

ASSESSMENT REVIEW REPORT

OHSAS 18001: 1999



Name of Applicant (Organisation Name)
Date of Completion (or amendment date)

Notes:

1. Applicant to complete all shaded areas
2. The report is designed to be word processed but hand written responses are acceptable.
3. Provide brief explanations to explain conformance in all areas.
4. The reference numbers (in brackets) refer to the OHSAS 18001 clauses.
5. The clauses defined within this report must be implemented.
6. Assistance in completing this report and ensuring you have the correct documentation may be found in guidance boxes. N.B Limited guidance is provided with this version but will be developed in due course. Because of the similarities with ISO 14001 users are directed to review the guidance found in that section where similar clauses are found.

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1. General Requirements (4.1)

Has the organisation ensured that all the systems required by OHSAS 18001 have been fully implemented and are maintained?

Guidance

This section may be best answered at the end of the Assessment Review report to ensure that all aspects of the requirements have been fully implemented.

(Explain how you meet this requirement in this space)

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2. OH&S Policy (4.2)	
<p>Have you an appropriate and documented OH&S Policy that has been authorised by top management and communicated to all personnel and includes the following statements:</p> <p style="padding-left: 40px;">Overall health & Safety Objectives (4.2)</p> <p style="padding-left: 40px;">Commitment to continual improvement (4.2.b)</p> <p style="padding-left: 40px;">Commitment to comply with relevant OH&S legislation and regulations (4.2.c)</p>	<p><u>Guidance</u> Your OH&S policy (statement of your commitment to OH&S matters) will need to meet the requirements stated but you should also try to ensure it reflects what you want to tell your customers about your commitment to them.</p> <p>It will need to be the "springboard" for your commitment to your OH&S objectives.</p>
<p>(Explain how you meet this requirement in this space)</p>	
<p>Is the policy made available to all interested parties? (4.2.f)</p>	<p><u>Guidance</u> Your OH&S policy must be made available. Consider your website.</p>
<p>(Explain how you meet this requirement in this space)</p>	
<p>Is the policy reviewed periodically to ensure that it remains relevant and appropriate to the organisation? (4.2.g)</p>	<p><u>Guidance</u> Your OH&S policy must be reviewed by top management.</p>

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3. Planning (4.3)

Has the organisation ensured that they have established and maintained procedures for the ongoing identification of hazards, the assessment of risks and the implementation of necessary control measures?

The above must include:

- Routine & non-routine activities
- Activities of all people with access to the workplace
- All facilities at the workplace

(4.3.1)

Guidance

Can you identify procedure to address all the areas?

(Explain how you meet this requirement in this space)

The results of assessments and the effects of controls taken must be considered when setting the OH&S objectives. (These shall be documented and maintained current) (4.3.1)

Guidance

(Explain how you meet this requirement in this space)

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3. Planning (4.3)

Has the methodology for hazard identification and risk assessment:

- Been defined with respect to its scope, nature and timing to ensure it is proactive.
- Provided for the classification of risks and identification of those that are to be eliminated or controlled by measures such as objectives or programmes etc.
- Been consistent with operating experience and the capability of risk control measures used
- Provided input into the choice of facility requirements, the identification of training needs and / or the development of operational controls
- Provided for the monitoring of actions to ensure effectiveness and timeliness of their implementation.

(4.3.1)

Guidance

(Explain how you meet this requirement in this space)

Has a procedure been established and maintained to show how legal and other OH&S requirements are relevant to the organisation. Are legal and other OH&S requirements kept current and made known to all relevant parties. (4.3.2)

Guidance

Consider preparing a register of legislation and regulation that are relevant and add information to explain how each one should be considered and affects the organisation.

(Explain how you meet this requirement in this space)

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3. Planning (4.3)	
<p>Has the organisation established and documented OH&S objectives which are aligned with the OH&S Policy, are quantifiable where possible, to be used for continual improvement purposes.</p> <p>Note: When considering objectives the organisation must have considered the legal and other requirements, hazards and risks, technological options, financial, operational and business requirements as well as the views of interested parties. (4.3.3)</p>	<p><u>Guidance</u> Consider the stated ambitions of the OH&S Policy and define how these can be translated into measurable (qualitative / quantitative) objectives and the action required to achieve them together with responsibilities and timescales.</p>
<p>(Explain how you meet this requirement in this space)</p>	
<p>Has the organisation devised an OH&S programme that is reviewed regularly to identify the actions and designated responsibilities for achieving its OH&S objectives within a defined timescale. (4.3.4)</p>	<p><u>Guidance</u> Is there an overall programme of activity defined (perhaps with sub-programmes where required)</p>
<p>(Explain how you meet this requirement in this space)</p>	

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4. Implementation & Operation (4.4)	
<p>Has the organisation ensured that the roles, responsibilities and authorities of personnel who manage, perform and verify activities with respect to OH&S been documented and communicated? (4.4.1)</p>	<p><u>Guidance</u> These could be separately defined of may be part of the procedures / manuals.</p>
<p>(Please explain how you meet this in this space)</p>	
<p>Have management provided sufficient resources to ensure the effective implementation and improvement of the OH&S management system? (4.4.1)</p>	<p><u>Guidance</u> This is a judgement based upon the ability of the organisation to meet its obligations successfully.</p>
<p>(Please explain how you meet this in this space)</p>	
<p>Have management appointed a OH&S representative who is responsible for ensuring the OH&S management system is fully implemented in accordance with OHSAS 18001 (in respect of this assessment review) and do he/she report OH&S performance to top management? (4.4.1)</p>	<p><u>Guidance</u> Who reports directly to management regarding OH&S / ISO 19001 performance?</p>
<p>(Please explain how you meet this in this space)</p>	
<p>Do management personnel, at all levels, demonstrate their commitment to the continual improvement of the OHSAS management system? (4.4.1)</p>	<p><u>Guidance</u> A judgement is required? Do management demonstrate this?</p>
<p>(Please explain how you meet this in this space)</p>	

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4. Implementation & Operation (4.4)	
<p>Are personnel competent by virtue of having the appropriate education, training and / or experience to perform tasks in the workplace? (4.4.2)</p>	<p><u>Guidance</u> Have there been any competence survey / appraisals undertaken?</p>
<p>(Please explain how you meet this in this space)</p>	
<p>Has the organisation established procedures to ensure that its employees are aware of the following:</p> <ul style="list-style-type: none"> • The importance of conforming to the OH&S policy, procedures and requirements • The potential and actual consequences of their work activities and the OH&S benefits of improved personal performance • Their roles and responsibilities to meet the requirements of the OH&S policy, procedures and other OH&S management system requirements including emergency preparedness and response requirements. <p>(4.4.2)</p>	<p><u>Guidance</u> How are these communicated?</p>
<p>(Please explain how you meet this in this space)</p>	
<p>Do training procedures take into account differing levels of responsibility, ability, literacy and risk? (4.4.2)</p>	<p><u>Guidance</u></p>
<p>(Please explain how you meet this in this space)</p>	

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4. Implementation & Operation (4.4)	
Have you procedures to ensure that pertinent OH&S information is communicated to and from employees and other interested parties? (4.4.3)	<u>Guidance</u> Has this been incorporated into a procedure? Use of newsletter, emails, briefing etc.
(Please explain how you meet this in this space)	
Are employees involved and consulted with and the arrangements documented as well as interested parties informed with respect to OH&S? (4.4.3)	<u>Guidance</u> Is the involvement of the H&S Representatives from the workforce documented?
(Please explain how you meet this in this space)	
Is it ensured that employees are: <ul style="list-style-type: none"> • Involved in the development and review of policies and procedures to manage risks. • Consulted with regard to changes in workplace and health & safety • Informed as to who their OH&S representatives are. (4.4.3)	<u>Guidance</u>
(Please explain how you meet this in this space)	

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4. Implementation & Operation (4.4)

Has the organisation prepared documentation that describes the core elements of the management system and the interaction of the core elements as well as providing direction to other related documentation? (4.4.4)

Guidance
Describe the system or consider a flowchart showing the overall process of the OH&S. Consider the elements required by this Assessment Review Report for inclusion. E.g. communication, corrective action etc.

Has the organisation implemented procedures to control documents, data and records required by the OHSAS 18001 (specifically required by this Assessment Review)? Specifically does this ensure:

- They can be located
- Periodically reviewed and approved for adequacy by authorised personnel
- Current versions are made available where required
- Obsolete are controlled to avoid inadvertent use
- Archived documentation is retained and identified

Guidance
Procedures required for all the areas listed.

(4.4.5)

(Please explain how you meet this in this space)

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4. Implementation & Operation (4.4)	
<p>Has the organisation planned activities to include control measures which are identified with operations and activities associated with risks?</p> <p>Specifically this must include:</p> <ul style="list-style-type: none"> • Ensuring documented procedures, including operating criteria, are implemented where their absence might lead to deviations from the OH&S policy and objectives • Ensuring documented procedures related to risks of purchased goods, equipment and services and communicating relevant procedures to suppliers and contractors • Ensuring documented procedures for the design of workface, processes, installations, machinery, operating procedures and work organisation. (Including adaptation to human capabilities to reduce OH&S risks at their source). <p>(4.4.6)</p>	<p style="text-align: center;"><u>Guidance</u></p>
<p>(Please explain how you meet this in this space)</p>	
<p>Has the organisation ensured that plans and procedures are available to identify actions to be taken in response to incidents and emergency situations and the steps to be taken to mitigate illness and injury? (4.4.7)</p>	<p style="text-align: center;"><u>Guidance</u></p>
<p>(Please explain how you meet this in this space)</p>	

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4. Implementation & Operation (4.4)

Does the organisation ensure that it has reviewed (including periodic testing) its emergency preparedness, response plans and procedures (especially after occurrence of an incident or emergency situation). (4.4.7)

Guidance

(Please explain how you meet this in this space)

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5. Checking & Corrective Action (4.5)

Has the organisation established and maintained procedures to monitor and measure the performance of the OH&S on a regular basis including the following aspects:

- Consider qualitative (High, Medium, Low) and quantitative (actual number) measurements.
- The organisations success in meeting its OH&S objectives.
- The performance of the OH&S management programme, operational criteria and meeting legislation and regulatory requirements.
- Accidents, ill health, incidents (including near misses) and other historical OH&S performance.
- The recording of data and results to assist with providing corrective and preventive action analysis.
- The calibration and maintenance of equipments required for any measurements applicable and retention of the records of calibration.

(4.5.1)

Guidance

Procedures required.

(Please explain how you meet this in this space)

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5. Checking & Corrective Action (4.5)

Has the organisation established and maintained procedures for defining responsibility and authority for the following aspects:

- The handling and investigation of accidents, incidents and non-conformances
- Taking action to mitigate any consequences of accidents, incidents and non-conformances.
- Confirming the effectiveness of the corrective and preventive actions taken.

Does the organisation review these through risk assessment: and implement and record any changes in documented procedures?
(4.5.2)

Guidance
Procedures required.

(Please explain how you meet this in this space)

Has the organisation established and maintained procedures for the identification, maintenance, archive periods and disposal of OH&S records to prove conformance to OHSAS 18001 (as per this assessment review report) including audits and reviews? (4.5.3)

Guidance
The OHSAS records must be legible, identifiable and traceable to the activities involved.
They must be stored to ensure that they are available and protected.

(Please explain how you meet this in this space)

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5. Checking & Corrective Action (4.5)

You must ensure that you have procedures for internal auditing. Internal audits must be planned and executed to verify compliance of your systems with the requirements of OHSAS 18001. You must comply with the following (4.5.4):

- The audit frequencies will be dependent on the likelihood of those areas being problematic i.e. a risk assessment of the relevant activities.
- The Internal Auditor undertaking the audits will be competently trained and independent of the activities being audited.
- Audit Reports must be produced identifying any non-conformances detected and those managers responsible must take action to correct the problems and their causes.
- Audit problems that are detected must be followed-up to ensure that they are properly dealt with.

Guidance

You must undertake internal audits. The number or frequency is your decision but should be sufficient to enable you to be satisfied the system is operating to the requirements of OHSAS 18001.

(Please explain how you meet this in this space)

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6. Management Review (4.6)

A regular (minimum annually) minuted OH&S management review meeting must be undertaken to discuss and define any actions required in a minuted meeting (4.6). The agenda must as a minimum cover the following issues but must be comprehensive to address all relevant factors relating to the suitability, adequacy and effectiveness of the system:

- Review of OH&S Policy (4.2.g, 4.6)
- Review and resetting of OH&S Objectives against targets and commitment to continual improvement (4.6)
- Review of Internal Audit findings (4.6)
- Review of all necessary actions and responsibilities within the OH&S programme to ensure compliance with the standard.

Guidance

You must undertake a meeting of management to discuss the agenda of the Management Review Meeting and keep minutes of the meeting including any actions that must be completed (with dates).

(Please explain how you meet this in this space)

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Assessment Review Report compliance with OHSAS 18001:1999

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Amendment Record

Note: To be completed by applicant organisation for minor changes to the report contents. Major changes would result in an amendment to the report.

Date	Description of the changes (refer to relevant sections of the Assessment Review Report)

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