

AS/NZS 4801

Self-assessment questionnaire



How ready are you?

This document has been designed to assess your company's readiness for a AS/NZS 4801 Occupational Health & Safety Management System (OH&SMS) certification assessment. By completing this questionnaire your results will allow you to self-assess your organization and identify where you are in relation to the main requirements of the standard.

Commitment and policy

Is there a published OH&S policy that has been communicated to all personnel working for, or on behalf of, the organization?

Is OH&S recognized as an integral part of the business performance?

Does the organization recognize the need to achieve a high level of OH&S performance with compliance to legal requirements as a minimum goal, and to press for continual cost-effective improvement in its performance?

Does the organization commit itself to providing adequate and appropriate resources to implement the policy?

Does it commit itself to setting and achieving its OH&S objectives?

- Does it commit itself to placing the management of OH&S as a prime responsibility with line managers, from the most senior executive down to first-line supervisors?
- Does it commit itself to ensuring that the policy is understood, implemented and maintained at all levels in the organization?
- Does it recognize the need to gain the commitment of employees to the policy by encouraging their active participation?
- Does it commit itself to periodically reviewing the policy and management system and to carry out audits to verify compliance with the policy?
- Does it commit itself to ensuring that personnel working for, or on behalf of, the organization receive appropriate training and are competent to carry out their duties and responsibilities?

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Planning

A comprehensive risk assessment programme together with a hierarchy of control measures which covers all activities is in place

A risk control action plan is in place to deal with those risks not judged to be acceptable

Legal and other requirements which apply to activities are identified and the relevant documents are held

Overall plans and objectives are in place for achieving OH&S policy

Arrangements are in place for ensuring that there is sufficient knowledge, skills and experience available to manage OH&S issues effectively

Implementation and operation

Operational plans for implementing legal and other requirements are in place

Operational control activities are in place for ensuring that OH&S policy is implemented and effectively managed

A top manager is allocated with full responsibility for OH&S throughout the organization

There is clear responsibility in the management structure

There is clear accountability in the management structure

There is clear delegation of authority in the management structure

All necessary resources are allocated

All personnel working for, or on behalf of, the organization are aware of their individual responsibilities

All personnel working for, or on behalf of, the organization are aware of their responsibility to others who may be affected by their activities

All personnel working for, or on behalf of, the organization are aware of the consequences of their actions or inactions

A training, awareness and competence assessment programme is in place for personnel working under the control of the organization

A system for effective, open two-way communication of OH&S information is in place with all interested parties

Specialist (in-house or external) advice/services are made available, where appropriate

Workers (including contractors) and external interested parties are fully involved and consulted as appropriate

Implementation and operation – *continued*

An adequate documentation system is in place

A system is in place for ensuring documents are kept up to date and relevant contingency plans are in place for emergencies, including arrangements for evacuating the site, liaison with the emergency services as necessary

Emergency response takes into account the needs of relevant interested parties and is periodically tested

Support

Has the organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&SMS?

Do you have a defined and documented process for determining competence for OH&SMS roles?

Has the organization ensured that those persons who can affect the performance and effectiveness of the OH&SMS are competent on the basis of appropriate education, training, or experience?

Has the documented information required by the standard and necessary for the effective implementation and operation of the OH&SMS been established?

Is the documented information controlled in a way that it is available and adequately protected, distributed, stored, retained and under change control, including documents of external origin required by the organization for the OH&SMS?

Checking

Arrangements are in place for measuring, auditing and reviewing OH&S performance to identify any shortfalls and implementing necessary corrective and preventive actions

Arrangements are in place for implementing, monitoring and reviewing corrective and preventive actions

OH&S performance and the effectiveness of controls is routinely measured

Proactive measures are used

Reactive measures are used

Monitoring OH&S performance to ensure policy, objectives and targets are being met is taking place

Where performance is not meeting criteria, the root causes are identified and appropriate corrective and preventive action is taken

Checking – *continued*

- Evaluation of compliance against legal and other requirements is undertaken periodically
- There is a procedure for reporting, investigating and correcting any health and safety incidents
- Records of compliance of the management system are maintained

Audit

- Programmed audits of the OH&SMS are taking place
- Staff conducting audits are competent to perform this task
- Staff conducting audits are independent from the activity being audited
- Audits verify that the organization is fulfilling its OH&S obligations
- Audits identify strengths and weaknesses in the OH&SMS
- Audits verify that the organization is achieving its OH&S performance targets
- Audit results are communicated to all relevant personnel
- Audit results are the basis for corrective action

Management Review

- Programmed reviews of the OH&SMS are taking place
- The review considers the overall performance of the OH&SMS
- The review considers the performance of the individual elements of the system
- The review considers the findings of audits and considers internal and external factors affecting OH&S management
- The review is forward-looking, adopting a proactive approach towards improving the OH&SMS and business performance
- The review considers the results of participation and consultation with all interested parties as appropriate
- The review identifies decisions and actions relevant to improve OH&S performance, policy and objectives.

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