANAGEMENT REVIEW | 4 |  |  |  |  |
|  |  | /77 | /77 | /77 |  |