



**AUDIT OF:** \_\_\_\_\_

**DATE OF AUDIT:** \_\_\_\_\_

**AUDITORS:**

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

**Audit Participants:**

Name	Position

**LIST OF DOCUMENTS REVIEWED:**

## Assessment and Rating Methodology

This report provides an overview of the OHS Management System specifying whether the system conforms to the standards objectives. Should there be an element that does not conform; the degree of non-compliance is stated.

<b>Result</b>	<b>Performance</b>
Conformance YES	An element is deemed to have met conformance when it can be demonstrated that the element requirements have been addressed.
Minor Non-conformance "NO - Minor"	Satisfies minimum requirements of the indicator only. Basic documentation can be produced if specified in the indicator. A minor non-conformance occurs if all requirements have only been partially implemented.
Major non-conformance - "NO - Major"	A major non-conformance is where many of the element requirements have not been met or are in the early stages of development. Areas of high risk that have not been effectively controlled would also constitute a major non-conformance.

For a more in depth review the identification of shortcomings are presented within the "Comments" section of Part B of this report. It is intended that this information will assist the organisation in the continuous improvement of its OHS system.

## PART A -Assessment and Rating Table – Summary of Findings

Element	Documentation Reviewed (Yes/No)	Conformance (Yes/No)	Major/Minor Non-Conformance
4.2 OHS Policy			
4.3.1 Planning Identification of hazards, assessment & control of risks.			
4.3.2 Legal & other Requirements			
4.3.3 Objectives & Targets			
4.3.4 OHS Management Plans			
4.4.11 Resources			
4.4.1.2 Responsibility & Accountability			
4.4.2 Training & Competency			
4.4.3.1 Consultation			
4.4.3.2 Communication			
4.4.3.3 Reporting			
4.4.4 Documentation			
4.4.5 Document and Data Control			
4.4.6 Hazard Identification, Risk Assessment and Control of Risks			
4.4.6.2 Hazard Identification			
4.4.6.3 Risk Assessment			
4.4.6.4 Control of Risks			
4.4.6.5 Evaluation			
4.4.7 Emergency Preparedness & Response			
4.5.1.1 Monitoring and Measurement			
4.5.1.2 Health Surveillance			
4.5.2 Incident Investigation, Corrective & Preventative Action			
4.5.3 Records & Records Management			
4.5.4 OHS Management System Audit			
4.6 Management Review			

## Part B – As 4801 Occupational Health and Safety Management Systems Audit

4.2 OHS Policy	AS/NZS 4801:2001	Rating
<p>Does the organisation have an Occupational Health and Safety Policy?</p> <p>Does the OHS Policy comply to the following:</p> <ul style="list-style-type: none"> <li>• appropriate to the nature and scale of the organisation's OHS risks;</li> <li>• demonstrates a commitment to establish measurable objectives and targets to ensure continued improvement aimed at eliminating work-related injury and illness;</li> <li>• includes a commitment to comply with relevant OHS legislation and other requirements to which the organisation subscribes;</li> <li>• documented, implemented, communicated to all employees and maintained;</li> <li>• accessible to all interested parties; and</li> <li>• Reviewed periodically.</li> </ul>	4.2	
<b>Comments:</b>		

4.3.1: Planning Identification of hazards, assessment and control of risks	AS/NZS 4801:2001	Rating
<p>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?</p> <p>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.</p>	4.3.1	
<b>Comments:</b>		

4.3.2 Legal and other Requirements	AS/NZS 4801:2001	Rating
<p>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?</p> <p>Has the organisation communicated relevant legal and other requirements to its employees?</p>	4.3.2	
<b>Comments:</b>		

4.3.3 Objectives and Targets	AS/NZS 4801:2001	Rating
<p>The organisation has established implemented and maintained documented OHS objectives and targets, at each relevant function and level within the organisation.</p> <p>When establishing and reviewing its objectives, the organisation has 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.</p>	4.3.3	
<b>Comments:</b>		

4.3.4 OHS Management Plans	AS/NZS 4801:2001	Rating
<p>Have OHS management plans been established and maintained that include the following:</p> <ul style="list-style-type: none"> <li>• Plans for achieving OHS objectives and targets;</li> <li>• Designation of responsibility for objectives and targets at relevant functions and levels of the organisation; and</li> <li>• The means and time frame by which objectives and targets are to be achieved.</li> </ul>	4.3.4	
<b>Comments:</b>		

4.4.1.1 Resources	AS/NZS 4801:2001	Rating
<p>Have management identified and provided resources to implement, maintain and improve the OHSMS, as required?</p> <ul style="list-style-type: none"> <li>• <i>Resources include human resources and specialised skills, technology and financial resources.</i></li> </ul>	4.4.1	
<b>Comments:</b>		

4.4.1.2 Responsibility and Accountability	AS/NZS 4801:2001	Rating
<p>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?</p> <p>Where contractors are involved, these areas of accountability and responsibility shall be clarified with respect to those contractors.</p> <p>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:</p> <ul style="list-style-type: none"> <li>• ensuring that the OHSMS requirements are established, implemented and maintained in accordance with this Standard;</li> <li>• Reporting on the performance of the OHSMS to top management for review and as a basis for improvement of the OHSMS.</li> </ul>	4.4.1	
<b>Comments:</b>		

4.4.2 Training and Competency	AS/NZS 4801:2001	Rating
<p>The organisation has, in consultation with employees, identified training needs in relation to performing work activities competently, including OHS training.</p> <p>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.</p> <p>Procedures are developed for providing OHS training. These procedures take into account:</p> <ul style="list-style-type: none"> <li>• The characteristics and composition of the workforce which impact on occupational health and safety management and</li> <li>• Responsibilities, hazards and risks.</li> <li>• The organisation ensures that all personnel (including contractors and visitors) have undertaken training appropriate to the identified needs.</li> <li>• Training shall be carried out by persons with appropriate knowledge, skills and experience in OHS and training.</li> </ul> <p><i>Note: Personnel should be taken to include employees, contractors, non-employees such as unpaid work-experience staff and visitors.</i></p>	4.4.2	
<b>Comments:</b>		



4.4.3.1 Consultation	AS/NZS 4801:2001	Rating
<p>Are there documented procedures, agreed to by the employees, for employee involvement and consultation in OHS issues?</p> <p>Are employee involvement and consultation arrangements documented and made available to interested parties?</p> <p>Are employees:</p> <ul style="list-style-type: none"> <li>• Involved in the development of policies and procedures to manage risks?</li> <li>• Consulted where there are any changes that affect workplace health and safety?</li> <li>• Represented on health and safety matters?</li> <li>• Informed of who their employee OHS representative(s) is/are</li> <li>• Aware of whom their OHS representative and management representatives are?</li> </ul>	4.4.3	
<b>Comments:</b>		

4.4.4 Documentation	AS/NZS 4801:2001	Rating
<p>Has the organisation established, implemented and maintained information to:</p> <ul style="list-style-type: none"> <li>• Describe the core elements of the management system and their interactions;</li> <li>• Provide direction to related documentation.</li> </ul>	4.4.5	
<b>Comments:</b>		

4.4.5 Documentation and Data Control	AS/NZS 4801:2001	Rating
<p>Has the organisation established, implemented and maintained procedures for controlling all relevant documents and data required by this standard to ensure that:</p> <ul style="list-style-type: none"> <li>• they can be readily located;</li> <li>• periodically reviewed;</li> <li>• current versions are accessible at all locations</li> <li>• obsolete documents and data are promptly removed; and</li> <li>• Archival documents and data are retained for legal or knowledge preservation.</li> </ul>	4.4.5	
<b>Comments:</b>		

4.4.6 Hazard Identification, risk assessment and control of risks	AS/NZS 4801:2001	Rating
<p>The organisation has established, implemented and maintained documented procedures to ensure that the following are conducted:</p> <ul style="list-style-type: none"> <li>• hazard identification;</li> <li>• hazard/risk assessment;</li> <li>• control of hazards/risks; and then</li> <li>• evaluation of steps a – c.</li> </ul>	4.4.6	
<b>Comments:</b>		

4.4.6.2 Hazard Identification	AS/NZS 4801:2001	Rating
<p>When identifying hazards, has the organisation taken into account;</p> <ul style="list-style-type: none"> <li>• the situation or events or combination of circumstances that has the potential to give rise to injury or illness;</li> <li>• the nature of potential injury or illness relevant to the hazard;</li> <li>• past injuries, incidents and illnesses;</li> <li>• Further consideration has been given to:               <ul style="list-style-type: none"> <li>○ work organisation;</li> <li>○ work design;</li> <li>○ work systems;</li> <li>○ the purchase of goods and services;</li> <li>○ Hazard associated with contractual arrangements.</li> </ul> </li> <li>• The inspection, maintenance, testing repair and replacement of plant and equipment.</li> </ul>	4.4.6	
<b>Comments:</b>		

4.4.6.3 Risk assessment	AS/NZS 4801:2001	Rating
<p>Has the organisations hazards/risks been assessed and have control priorities been assigned, based on the established level of risk.</p>	4.4.6	
<b>Comments:</b>		

4.4.6.4 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. <i>Elimination, Substitution, Engineering, Administration and PPE.</i>	4.4.6	
<b>Comments:</b>		

4.4.6.5 Evaluation	AS/NZS 4801:2001	Rating
Is there a process of evaluation of hazard/risk identification, assessment and control?	4.4.6	
<b>Comments:</b>		

4.4.7 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	
<b>Comments:</b>		

4.5.1.1 Monitoring and measurement	AS/NZS 4801:2001	Rating
<p>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:</p> <p>Has equipment for monitoring and measuring health and safety risks been identified, calibrated, maintained and stored as necessary?</p> <p>Have records of such monitoring and measuring procedures.</p> <ul style="list-style-type: none"> <li>• With regard to OHSMS the organisation has established implemented and maintained procedures for measuring:</li> <li>• Performance effectiveness of relevant controls conformance with organisations targets and objectives; and</li> <li>• Compliance with relevant OHS legislation.</li> </ul>	4.5.1	
<b>Comments:</b>		

4.5.1.2 Health surveillance	AS/NZS 4801:2001	Rating
<p>Has the organisation identified those situations where employee health surveillance should occur?</p> <p>Is the health of employees exposed to specific hazards monitored, where required by legislation?</p>	4.5.1	
<b>Comments:</b>		

4.5.2 Incident investigation, corrective and preventative action	AS/NZS 4801:2001	Rating
<p>Has the organisation implemented and recorded any changes in the OHSMS procedures resulting from incident investigations and corrective and preventative actions for:</p> <ul style="list-style-type: none"> <li>• responding to and taking action to minimise any harm caused from incidents; (PTSD)</li> <li>• investigation and responding to system failures; and</li> <li>• Initiating and completing appropriate corrective and preventative action.</li> </ul> <p>Has the organisation established a system of implementation and recording changes in OHSMS procedures resulting from incident investigations, preventative and corrective action?</p>	4.5.2-3	
<b>Comments:</b>		

4.5.3 Records and records management	AS/NZS 4801:2001	Rating
<p>The organization shall establish, implement and maintain procedures for the identification, maintenance and disposition of OHS records, as well as the results of audits and reviews.</p> <p>OHS records shall be legible, identifiable and traceable to the activity, product or service involved. OHS records shall be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times shall be established and recorded.</p> <p>Records shall be maintained, as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this Standard.</p>	4.5.2-3	
<b>Comments:</b>		

4.5.4 OHSMS Audit	AS/NZS 4801:2001	Rating
<p>Has the organisation established, implemented and maintained an audit program and procedures for periodic OHSMS Audits – carried out by a competent person.</p> <p>Determine whether the OHSMS:</p> <ul style="list-style-type: none"> <li>• Conforms to planned arrangements for OHS management including the requirements of this Standard;</li> <li>• has been properly implemented and maintained; and</li> <li>• is effective in meeting the organisation's policy as well as objectives and targets for continual OHS improvement; and</li> <li>• provide information on the results of audits to management, and employees</li> </ul>	4.5.4	
<b>Comments:</b>		

4.6 Management Review	AS/NZS 4801:2001	Rating
<p>Do the organisation's senior management perform management reviews of the OHSMS, to ensure its suitability, adequacy and effectiveness?</p> <p>Does the management review process ensure that the necessary information is collected to allow management to carry out the above evaluation?</p>	4.6	
<b>Comments:</b>		