

OH&S MANAGEMENT SYSTEM CHECKLIST - AS 4801:2001

(STATUS A = Acceptable; N = Not Acceptable; N/A = Not Applicable)

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
	4.1 General Requirements	Has the organisation an established and maintained OHSMS		
	4.2	OHS policy		
1.	4.2	Is there an OH&S policy authorised by the organisation's top management that clearly states overall OHS objectives and demonstrates a commitment to improving OHS performance.		
2.	4.2 (a)	Is the policy appropriate to the nature and scale of the organisation's OHS risks.		
3.	4.2 (b)	Does the policy shall include the commitment to establish measurable objectives and targets to ensure continued improvement aimed at elimination of work-related injury and illness.		
4.	4.2 (c)	Does the policy include a commitment to comply with relevant OHS legislation and with other requirements placed upon the organisation or to which the organisation subscribes.		
5.	4.2 (d)	Is the policy documented, implemented, maintained and communicated to all employees.		
6.	4.2 (e)	Is the policy available to interested parties.		
7.	4.2 (f)	Is the policy reviewed periodically to ensure it remains relevant and appropriate to the organisation.		
	4.3	Planning		
8.	4.3.1	Planning Identification of hazards, assessment and control of risks Has the organisation established, implemented and maintained documented procedures to identify the OHS hazards/risks and access and control the associated hazard/risks of activities, products and services over which an organisation has control or influence, including activities, products or services of sub-contractors and suppliers.		
9.	4.3.1 (cont.)	Has the organisation developed its methodology for hazard identification, hazard/risk assessment and control of hazards/risks, based on its operational experience and its commitment to eliminate workplace illness and injury. Is the methodology kept up-to-date.		
10.	4.3.2	Legal 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.		
11.	4.3.2 (cont.)	Does the organisation keep this information up-to-date. Is relevant information on legal and other requirements communicated to employees.		
12.	4.3.3	Objectives & Targets Has the organisation established, implemented and maintained documented OHS objectives and targets, at each relevant function and level within the organisation. Are the organisations objectives and targets consistent with the OHS policy, including the commitment to measuring and improving OHS performance.		
13.	4.3.4	OHS Management Plans Has the organisation established and maintained management plans for achieving its objectives and targets. Do they include: a) designation of responsibility for achievement of objectives and targets at relevant functions and levels of the organisation; and b) outlining the means and timeframe by which objectives and targets are to be achieved.		
14.	4.3.4 (cont.)	Are procedures established to ensure that current plans are reviewed, and if necessary amended to address such changes at regular and planned intervals, and whenever there are changes to the activities, products, or		

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		services of the organisation or significant changes in operating conditions.		
	4.4.	Implementation		
	4.4.1	Structure and responsibility		
15.	4.4.1.1	Resources Has management identified and provided the resources required to implement, maintain, and improve the OHSMS. Do resources include human resources and specialised skills, technology and financial resources.		
16.	4.4.1.2	Responsibility & Accountability Does the organisation define, document and communicate the areas of accountability and responsibility (including those imposed by OHS legislation) of all personnel involved in the OHSMS's operation. Where sub-contractors are involved, are these areas of accountability and responsibility clarified with respect to those sub-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: a) ensuring that OHSMS requirements are established, implemented and maintained in accordance with this Standard; and b) reporting on the performance of the OHSMS to top management for review and as a basis for improvement of the OHSMS.		
	4.4.2	Training and competency		
17.	4.4.2	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.		
18.	4.4.2 (cont)	Have procedures been 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.		
19.	4.4.2 (cont)	Does the organisation ensure that all personnel (including sub-contractors and visitors) have undertaken training appropriate to the identified needs.		
20.	4.4.2 (cont)	Is the training carried out by persons with appropriate knowledge, skills and experience in OHS and training.		
	4.4.3	Consultation, communication and reporting		
21.	4.4.3.1	Consultation Are employees involved in the development, implementation and review of policies and procedures hazard identification, hazard/risk assessment and control of hazards/risks.		
22.	4.4.3.1 (cont.)	Are employees consulted where there are any changes that affect workplace OHS.		
23.	4.4.3.1 (cont.)	Do employees select those who will represent them on OHS matters.		
24.	4.4.3.1 (cont.)	Are employees informed as to who is/are their employee OHS representative(s) and specified management representative(s).		
25.	4.4.3.1 (cont.)	Are there documented procedures, agreed to by employees, for employee involvement and consultation in OHS issues. Is information regarding the		

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		arrangements made available to interested parties.		
26.	4.4.3.1 (cont.)	Do those representing the employees and employer receive appropriate training to undertake effectively their involvement in the development, implementation and review of OHS arrangements.		
27.	4.4.3.2	Communication Does the organisation have procedures for ensuring that pertinent OHS information is communicated to and from employees and other interested parties.		
28.	4.4.3.3	Reporting Are appropriate procedures for relevant and timely reporting of information established to ensure the OHSMS is monitored and performance improved.		
29.	4.4.3.3 (cont.)	Do reporting procedures cover the following: - OHS performance reporting (including results of OHS audits and reviews). - Reporting of incidents and system failures. - Reporting on hazard identifications. - Reporting on hazard/risk assessment. - Reporting on preventive and corrective action. - Statutory reporting requirements.		
	4.4.4	Documentation		
30.	4.4.4	Does the organisation establish, implement and maintain 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.		
	4.4.5	Document & Data Control		
31.	4.4.5	Has the organisation established, implemented and maintained procedures for controlling all relevant documents and data required by this Standard.		
32.	4.4.5 (cont.)	a) Can documents and data readily located.		
33.	4.4.5 (cont.)	b) Are documents and data periodically reviewed, revised as necessary and approved for adequacy by competent and responsible personnel.		
34.	4.4.5 (cont.)	c) Are current versions of documents and data available at all locations where operations essential to the effective functioning of the OHSMS are performed.		
35.	4.4.5 (cont.)	d) Are obsolete documents and data promptly removed from all points of issue and points of use or otherwise assured against unintended use.		
36.	4.4.5 (cont.)	e) Are archival documents and data retained for legal or knowledge preservation purposes or both, suitably identified.		
37.	4.4.5 (cont.)	Have procedures and responsibilities been established and maintained concerning the creation and modification of the various types of documents and data and does this preclude the use of obsolete documents.		
	4.4.6	Hazard identification, risk assessment and control of risks		
38.	4.4.6.1	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.		
39.	4.4.6.2	Hazard Identification Does the identification of hazards in the workplace shall 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		

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40.	4.4.6.2 (cont.)	c) past injuries, incidents and illnesses. Does this identification process also include consideration of: i) the way work is organised, managed, carried out and any changes that occur in this; ii) the design of workplaces, work processes, materials, plant and equipment; iii) the fabrication, installation and commissioning and handling and disposal (of materials, workplaces, plant and equipment); iv) the purchasing of goods and services; v) the contracting and subcontracting of plant, equipment, services and labour, including contract specification and responsibilities to and by contractors; and vi) the inspection, maintenance, testing, repair and replacement (of plant and equipment).		
41.	4.4.6.3	Risk assessment Are all risks associated with each identified hazard assessed and have risk control priorities been assigned, based on the established level of risk.		
42.	4.4.6.4 Risk Control	Risk Control Are all 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.		
43.	4.4.6.5 Evaluation	Evaluation Are the hazard identification, hazard/risk assessment and control processes of hazards/risk subjected to a documented evaluation of effectiveness and modified as necessary.		
	4.4.7	Emergency preparedness and response		
44.	4.4.7	Are all potential emergency situations identified and emergency procedures documented for preventing and mitigating the associated illness and injury. Has the organisation periodically tested such procedures.		
	4.5	Measurement and evaluation		
	4.5.1	Monitoring and measurement		
45.	4.5.1.1	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.		
46.	4.5.1.1 (cont.)	Is appropriate equipment for monitoring and measurement related to health and safety risks identified, calibrated, maintained and stored as necessary. Are records of this process retained according to the organisation's procedures.		
47.	4.5.1.1 (cont.)	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.		
48.	4.5.1.2	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.		
	4.5.2	Incident investigation, corrective and preventative action		
49.	4.5.2	Has the organisation established, implemented and maintained procedures		

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		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.		
	4.5.3	Records and records management		
50.	4.5.3	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.		
	4.5.4	OHMS audit		
51.	4.5.4.	Has the organisation shall 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 the current version of AS/NZS 4801; 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. Do the audit procedures cover the scope, frequency, methodologies and competencies, as well as the responsibilities and requirements for conducting audits and reporting results.		
	4.6	Management review		
52.	4.6	Has the organisation's top management, at intervals that it determines, reviewed the OHSMS, to ensure its continuing suitability, adequacy and effectiveness. Does the management review process ensure that the necessary information is collected to allow management to carry out this evaluation and is this review documented. Has management reviewed the continued relevance of, and changed 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.		