

## QUESTION CHECKLIST

PREVIOUS AUDIT FINDINGS (21<sup>st</sup> June 2005)

### 4.1 GENERAL REQUIREMENTS

- Is the scope adequately defined and does it include the areas that have the most significant impact?

### 4.2 HEALTH & SAFETY POLICY

- Has top management defined and documented an H&S policy?
- Is the policy relevant to the activities and processes on site?
- Does it contain commitment to continual improvement?
- Is the policy committed to comply with relevant legislation and other requirements?
- Is the policy documented and implemented?
- Does it set framework for objectives and targets?
- Is it considered in setting objectives and targets?
- Is it implemented and maintained?
- Is it communicated to staff members?
- Is it available to the interested parties?
- Is the need for changes to the policy reviewed?

## QUESTION CHECKLIST

### 4.3 PLANNING

#### 4.3.1 Hazard Identification, Risk assessment and risk control

- Is there a procedure for the identifying of H&S hazards and risks?
- Are the hazards evaluated, to determine significance? (criteria)
- Are these criteria applied systematically?
- Does the risk assessment register contain risks for functional units as well as on site contractors?
- Were the significant hazards considered in setting the objectives?
- Is this information kept up-to-date?

#### 4.3.2 Legal and Other Requirements

- Has a procedure been developed for compliance with legal and other requirements?
- Has a legal register for the site been developed and is the applicable legislation accessible?
- Does the register refer to "other requirements"?
- Are legal requirements communicated to relevant persons in the organisation.
- Has a legal compliance audit been conducted?

#### 4.3.3 Objectives and Targets and Management Programmes

- Is a procedure available describing the objectives and targets process?
- Are objectives and targets developed for each level and function in the organisation?

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- **Are the objectives and targets consistent with the SHE policy?**
- Were the following considered in establishing and reviewing them?
  - Legal and other requirements?
  - Significant hazards and with the commitment to continual improvement?
  - Technological options?
  - Financial, operational and business requirements?
  - Views of interested and affected parties?
- **Are objectives and targets and programmes reviewed regularly?**
- **Are there programmes for achieving the objectives and targets?**
- **Are the responsibilities allocated for each level and function?**
- **Are time frames specified?**
- **Are there methods/ activities to achieve targets specified?**

### 4.4 IMPLEMENTATION AND OPERATION

#### 4.4.1 Resources, Roles, Responsibility and Authority

- **Are H&S Resources made available?**
- **Are roles, responsibilities and authorities defined and documented?**
- **How are the roles, responsibilities and authorities communicated?**
- **Is a management member been appointed as an environmental management representative?**

#### 4.4.2 Competence Training and Awareness

- **Have training needs been identified for personnel that are associated with the significant environmental aspects?**

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- **Has the organization established and maintained procedures to make sure all employees or contractors are aware of the: (Induction Awareness Training Program)**
  - Importance of conformance with the environmental policy, procedures and requirements of the H&S procedures?
  - Significant hazards?
  - Roles and responsibilities pertaining to the HSMS?
  - The potential consequences of departure from specified operating procedures?

### 4.4.3 Communication & Consultation

- **Are procedures in place to maintain internal and external communication?**
  
- **Has consideration been given to the consultation with employees regarding health and safety matters?**

### 4.4.4 Environmental Management System Documentation

- **Is there a description of core elements of the EMS and their interaction and does it provide direction to related documentation?**
  
- **Is the EMS System documented (paper or electric form)?**

**Are the following as a minimum the following documented (paper or electric form)?:**

- The H&S policy, objectives and targets,
- Documents including records required by OHSAS 18801,
- Documents including records required to ensure effective implementation of the HSMS,

### 4.4.5 Control of Documents and Data

- **Is a system in place to maintain documentation and data?**
  
- **Are the following considered with regards to documents?**
  - Legibility & identified? ,
  - Periodic review as necessary and approved by authorized persons and revision date recorded?
  - Prompt removal of obsolete documents? ,

### 4.4.6 Operational Control

- **Are operations and activities with potential significant impacts identified?**
  
- **Are work instructions/procedures developed to plan and maintain these activities?**
  
- **Are operating criteria stipulated in the procedures?**

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- **Are the procedures and their environmental requirements communicated to suppliers and contractors?**

### **4.4.7 Emergency Preparedness and Response**

- **Have potential emergencies been identified?**
  
- **Are procedures in place to prevent or mitigate emergencies?**
  
- **Are these reviewed regularly (at least annually and after incidents)?**
  
- **Is training and testing provided for?**
  
- **Is emergency equipment maintained?**

### **4.5 CHECKING AND CORRECTIVE ACTION**

#### **4.5.1 Monitoring and Performance Measurement**

- **Is there a procedure to monitor and measure relevant operational controls, environmental impact indicators etc?**
  
- **Are records of the above maintained?**
  
- **Are monitoring equipment calibrated and maintained, and records kept thereof?**

#### **4.5.2 Accidents, Incidents, Non-conformance and, Corrective and Preventive Action**

- **Have procedures been established for defining responsibility and authority for handling of and investigation accidents, incidents and non-conformances?**
  
- **Are non-conformance investigated?**
  
- **Are corrective and preventative action taken to estimate the causes of actual and potential non-conformance?**
  
- **Are changes in processes or procedures resulting from corrective actions documented and implemented?**

## QUESTION CHECKLIST

### 4.5.3 Records & Record Management

- **Procedures for the identification, maintenance and disposal of records been established and are they maintained?**
- **Are records kept? (including training records, audit records and reviews)**
- **Are records retrievable, and protected against damage, deterioration or loss?**

### 4.5.4 Environmental Management System Audit

- **Have procedures and an audit program been established?**
- **Does the audit determine conformance to the H&SMS, and to OHSAS 18001 Specification?**
- **Are the audits based on the importance of the activity concerned and the results of previous audits?**
- **Does the audit procedure cover the audit scope, frequency, methodologies and responsibilities and requirements for conducting audits and report results?**
- **Does the procedure refer to the impartiality of auditors?**
- **Does the procedure ensure that information on the results is provided to management?**

### 4.6 MANAGEMENT REVIEW

- **Is a program in place for top management to review the EMS at planned intervals?**
- **Are reviews performed in order to ensure continuing suitability, adequacy and effectiveness of the SMS as well as improvement?**
- **Are the following considered?**
  - Internal audits and evaluation of compliance?
  - Communication from external interested parties, including complaints
  - H&SMS performance
  - Objectives & targets
  - Status of corrective and preventive actions
  - Follow up actions from previous management reviews
  - Changing circumstances including legal and other requirements
  - Recommendations for improvement

## QUESTION CHECKLIST

- Are all the necessary records used for the basis of review?
- Are possible needs for changes to the H&SMS addressed?

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