

AS/NZS 4801:2001

Australian/New Zealand Standard™



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ccupational  
health and safety  
management systems—

*Specification with guidance for use*

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Standards Australia





**AS/NZS 4801:2001**

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AS/NZS 4801:2001

Australian/New Zealand Standard™

**Occupational health and safety  
management systems—  
Specification with guidance for use**

Originated in Australia as AS 4801—2000.  
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AS 4801—2000 and NZS 4801(Int):1999 jointly revised and designated AS/NZS 4801:2001.

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## Preface

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee SF-001, Occupational Health and Safety Management to supersede both AS 4801:2000, *Occupational health and safety management systems—Specification with guidance for use* and NZS 4801(Int):1999, *Occupational health and safety management systems—Specification with guidance for use*.

The objective of this Standard is to set auditable criteria for an occupational health and safety management system. The Standard is a specification that aims to encompass the best elements of such systems already widely used in Australia and New Zealand. It includes guidance on how those criteria may be achieved. The Standard should not be relied upon to ensure compliance with all legal and other obligations.

The objective of this revision is to amalgamate AS 4801 and NZS 4801 as a Joint Standard.

As an amalgamation of current Australian and New Zealand Standards, elements of this Standard differ from both AS 4801:2000 and NZS 4801(Int):1999. Most notably the terms '*hazard/risk assessment*' and '*control of hazards/risks*' are used to accommodate the different terminology used in each country to describe similar elements of the systematic management of occupational health and safety.

Consequently, '*hazard/risk assessment*' refers to the processes of '*hazard assessment*' in New Zealand and '*risk assessment*' in Australia.

Similarly, '*control of hazards/risks*' refers to the processes of '*control of hazards*' in New Zealand and '*control of risks*' in Australia.

Other differences between this Standard and NZS 4801(Int):1999 were brought about in order that, except as outlined in this Preface, this Standard maintains identical wording with AS 4801.

This Standard is now a Joint Standards Australia/Standards New Zealand document, and so, elements of this Standard differ from AS 4801:2000 and NZS 4801(Int):1999 to show this joint nature.

Other changes have been made in Appendices B and C to update references to AS/NZS ISO 9000 and AS/NZS ISO 9001.

### **Compliance with this Standard may not necessarily meet your OHS legal obligations**

The term 'informative' has been used in this Standard to define the application of the appendix to which it applies. An 'informative' appendix is only for information and guidance.



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# Contents

|   | <i>Page</i> |
|---|-------------|
| Foreword .....  | iv          |
| 1 Scope .....   | 1           |
| 2 Referenced documents.....   | 2           |
| 3 Definitions.....  | 3           |
| 4 OHSMS Requirements .....  | 6           |
| <br>APPENDICES  |             |
| A Guidance on the use of the specification.....   | 13          |
| B Bibliography .....  | 25          |
| C Correspondence between this Standard,<br>AS/NZS ISO 14001:1996 AND AS/NZS ISO 9001:2000 ..... | 26          |

## Foreword

The adoption and implementation of a range of effective occupational health and safety (OHS) management actions in a systematic manner can contribute to optimal outcomes for all interested parties. Organizations of all kinds and sizes adopt a systematic approach to managing OHS and develop OHS management systems (OHSMS) within the context of:

- The general growth of concern from all interested parties about OHS matters.
- Changes to legislation.
- Other measures to foster sustained OHS improvement.

There are many reasons why organizations implement an OHSMS including legal imperatives, ethical concerns, industrial relations considerations and to improve financial performance. Implementation of an effective OHSMS should, however, primarily lead to a reduction of workplace illness and injury, minimizing the costs associated with workplace accidents. OHSMS are also used by some organizations to demonstrate, internally and in some cases externally (via self-declaration or certification/registration as appropriate), that they are systematically controlling the risks to all persons affected by the organization's activities, products or services.

For organizations wishing to implement, develop, improve, or in some cases audit an OHSMS, a pair of linked and complementary Standards is available to provide guidance. AS/NZS 4804:2001, *Occupational health and safety management systems—General guidelines on principles, systems and supporting techniques* is the primary Standard relevant to all organizations and provides general guidance on how to implement, develop and/or improve an OHSMS. This Standard, AS/NZS 4801, *Occupational health and safety management systems—Specification with guidance for use*, establishes an audit framework principally for use by third party bodies that have been asked by an organization to conduct an independent audit of the organization's OHSMS. The framework can also be used as a reference point for internal auditing procedures. It is envisaged that not all users of the primary Standard, AS/NZS 4804, will need to use AS/NZS 4801 as illustrated below.



AS/NZS 4804

AS/NZS 4801



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AS/NZS 4804 provides general guidance on:

- How to set up an OHSMS.
- How to continually improve an OHSMS.
- The resources required to set up and continually improve an OHSMS.

The AS/NZS 4804 guidelines describe a systematic management approach that can assist in both meeting legal requirements and lead to sustained improvement in OHS performance. These guidelines can assist organizations establish their own OHSMS and they also apply to any existing OHSMS. The guidelines do not prescribe the type or format or style of OHSMS that should be used. Rather, AS/NZS 4804 contains guidance for organizations of any size or type seeking to develop and implement an OHSMS, or improve an existing system, so that it will—

- be appropriate for that organization;
- be integrated with other systems and core functions of the organization;
- improve the organization's overall performance; and
- assist the organization to meet its legal responsibilities.

Injury management is an important element of any system but has been referred to only peripherally in AS/NZS 4804. The reader is referred elsewhere, to their respective jurisdictional authorities for guidance e.g. in Australia, to National Occupational Health and Safety Commission's *Guidance note for the best practice rehabilitation management of Occupational injuries and disease*, NOHSC:3021 (1995); similarly, in New Zealand, *Active and Working! Managing acute low back pain in the workplace: A guide for employers* published by the National Advisory Committee on Health and Disability, and the Accident Compensation Corporation, April 2000.

AS/NZS 4801 is a specification Standard that establishes a framework primarily for enabling independent external audits and reviews of an organization's OHSMS, but it can also be used as a framework for internal audits. Many organizations already undertake internal audits or reviews to assess the effectiveness of their OHSMS. Some organizations may also seek independent third party assurances that an organization they are proposing to do business with has effective systems in place to control their OHS. To be effective, and to contribute to ongoing improvements in OHS performance, independent audits need to be conducted by competent persons within a structured management system and integrated with overall management activity. AS/NZS 4801 specifies the framework against which external auditors will assess an OHSMS. However, these audits and reviews would not be sufficient to provide an organization with the assurance that its performance not only meets, but will continue to meet, its ethical, legal and policy requirements.

These linked Standards have been written to be applicable to all types and sizes of organizations and to be generic enough to accommodate diverse geographical, cultural and social conditions, as well as the multiplicity of OHS legal jurisdictions. Thus two organizations carrying out similar activities but having different OHSMS and performances may both conform to the requirements established in AS/NZS 4801.

However, any effective OHSMS needs to reflect OHS issues in the organization in which it is used. The basis of the approach is shown in Figure 1.

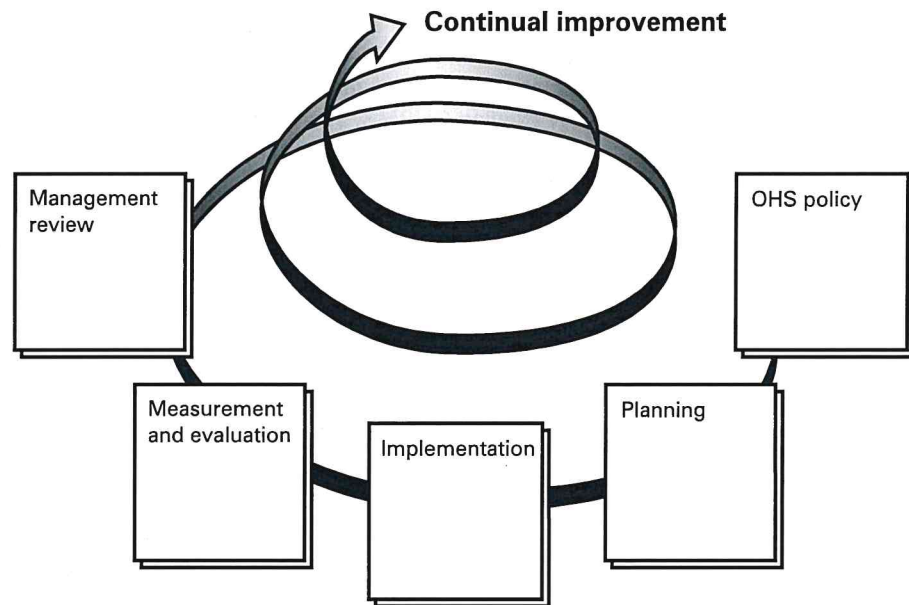


Figure 1 OHS Management System Model

The success of an OHSMS depends on commitment from all levels and functions within an organization, especially from senior management. An effective OHSMS can assist an organization to—

- set out OHS policy and objectives;
- establish, assess and review the effectiveness of procedures which give effect to OHS policy and objectives;
- achieve conformance with OHS policy and objectives of the organization; and
- demonstrate such conformance to others (via self-declaration or certification/ registration as appropriate).

The overall aim of these linked Standards is to support the achievement of the highest levels of OHS performance through systematic elimination or reduction of risks. Both this Standard and AS/NZS 4804 are intended to provide organizations with the elements of an effective OHSMS which can be integrated with other management requirements, to assist organizations to achieve OHS as well as other social and economic goals. These Standards are not intended to be used to create trade barriers nor change an organization's legal obligations. They are voluntary, useful tools for business and governments to use as little or as much as they choose.



Legislation in Australia adopts a risk management approach. Legislation in New Zealand adopts a hazard management approach. This legislation may also emphasize a preferred order of control method (often called a hierarchy of controls) which should be implemented in the workplace. The various jurisdictions define this hierarchy in different ways. Readers should note this and will need to ensure that the Standards are used to suit compliance requirements in their jurisdictions.

The emphasis in much legislation and in these Standards is for organizations to develop and implement control actions which, wherever possible, eliminate hazards or isolate people from the hazard. Where this is not possible, work activities should be planned and controlled through administrative means to the extent necessary to prevent injury and illness. In order to achieve these objectives an organization should encourage the implementation of the best practicable methods and technology consistent with the legal obligations to ensure that workplaces are safe and healthy.

These Standards share common management systems principles with environmental management systems Standards such as AS/NZS ISO 14001:1996, *Environmental management systems—Specification with guidance for use* and quality systems Standards like AS/NZS ISO 9001:2000, *Quality systems management—Requirements* and encourage the integration of such management system elements. However, this Standard, and AS/NZS 4804, are more aligned to risk management philosophies and methods as set out in AS/NZS 4360, *Risk management* than are quality management systems standards.

The requirements set out in AS/NZS 4801 and AS/NZS 4804 do not need to be implemented independently of existing OHSMS elements, whether integrated or not. In some cases, existing OHSMS elements will meet the requirements. An organization may elect to continue to use any management system framework, structure or audit tool as required. There may be no need to change an existing OHSMS program or audit framework. This Standard as well as AS/NZS 4801 can be applied to any OHSMS.

AS/NZS 4801:2001

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STANDARDS AUSTRALIA/STANDARDS NEW ZEALAND

**Australian/New Zealand Standard**  
**Occupational health and safety management**  
**systems—Specification with guidance for use**

# 1 Scope

This Standard specifies requirements for an occupational health and safety management system (OHSMS), to enable an organization to formulate a policy and objectives taking into account legislative requirements and information about hazards or risks. It applies to those hazards or risks over which the organization may exert control and over which it can be expected to have an influence. It does not state specific OHS performance outcomes.

This Standard is applicable to any organization that wishes to—

- (a) implement, maintain and improve an OHSMS;
- (b) assure itself of its conformance with its stated OHS policy;
- (c) demonstrate such conformance to others;
- (d) seek certification/registration of its OHSMS by an external organization; or
- (e) make a self-determination and declaration of conformance with the Standard.

All the requirements in the Standard are intended to be incorporated into any OHSMS. The extent of the application will depend on such factors as the OHS policy of the organization, the nature of its activities and the conditions in which it operates.

Effective implementation of an OHS management system should seek to ensure the organization complies with relevant OHS legislation, standards and codes of practice. However, the implementation of any of the requirements of this Standard, whether or not the organization has gained certification from a third-party certification body or is otherwise recognized, does not in any way assure compliance with legal requirements, or other obligations placed upon the organization by a statutory body. Hence, the implementation, either actual or intended, of this Standard, or parts thereof, would not preclude any action by a statutory body.

## **NOTES**

- 1) The Standard also provides informative guidance on the use of the specification in Appendix A, a bibliography for further reading in Appendix B, and a correspondence of the requirements of this Standard with AS/NZS ISO 14001 and AS/NZS ISO 9001 in Appendix C.
- 2) For ease of use, the clauses of the specification and Appendix A have related numbers.

## 2 Referenced documents

The following documents are referred to in this Standard:

### AS

- |        |  |
|--------|--|
| 1885   | Measurement of occupational health and safety performance  |
| 1885.1 | Part 1: Describing and reporting occupational injuries and disease (known as the National Standard for workplace injury and disease recording) |

### AS/NZS ISO

- |       |  |
|-------|--|
| 9001  | Quality management systems—Requirements                              |
| 14001 | Environmental management systems—Specification with guidance for use |



## 3 Definitions

For the purpose of this Standard, the definitions below apply.

### 3.1 Audit

A systematic examination against defined criteria to determine whether activities and related results conform to planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve the organization's policy and objectives.

### 3.2 Competent person

A person who has acquired through training, qualification, or experience, or a combination of these, the knowledge and skills, including OHS knowledge and skills, qualifying that person to perform the task required by this Standard.

### 3.3 Continual improvement

Process of enhancing the OHSMS to achieve improvements in overall OHS performances, in line with the organization's OHS policy.

**NOTE**

The process need not take place in all areas of activity simultaneously.

### 3.4 Control of hazards/risks

In Australia, the term 'control of risks' is used, to mean the process of elimination or minimization of risks.

In New Zealand, the term 'control of hazards' is used to mean the process of elimination, isolation or minimization of significant hazards.

### 3.5 Hazard

A source or a situation with a potential for harm in terms of human injury or ill-health, damage to property, damage to the environment, or a combination of these.

### 3.6 Hazard identification

The process of recognizing that a hazard exists and defining its characteristics.

### 3.7 Hazard/risk assessment

In Australia, the term 'risk assessment' is used to mean the overall process of estimating the magnitude of risk and deciding what actions will be taken.

In New Zealand, the term 'hazard assessment' is used to mean the overall process of determining whether a hazard is significant.

### **3.8 Health surveillance**

Monitoring of individuals for the purpose of identifying changes in health status that may be due to occupational exposure to a hazard.

### **3.9 Incident**

Any unplanned event resulting in, or having a potential for injury, ill-health, damage or other loss.

### **3.10 Interested parties**

Individual(s) or group(s) concerned with, or affected by the OHS performance of an organization.

### **3.11 Occupational health and safety management system (OHSMS)**

That part of the overall management system which includes organizational structure, planning activities, responsibilities, practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining the OHS policy, and so managing the risks associated with the business of the organization.

### **3.12 Occupational health and safety objectives**

Overall OHS goal in terms of OHS performance, arising from the occupational health and safety policy that an organization sets itself to achieve, and which are quantified where practicable.

### **3.13 Occupational health and safety performance**

The measurable results of the OHSMS, related to the organization's control of health and safety risks, based on its OHS policy, objectives and targets. Performance measurement includes measurement of OHS management activities and results.

### **3.14 Occupational health and safety policy**

Statement by the organization of its commitment, intentions and principles in relation to its overall occupational health and safety performance which provides a framework for action and for the setting of its occupational health and safety objectives and targets.

### **3.15 Occupational health and safety professional**

A person with expertise and qualifications in the identification, assessment, evaluation or control of occupational hazards and risks, and hazards associated with occupational ill-health.

### **3.16 Occupational health and safety target**

A detailed performance requirement, quantified wherever practicable and pertaining to the organization, that arises from the health and safety objectives and that needs to be met in order to achieve those objectives.

### **3.17 Organization**

A company, corporation, firm, enterprise or institution, or other legal entity or part thereof, whether incorporated or not, public or private, that has its own function(s) and administration.

### **3.18 Risk**

(In relation to any potential injury or harm.) The likelihood and consequence of that injury or harm occurring.

**NOTE**

Wherever the term 'risk' occurs in this Standard this should be taken to mean 'occupational health and safety risk'.

### **3.19 Safety**

A state in which the risk of harm (to persons) or damage is limited to an acceptable level.



## 4 OHSMS Requirements

### 4.1 General requirements

The organization shall establish and maintain an OHSMS, in accordance with the requirements of this Clause (4).

### 4.2 OHS Policy

There shall be an occupational health and safety policy authorized by the organization's top management, that clearly states overall OHS objectives and demonstrates a commitment to improving OHS performance.

The policy shall—

- (a) be appropriate to the nature and scale of the organization's risks;
- (b) include the commitment to establish measurable objectives and targets to ensure continued improvement aimed at elimination of work-related injury and illness;
- (c) include a commitment to comply with relevant OHS legislation and with other requirements placed upon the organization or to which the organization subscribes;
- (d) be documented, implemented, maintained and communicated to all employees;
- (e) be available to interested parties; and
- (f) be reviewed periodically to ensure it remains relevant and appropriate to the organization.

### 4.3 Planning

#### 4.3.1 Planning identification of hazards, hazard/risk assessment and control of hazards/risks

The organization shall establish, implement and maintain documented procedures for hazard identification, hazard/risk assessment and control of hazards/risks of activities, products and services over which an organization has control or influence, including activities, products or services of contractors and suppliers.

The organization shall develop 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. The methodology shall be kept up-to-date.

#### 4.3.2 Legal and other requirements

The organization shall establish, implement and maintain 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.

The organization shall keep this information up-to-date. It shall communicate relevant information on legal and other requirements to its employees.

#### **4.3.3 Objectives and targets**

The organization shall establish, implement and maintain documented OHS objectives and targets, at each relevant function and level within the organization.

When establishing and reviewing its objectives, an organization shall 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.

#### **4.3.4 OHS management plans**

The organization shall establish and maintain management plans for achieving its objectives and targets. They shall include—

- (a) designation of responsibility for achievement of objectives and targets at relevant functions and levels of the organization; and
- (b) outlining the means and timeframe by which objectives and targets are to be achieved.

Procedures shall be 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 services of the organization or significant changes in operating conditions.

## **4.4 Implementation**

### **4.4.1 Structure and responsibility**

#### **4.4.1.1 Resources**

Management shall identify and provide the resources required to implement, maintain, and improve their OHSMS. Resources include human resources and specialized skills, technology and financial resources.

#### **4.4.1.2 Responsibility and accountability**

The organization shall 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 contractors are involved, these areas of accountability and responsibility shall be clarified with respect to those contractors.

The organization's top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have 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**

The organization in consultation with employees shall identify training needs in relation to performing work activities competently, including OHS training.

Procedures shall be in place to ensure that OHS competencies are developed and maintained. Personnel shall be assessed as competent, on the basis of skilled achieved through education, training or experience, to perform assigned tasks taking into account the OHS obligations, hazards and risks associated with the work activities.

Procedures shall be developed for providing OHS training. These procedures shall 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.

The organization shall ensure that all personnel (including contractors and visitors) have undertaken training appropriate to the identified needs.

Training shall be carried out by persons with appropriate knowledge, skills, and experience in OHS and training.

#### **4.4.3 Consultation, communication and reporting**

##### **4.4.3.1 Consultation**

There shall be documented procedures, agreed to by employees, for employee involvement and consultation in OHS issues. Information regarding the arrangements shall be made available to interested parties.

Employees shall—

- (a) be involved in the development, implementation and review of policies and procedures for hazard identification, hazard/risk assessment and control of hazards/risks;
- (b) be consulted where there are any changes that affect workplace OHS;
- (c) select those who will represent them on OHS matters; and
- (d) be informed as to who is/are their employee OHS representative(s) and specified management representative(s).

Those representing the employees and employer shall receive appropriate training to undertake effectively their involvement in the development, implementation and review of OHS arrangements.

##### **4.4.3.2 Communication**

The organization shall have procedures for ensuring that pertinent OHS information is communicated to and from employees and other interested parties.



#### 4.4.3.3 Reporting

Appropriate procedures for relevant and timely reporting of information shall be established to ensure the OHSMS is monitored and performance improved.

Reporting procedures shall be established to cover the following:

- (a) OHS performance reporting (including results of OHS audits and reviews).
- (b) Reporting of incidents and system failures.
- (c) Reporting on hazard identifications.
- (d) Reporting on hazard/risk assessment.
- (e) Reporting on preventive and corrective action.
- (f) Statutory reporting requirements.

#### 4.4.4 Documentation

The organization shall 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 and data control

The organization shall establish, implement and maintain procedures for controlling all relevant documents and data required by this Standard to ensure that—

- (a) they can be readily located;
- (b) they are periodically reviewed, revised as necessary and approved for adequacy by competent and responsible personnel;
- (c) current versions of relevant documents and data are available at all locations where operations essential to the effective functioning of the OHSMS are performed;
- (d) obsolete documents and data are promptly removed from all points of issue and points of use or otherwise assured against unintended use; and
- (e) archival documents and data retained for legal or knowledge preservation purposes or both, are suitably identified.

Documentation and data shall be legible, dated (with dates of revision) and readily identifiable and be maintained in an orderly manner for a specified period. Procedures and responsibilities shall be established and maintained concerning the creation and modification of the various types of documents and data.

The organization shall preclude the use of obsolete documents.

#### **4.4.6 Hazard identification, hazard/risk assessment and control of hazards/risks**

##### **4.4.6.1 General**

The organization shall establish, implement and maintain documented procedures to ensure that the following are conducted—

- (a) hazard identification;
- (b) hazard/risk assessment;
- (c) control of hazards/risks; and then
- (d) evaluation of steps (a) to (c).

##### **4.4.6.2 Hazard identification**

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
- (c) past injuries, incidents and illnesses.

The identification process shall also include consideration of—

- (i) the way work is organized, 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).

##### **4.4.6.3 Hazard/risk assessment**

In Australia, all risks shall be assessed and have control priorities assigned, based on the established level of risk.

In New Zealand, all hazards shall be assessed and have control priorities assigned based on the significance of hazard.

##### **4.4.6.4 Control of hazards/risks**

In Australia, all risks, identified through the assessment process as requiring control, shall be controlled through a preferred order of control methods (commonly referred to as a hierarchy), based on reasonable practicability. Elimination shall be the first control method to be considered.

In New Zealand, all hazards identified as being significant through the assessment process, shall be controlled through a preferred order of control methods (commonly referred to as a hierarchy) based on reasonable practicability. Elimination shall be the first control method to be considered.

#### 4.4.6.5 Evaluation

The processes of hazard identification, hazard/risk assessment and control of hazards/risks shall be subject to a documented evaluation of effectiveness and modified as necessary.

#### 4.4.7 Emergency preparedness and response

All potential emergency situations shall be identified and emergency procedures documented for preventing and mitigating the associated illness and injury.

The organization shall review, then revise, where necessary, its emergency preparedness and response procedures, in particular, after the occurrence of incidents or emergency situations.

The organization shall periodically test such procedures.

#### **NOTE**

It may not be practicable to test some procedures, in which case training and efficacy should be tested by other means.

## 4.5 Measurement and evaluation

### 4.5.1 Monitoring and measurement

#### 4.5.1.1 General

The organization shall establish, implement and maintain documented procedures to monitor and measure on a regular basis the key characteristics of its operations and activities that can cause illness and injury. The effectiveness of these measures shall be evaluated.

Appropriate equipment for monitoring and measurement related to health and safety risks shall be identified, calibrated, maintained and stored as necessary. Records of this process shall be retained according to the organization's procedures.

With regard to the OHSMS, the organization shall establish, implement and maintain procedures to monitor—

- (a) performance, effectiveness of relevant operational controls and conformance with the organization's objectives and targets; and
- (b) compliance with relevant OHS legislation.

#### 4.5.1.2 Health surveillance

The organization shall identify those situations where employee health surveillance is required and shall implement appropriate systems. Employees shall have access to their own individual results.

Where specified by legislation, the health of employees exposed to specific hazards shall be monitored and recorded.

### 4.5.2 Incident investigation, corrective and preventive action

The organization shall establish, implement and maintain procedures for—

- (a) investigating, responding to, and taking action to minimize any harm caused from, incidents;
- (b) investigating and responding to system failures; and

- (c) initiating and completing appropriate corrective and preventive action.

The organization shall implement and record any changes in the OHSMS procedures resulting from incident investigations and corrective and preventive action.

#### **4.5.3 Records and records management**

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.

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.

Records shall be maintained, as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this Standard.

#### **4.5.4 OHSMS audit**

The organization shall establish, implement and maintain 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 this Standard;
  - (ii) has been properly implemented and maintained; and
  - (iii) is effective in meeting the organization'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.

The audit program, including any schedule, shall be based on the OHS importance of the activity concerned, and the results of previous audits. The audit procedures shall cover the scope, frequency, methodologies and competencies, as well as the responsibilities and requirements for conducting audits and reporting results.

## **4.6 Management review**

The organization's top management shall, at intervals that it determines, review the OHSMS, to ensure its continuing suitability, adequacy and effectiveness. The management review process shall ensure that the necessary information is collected to allow management to carry out this evaluation. This review shall be documented.

Management shall review the continued relevance of, and change 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.



## APPENDIX

# A Guidance on the use of the specification

(Informative)

## A1 Scope

This Appendix gives additional information on the requirements of this Standard and is intended to avoid misinterpretation of the Standard. Paragraph A4 addresses the requirements contained in Clause 4, (with corresponding order).

## A2 General requirements

It is intended that the implementation of an OHSMS described by the Standard will result in improved OHS performance. The Standard is based on the concept that the organization will periodically review and evaluate its OHSMS in order to identify opportunities for improvement and their implementation. Improvements in the OHSMS are intended to result in additional improvements in OHS performance.

The OHSMS provides a structured process for the achievement of continual improvement, the rate and extent of which will be determined by the organization in the light of economic and other circumstances. Although some improvement in OHS performance can be expected due to the adoption of a systematic approach, it should be understood that the OHSMS is a tool which enables the organization to achieve and systematically control the level of OHS performance that it sets itself. The establishment and operation of an OHSMS will not, by itself, necessarily result in an immediate reduction of risks.

An organization has the freedom and flexibility to define its boundaries and may choose to implement this Standard with respect to the entire organization, or to specific operating units or activities of the organization. If this Standard is implemented for a specific operating unit or activity, the policies and procedures developed by other parts of the organization can be used to meet the requirements of this Standard. This is provided so that they are applicable to the specific operation unit or activity that will be subject to the Standard. The level of detail and complexity of the OHSMS, the extent of documentation and the resources devoted to it will be dependent on the size of an organization and the nature of its activities. This may be the case in particular for small and medium-sized enterprises.

## A3 Aims of the Standard

Integration of OHS matters and the overall management system, can contribute to the effective implementation of the OHSMS, as well as to efficiency and to clarity of roles.

This Standard contains management system requirements, based on the continuous improvement model given in Figure 1 in the Foreword.

The system should enable an organization to:

- (a) establish an OHS policy appropriate to the organization;
- (b) carry out hazard identification, hazard/risk assessment and control of hazards/risks arising from the organization's past, existing or planned activities, products or services;
- (c) identify the relevant legislative and regulatory requirements;
- (d) identify priorities and set appropriate OHS objectives and targets;
- (e) establish a structure and an OHS management plan(s) to implement the policy and achieve objectives and targets;
- (f) facilitate planning, control, monitoring, corrective action, auditing and review activities to ensure both that the policy is complied with and that the OHSMS remains appropriate; and
- (g) be capable of adapting to changing circumstances.

## A4 OHSMS requirements

### A4.1 General requirements

Guidance on implementing Clause 4 is given below.

### A4.2 OHS policy

The OHS policy is the driver for improving the organization's OHSMS and its implementation so that the organization does continually improve its OHS performance. The policy should therefore reflect the commitment of top management to compliance with applicable laws and continual improvement. The policy forms the basis upon which the organization sets its objectives and targets. The policy should be sufficiently clear to be capable of being understood by internal and external interested parties and should be periodically reviewed and revised to reflect changing conditions and information. Its area of application should be clearly identifiable.

The organization's top management should define and document its OHS policy within the context of the OHS policy of any broader corporate body of which it is a part and with the endorsement of that body. An indication of the commitment of top management is signing of the OHS policy by the top management at the site.

#### **NOTE**

Top management may consist of an individual or group of individuals with executive responsibility for the organization.

The term 'interested parties' (referred to in this clause and others below) generally includes employees, and may, depending on circumstances, also include OHS representatives, OHS committees, regulatory authorities, community groups, non-government organizations, special interest groups and others.

## **A4.3 Planning**

### **A4.3.1 Planning identification of hazards, hazard/risk assessment and control of hazards/risks**

Clause 4.3.1 is intended to provide a process for an organization to plan the methodology for hazard identification, hazard/risk assessment and control of hazards/risks that should be addressed by the organization's OHSMS. Planning of the process should take into account the cost and time of undertaking the analysis and the availability of reliable data. Information already developed for regulatory or other purposes may be used in this process. Organizations may also take into account the degree of practical control they may have over the hazards or risks being considered. Organizations should ensure that the process is capable of determining what their hazards or risks are, taking into account the inputs and outputs associated with their current and relevant past activities, products and services.

An organization with no existing OHSMS should, as a first step, establish its current position with regard to OHS by means of a review. The aim should be to consider all OHS aspects of the organization as a basis for establishing the OHSMS.

Those organizations with operating OHSMS do not have to undertake such a review.

The review should cover four key areas:

- (a) Legal and other requirements.
- (b) Hazard identification and hazard/risk assessment.
- (c) Examination of all existing OHS management practices and procedures.
- (d) Evaluation of feedback from the investigation of previous incidents, as well as incident statistics.

In all cases, consideration should be given to normal and abnormal operations within the organization, and to potential emergency conditions.

A suitable approach to the review may include checklists, interviews, direct inspection and measurement, results of previous audits or other reviews depending on the nature of the activities.

The processes of hazard identification and hazard/risk assessment should identify where appropriate—

- (i) the quality criteria for the identification and assessment of process(es);
- (ii) the assignment of the identification and assessment activities to qualified persons, either within or outside the organization;
- (iii) the hazard identification and hazard/risk assessment methodologies used;
- (iv) the frequency of the identification and assessment activities;
- (v) involvement of employees in the identification and assessment process; and
- (vi) any pertinent regulatory requirements, directives or codes of practice or guidance documents.

The processes of hazard identification and hazard/risk assessment activities at operating units should consider, where relevant—

- (A) chemical hazards;
- (B) physical hazards;
- (C) biological hazards;
- (D) ergonomics; and
- (E) psychological hazards.

It could also consider—

- (1) piece work, and home-based work;
- (2) monotonous work including repetitive tasks;
- (3) work at a predetermined rate;
- (4) influence of shift work;
- (5) overtime loading;
- (6) fatigue; and
- (7) other stresses.

This process should consider normal operating conditions, shut down and start up conditions, as well as the realistic potential for significant harm associated with reasonably foreseeable or emergency situations.

The process is intended to identify hazards, estimate the magnitude of risks or determine the significance of hazards associated with activities, products or services, and is not intended to require a detailed life cycle assessment. Organizations may not have to evaluate each product, component or activity. They may list those activities, products or services to identify those with significant hazards or unacceptable risks.

Where control and influence lie, in relation to the risks of activities, products and services, varies according to the circumstances. The organization responsible for the design of workplaces, installations, activities, products and services can alter the risks significantly. A contractor or supplier will also have responsibilities. Whilst recognizing that supplier organizations may have limited control over the use of their products or services, they should take steps to ensure the control of hazards/risks.

#### **A4.3.2 Legal and other requirements—**

Examples of other requirements that may be relevant include—

- (a) industry codes and practices;
- (b) agreements with authorities and interested parties; and
- (c) non-regulatory guidelines.

#### **A4.3.3 Objectives and targets**

The objectives should be specific and targets should be measurable wherever practicable, and where appropriate take existing preventive measures into account. Appropriate performance indicators should be used.

When considering their technological options, an organization may consider the use of best available technology where economically viable, cost effective and judged appropriate.



#### **A4.3.4 OHS management plans**

The creation and use of a plan is a key to the successful implementation of an OHSMS. The plans should describe how the organization's targets will be achieved, including time-scales and personnel responsible for implementing the organization's OHS policy. This plan may be subdivided to address specific elements of the organization's operations. The plan should include an OHS review of new activities.

The plan may include where appropriate and practical, consideration of planning, design, production and maintenance. This may be undertaken for current and new activities, products and services. For products this may address design, materials, production, processes, use and disposal. For installations or significant modifications of processes this may address planning, design, construction, commissioning, operation and, at the appropriate time determined by the organization, decommissioning.

### **A4.4 Implementation**

#### **A4.4.1 Structure and responsibility**

##### **A4.4.1.1 Resources**

The successful implementation of an OHSMS calls for the allocation of appropriate resources and the commitment of all employees of the organization. OHS resources and responsibilities therefore should not be seen as confined to the OHS function, but may also include other areas of an organization, such as operational management or staff functions other than OHS.

##### **A4.4.1.2 Responsibility and accountability**

Commitment to the OHSMS and accountability of OHS should begin at the highest levels of management. Accordingly top management should establish the organization's OHS policy and ensure that the OHSMS is implemented. As part of this commitment, the top management should designate a specific management representative(s) with defined responsibility and authority for implementing the OHSMS. In large or complex organizations there may be more than one designated representative. In small or medium sized enterprises, these responsibilities may be undertaken by one individual. Top management should also ensure that an appropriate level of resources is provided to the OHSMS. It is also important that the key OHS management system responsibilities are well defined and communicated to the relevant personnel.

##### **A4.4.2 Training and competency**

The organization should establish, implement and maintain procedures for identifying training needs. The organization should also require that contractors working on its behalf are able to demonstrate that their employees have the requisite training.

Management are responsible for determining the level of experience, competence and training necessary to ensure the capability of personnel. Training should include induction training.

#### **NOTE**

Personnel should be taken to include employees, contractors, non-employees such as unpaid work-experience staff and visitors.

OHS competencies could be developed in different ways including using existing regulatory or statutory, industry or training organization competency standards.

#### **A4.4.3 Consultation, communication and reporting**

##### **A4.4.3.1 Consultation**

The participation of employees and their input to the OHS decision making process is fundamental to the successful implementation and sustainability of an effective OHSMS.

All employees should be given adequate opportunity and encouragement to participate in OHS matters relevant to their work. Employees should be involved in the hazard identification and hazard/risk assessment process, and also in the development of specific policies and procedures for the management of the associated risk.

Employees should be consulted regarding possible changes in OHS policies and procedures, and in other matters that may affect their safety at work.

Employee OHS representatives should be selected or elected by the employees. Representation should cover as many situations as are appropriate to the size of the organization, e.g. representatives for workers on different shifts, at different work sites and having different work descriptions. All employees should be made aware as to who their OHS representatives are.

All OHS representatives should be competent to carry out their duties effectively. Where necessary, representatives should receive training.

##### **A4.4.3.2 Communication**

Organizations should implement a procedure for receiving, documenting and responding to relevant information and requests from interested parties. This procedure may include a dialogue with interested parties including OHS committees and consideration of their concerns. In some circumstances responses to interested parties' concerns may include relevant information about the hazards or risks associated with the organization's operations. These procedures should also address necessary communications with public authorities regarding emergency planning and other relevant issues.

##### **A4.4.3.3 Reporting**

Reporting of relevant OHS matters should be both timely and relevant. Information from such reporting could then be used to take appropriate corrective and preventive action by the relevant personnel.

Reporting of incidents and occurrences should be carried out as described in AS 1885.1, or as required by legislation.

##### **A4.4.4 Documentation**

The level of detail of the documentation should be sufficient to describe the core elements of the OHSMS and their interaction and provide direction on where to obtain more detailed information on the operation of specific parts of the OHSMS. The documentation may be integrated and shared with documentation of other systems implemented in the organization. It does not have to be in the form of a single manual.

Related documentation may include:

- (a) Process information.
- (b) Organization charts.
- (c) Internal standards and operational procedures.
- (d) Site emergency plans.

**A4.4.5 Document and data control**

Organizations should create and maintain documents in a manner sufficient to implement the OHSMS. However, the primary focus of organizations should be on the effective implementation of the OHSMS and on OHS performance and not on a complex documentation control system.

**A4.4.6 Hazard identification, hazard/risk assessment and control of hazards/risks**

**A4.4.6.1 General**

Hazards associated with work processes should be identified, hazard/risk assessment conducted and control measures implemented.

**A4.4.6.2 Hazard identification**

In considering other relevant factors in hazard identification, the following could be included:

- (a) Documented procedures should require hazard identification during the design stage.
- (b) Technical data and other information relevant to OHS should be examined prior to any decision to purchase goods and services, including formal contract specifications as well as on an ongoing basis.

**A4.4.6.3 Hazard/risk assessment**

While executing the procedure(s) of hazard identification and hazard/risk assessment consideration should be given to adverse conditions resulting from the following:

- (a) Normal operating conditions.
- (b) Abnormal operating conditions, including shut-down and start-up conditions, inclement weather and foreseeable misuse.
- (c) Incidents, and potential emergency situations.
- (d) Past activities, current activities and planned activities.

The organization should document the executed process of hazard identification and hazard/risk assessment in the workplace, the results of which should be recorded.

The results of such a hazard/risk assessment should be used as the basis for developing the organization's objectives and targets, OHS management plans, competency training, consultation and communication and for development of the specific operational controls.

**A4.4.6.4 Control of hazards/risks**

The following is a preferred order of controls most commonly used, from preferred (elimination), to the least desirable as follows:

- (a) Elimination.
- (b) Substitution.
- (c) Engineering controls.
- (d) Administrative (procedural) controls.
- (e) Personal protective equipment.

**NOTE**

NZ legislation, HSE Act-1992 specifies a required order of control:

- (i) Elimination.
- (ii) Isolation
- (iii) Minimization and employees protected.

Documented procedures should be in place for development of control measures during the design stage. Competent personnel should verify that designs and modifications meet specified OHS requirements. Purchase specifications for any goods including items of plant and chemical substances, should include the requirement to comply with OHS legislation and relevant Standards.

Where work procedures and work instructions are adopted as controls, there should be input from relevant employees and competent persons. There should be 'Permit to work' systems for high risk tasks.

The need for training, supply of personal protective equipment and changes to work procedures should be considered prior to purchase. Where personal protective equipment is required, it should be provided (after necessary training), used correctly and maintained in a serviceable condition. Supervisory arrangements should ensure tasks are performed safely and work instructions and procedures followed. Individuals should be supervised according to their capabilities and the degree of risk of the task.

There should be a scheduled program of maintenance for plant and equipment. A record should be maintained which includes details of inspections, maintenance, repair and alteration of plant. Plant requiring registration with an external authority should be identified and a process should be put in place to ensure that registration is maintained.

Appropriate controls should be used to ensure the safety of persons working on or near plant and equipment that is in the process of being cleaned, serviced, repaired or altered. Responsibility should be allocated for the verification that plant and equipment is safe after repair or alteration.

There should be procedures for unsafe plant and equipment to be identified and withdrawn from service using appropriate methods of isolation.

The specific requirements of tasks, including medical and physical constraints, should be identified and applied to staff selection and placement. Tasks should be allocated according to the capability and level of training of personnel. Where it has been determined that an



organization or individual must hold a licence or qualification in order to undertake specific duties, perform work or operate equipment, procedures should be in place to ensure the appropriate licences or qualifications have been obtained.

#### **A4.4.6.5 Evaluation**

There should be procedures in place to ensure that control measures are reviewed—

- (a) on a regular basis;
- (b) when there has been a failure;
- (c) a change in the work process; or
- (d) a change in OHS policy.

Contractor OHS performance should be monitored and reviewed to ensure continued adherence to OHS purchase specifications.

#### **A4.4.7 Emergency preparedness and response**

Potential emergency situations should be identified and emergency procedures documented.

The organization should allocate overall responsibility for control of emergency situations to specified individuals and communicate this information to all personnel.

Employees should receive training in emergency procedures appropriate to their allocated emergency response responsibilities and the degree of risk.

Emergency procedures should be regularly rehearsed and reviewed.

Emergency instructions and emergency contacts should be clearly communicated throughout the organization.

Emergency equipment, exit signs and alarm systems should be inspected, tested and maintained at regular intervals.

The suitability, location and accessibility of emergency equipment should be assessed by competent persons.

### **A4.5 Measurement and evaluation**

#### **A4.5.1 Monitoring and measurement**

##### **A4.5.1.1 General**

Monitoring can include inspection of—

- (a) potentially hazardous processes to ensure that controls have been effective;
- (b) plant e.g. pressure vessels to ensure conformity with regulatory requirements;
- (c) work areas to ensure that specific site safety rules are followed; and
- (d) work sites to ensure that controls are effective and to demonstrate the commitment of management to OHSMS.

Monitoring and testing requirements for specific hazards can include the following forms:

(i) Environmental, e.g. flammable gases.

(ii) Personal, e.g. noise dosimetry.

General system monitoring includes progress towards objectives and targets and other system performance parameters.

#### **A4.5.1.2 Health surveillance**

Examples of health surveillance (with due regard to ethical constraints) that may be required include:

(a) Biological testing, e.g. blood or urine testing for heavy metals.

(b) Hearing tests.

#### **A4.5.2 Incident investigation, corrective and preventive action**

In establishing and maintaining procedures for investigating incidents and taking appropriate corrective and preventive action, the organization should include these basic elements—

(a) identifying the cause(s) of incidents;

(b) identifying and implementing the necessary corrective action;

(c) implementing or modifying controls necessary to avoid repetition of the incident; and

(d) recording any changes in written procedures resulting from the corrective action.

Depending on the situation this may be accomplished rapidly and with a minimum of formal planning or it may be a more complex and long term activity. The associated documentation should be appropriate to the level of corrective action.

Additionally, a procedure may be written which includes involvement of operational line management, for the investigation of injuries, illnesses and incidents.

Relevant staff should be trained in incident investigation.

Investigation reports should contain recommendations for the implementation of corrective actions.

Responsibility should be assigned to identified personnel for implementing corrective actions arising from investigation reports.

Corrective actions should be discussed with personnel affected prior to implementation.

Corrective actions resulting from incident investigations should be evaluated to determine their effectiveness.

#### **A4.5.3 Records and records management**

Procedures for identification, maintenance and disposition of records should focus on those records needed for the implementation and operation of the OHSMS and to record the extent to which planned objectives and targets have been met.

OHS records may include—

(a) external (e.g. legal) and internal (i.e. OHS performance) requirements;

(b) OHS training records;

- (c) permits to work and other employee qualification information;
- (d) process information;
- (e) product information (including composition);
- (f) equipment information;
- (g) inspection, maintenance and calibration records;
- (h) monitoring data;
- (i) pertinent contractor and supplier information;
- (j) details of incidents, complaints and follow-up action;
- (k) information of emergency preparedness and response;
- (l) hazard identification and hazard/risk assessments;
- (m) audit results; and
- (n) management reviews.

Proper account should be taken of confidential business information and personal information relating to employees of the organization.

OHS information management should include means of identification, collection, indexing, filing, storage, maintenance, retrieval, retention disposition and access of pertinent OHSMS documentation and records.

#### **A4.5.4 OHSMS audit**

The audit program and procedures should cover the following:

- (a) The activities and areas to be considered in audits.
- (b) The frequency of audits.
- (c) The responsibilities associated with managing and conducting audits.
- (d) The communication of audit findings.
- (e) Auditor competence.
- (f) How audits will be conducted.

Audits may be performed by personnel from within the organization or by external persons selected by the organization. In either case, the persons conducting the audit should do so competently, impartially and objectively.

It is also important to audit the audit process itself to ensure that audits are being performed effectively. This includes all aspects of the audit process. Auditors should be independent of the process being audited.

#### **A4.6 Management review**

In order to maintain continual improvement, suitability and effectiveness of the OHSMS, and thereby its performance, the organization's management should review and evaluate the OHSMS at defined intervals. These should be at least every two years, possibly less, depending on factors such as the complexity of the system, and the significance of hazard or level of risk encountered. The scope of the review should be comprehensive, though not all elements of an OHSMS need to be reviewed at once and the review process may take place over a period of time.

The review of the policy, objective and procedures should be carried out by the level of management that defined them.

Reviews should include—

- (a) result from audits;
- (b) the extent to which objectives and targets have been met;
- (c) the continuing suitability of the OHSMS in relation to changing conditions and information; and
- (d) concerns of relevant interested parties.

Observations, conclusions and recommendations should be documented for necessary action.

The review should also take into consideration—

- (i) health and safety performance reports;
- (ii) incident reports;
- (iii) hazard identification;
- (iv) statutory OHS performance;
- (v) corrective action reports;
- (vi) changes to regulatory requirements;
- (vii) changes to OHS standards; and
- (viii) community expectations.



APPENDIX

# B Bibliography

(Informative)

## AS

- 3806 Compliance programs
- 3911 Guidelines for auditing quality systems
  - 3911.1 Part 1: Auditing
  - 3911.3 Part 3: Management of audit programs

## AS/NZS

- 3931 Risk analysis of technological systems—Application guide
- 4360 Risk management
- 4804 Occupational health and management systems—General guidelines on principles, systems and supporting techniques

## AS/NZS ISO

- 9000 Quality management systems—Fundamentals and vocabulary
- 9001 Quality management systems—Requirements
- 14001 Environmental management systems — Specification with guidance for use
- 14010 Guidelines for environmental auditing—General principles
- 14011 Guidelines for environmental auditing—Audit procedures—Auditing of environmental management systems

APPENDIX

# C Correspondence between this Standard, AS/NZS ISO 14001:1996 and AS/NZS ISO 9001:2000

(Informative)

| AS/NZS 4801 |   | AS/NZS ISO 14001 |                                       | AS/NZS ISO 9001 |  |
|-------------|---|------------------|---------------------------------------|-----------------|--|
| 4.1         | General requirements  | 4.1              | General requirements                  | 4.1             | General requirements                                 |
| 4.2         | OHS policy  | 4.2              | Environmental policy                  | 5.1             | Management commitment                                |
|             |   |                  |                                       | 5.3             | Quality policy                                       |
|             |   |                  |                                       | 8.5             | Improvement  |
| 4.3.1       | Planning identification of hazards, hazard/risk assessment and control of hazards/risks | 4.3.1            | Environmental aspects                 | 5.2             | Customer focus                                       |
|             |   |                  |                                       | 7.2.1           | Determination of requirements related to the product |
|             |   |                  |                                       | 7.2.2           | Review of requirements related to the product        |
| 4.3.2       | Legal and other requirements  | 4.3.2            | Legal and other requirements          | 5.2             | Customer focus                                       |
|             |   |                  |                                       | 7.2.1           | Determination of requirements related to the product |
| 4.3.3       | Objectives and targets  | 4.3.3            | Objectives and targets                | 5.4.1           | Quality objectives                                   |
| 4.3.4       | OHS management plans  | 4.3.4            | Environmental management programme(s) | 5.4.2           | Quality management system planning                   |
|             |   |                  |                                       | 8.5.1           | Continual improvement                                |
| 4.4.1       | Structure and responsibility  |                  | —                                     | 5.1             | Management commitment                                |
| 4.4.1.1     | Resources   |                  |                                       | 6.1             | Provision of resources                               |
|             |   |                  |                                       | 6.2             | Human resources                                      |
|             |   |                  |                                       | 6.2.1           | General  |
|             |   |                  |                                       | 6.3             | Infrastructure                                       |
|             |   |                  |                                       | 6.4             | Work environment                                     |
| 4.4.1.2     | Responsibility and accountability   | 4.4.1            | Structure and responsibility          | 5.5.1           | Responsibility and authority                         |
|             |   |                  |                                       | 5.5.2           | Management representative                            |

(continued)

| AS/NZS 4801  | AS/NZS ISO 14001                         | AS/NZS ISO 9001  |
|--|--|--|
| 4.4.2 Training and competency  | 4.4.2 Training, awareness and competence | 6.2 Human resources<br>6.2.1 General<br>6.2.2 Competence, awareness and training   |
| 4.4.3 Consultation, communication and reporting                                  | —  | —  |
| 4.4.3.1 Consultation   |  |  |
| 4.4.3.2 Communication  | 4.4.3 Communication                      | 5.5.3 Internal communication<br>7.2.3 Customer communication   |
| 4.4.3.3 Reporting  | —  | —  |
| 4.4.4 Documentation  | 4.4.4 EMS documentation                  | 4.2 Documentation requirements<br>4.2.1 General<br>4.2.2 Quality manual  |
| 4.4.5 Document and data control  | 4.4.5 Document control                   | 4.2.3 Control of documents   |
| 4.4.6 Hazard identification, hazard/risk assessment and control of hazards/risks | 4.4.6 Operational control                | 7 Product realization<br>7.1 Planning of product realization<br>7.2 Customer-related processes<br>7.2.1 Determination of requirements related to the product<br>7.2.2 Review of requirements related to the product<br>7.3 Design and development<br>7.3.1 Design and development planning<br>7.3.2 Design and development inputs<br>7.3.3 Design and development outputs<br>7.3.4 Design and development review<br>7.3.5 Design and development verification<br>7.3.6 Design and development validation<br>7.3.7 Control of design and development changes<br>7.4 Purchasing<br>7.4.1 Purchasing process<br>7.4.2 Purchasing information<br>7.4.3 Verification of purchased product |

(continued)

AS/NZS 4801:2001

| AS/NZS 4801  | AS/NZS ISO 14001  | AS/NZS ISO 9001  |
|--|---|--|
|  |   | 7.5 Production and service provision<br>7.5.1 Control of production and service provision<br>7.5.3 Identification and traceability<br>7.5.4 Customer property<br>7.5.5 Preservation of product<br>7.5.2 Validation of processes for production and service provision |
| 4.4.7 Emergency preparedness and response                      | 4.4.7 Emergency preparedness and response                 | 8.3 Control of nonconforming product   |
| 4.5.1 Monitoring and measurement                               | 4.5.1 Monitoring and measurement                          | 7.6 Control of monitoring and measuring devices  |
| 4.5.1.1 General  |   | 8.1 General<br>8.2 Monitoring and measurement<br>8.2.1 Customer satisfaction<br>8.2.3 Monitoring and measurement of processes<br>8.2.4 Monitoring and measurement of product<br>8.4 Analysis of data   |
| 4.5.1.2 Health surveillance                                    | —   | —  |
| 4.5.2 Incident investigation, corrective and preventive action | 4.5.2 Nonconformance and corrective and preventive action | 8.3 Control of nonconforming product<br>8.5.2 Corrective action<br>8.5.3 Preventive action   |
| 4.5.3 Records and records management                           | 4.5.3 Records   | 4.2.4 Control of records   |
| 4.5.4 OHSMS audit  | 4.5.4 EMS audit   | 8.2.2 Internal audit   |
| 4.6 Management review  | 4.6 Management review                                     | 5.6 Management review<br>5.6.1 General<br>5.6.2 Review input<br>5.6.3 Review output  |

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### **Standards Australia**

Standards Australia is an independent company, limited by guarantee, which prepares and publishes most of the voluntary technical and commercial standards used in Australia. These standards are developed through an open process of consultation and consensus, in which all interested parties are invited to participate. Through a Memorandum of Understanding with the Commonwealth government, Standards Australia is recognized as Australia's peak national standards body.

### **Standards New Zealand**

The first national Standards organization was created in New Zealand in 1932. The Standards Council of New Zealand is the national authority responsible for the production of Standards. Standards New Zealand is the trading arm of the Standards Council established under the Standards Act 1988.

### **Australian/New Zealand Standards**

Under an Active Co-operation Agreement between Standards Australia and Standards New Zealand, Australian/New Zealand Standards are prepared by committees of experts from industry, governments, consumers and other sectors. The requirements or recommendations contained in published Standards are a consensus of the views of representative interests and also take account of comments received from other sources. They reflect the latest scientific and industry experience. Australian/New Zealand Standards are kept under continuous review after publication and are updated regularly to take account of changing technology.

### **International Involvement**

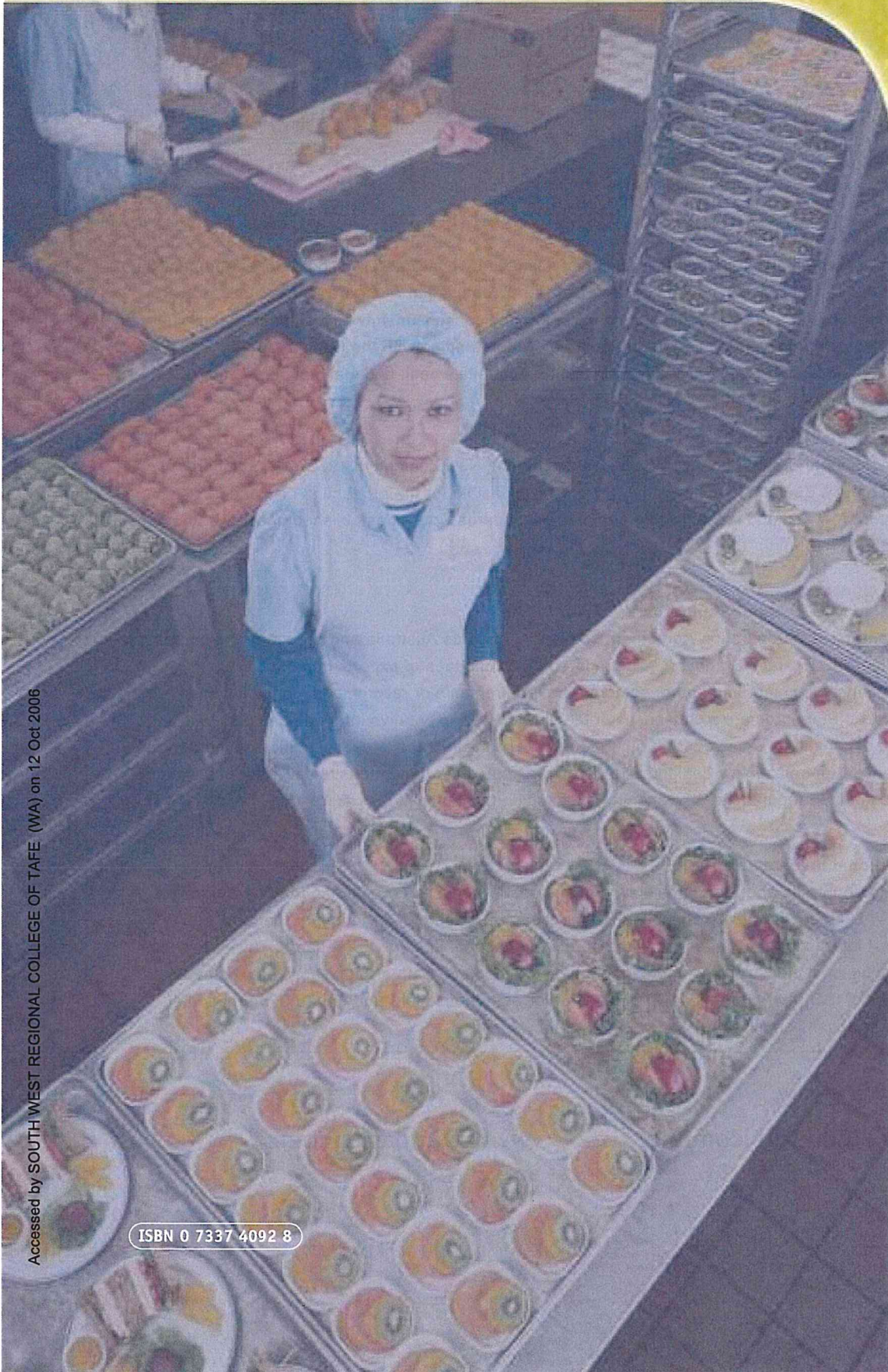
Standards Australia and Standards New Zealand are responsible for ensuring that the Australian and New Zealand viewpoints are considered in the formulation of international Standards and that the latest international experience is incorporated in national and Joint Standards. This role is vital in assisting local industry to compete in international markets. Both organizations are the national members of ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission).

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