***Reference Number:* SC/OH&SMS/A-**

**SRI LANKA STANDARDS INSTITUTION**

**ISO 45001:2018 OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM CERTIFICATION SCHEME**

**PRE-ASSESSMENT QUESTIONNAIRE**

**INSTRUCTIONS**

1. The SLSI will ensure the confidentiality of all the information furnished by the applicant in this questionnaire. This information is only disclosed to the designated assessors who are required to sign a confidentiality agreement. The names of these assessors and a copy of their confidentiality agreement will be sent to the applicant prior to assessment.
2. Please tick (🗸) the relevant box given under each question.
3. Upon completion of the questionnaire, it shall be returned to the Systems Certification Division of the Sri Lanka Standards Institution with the documented information maintained by the organization.

# FOR COMPLETING THE QUESTIONNAIRE

* A separate questionnaire shall be completed for each location for which certification is required.
* It is not necessary to repeat information in detail if it is contained in the applicant’s OH & S documentation but reference to the documentation l must be made.
* The SLSI will ensure the confidentiality of all the information furnished by the applicant in this questionnaire. This information is only disclosed to the designated assessors who are required to sign a confidentiality agreement.
* Please tick the relevant box given under sub clause 1.3 and clause 2 to 8.
* If the space provided is not adequate, please attach an extra sheet.
* The completed questionnaire shall be returned to the Director, Systems Certification, SLSI with supplementary information if any.
* The references in the brackets of the text is in accordance of ISO 45001:2018.

**PRE-ASSESSMENT QUESTIONNAIRE**

**1.0 COMPANY PROFILE**

1.1 Name of the Applicant:

………………………………………………………………………………………………………………………………

* 1. Scope of OH&SMS certification:

.………………………………………………………………………………………………….……………………………..………………………………………………………………………………………………………………………….………………………………………………………………………………………………….……………………………..…………………………………………………………………………………………………………………………

* 1. Does your company hold QMS/EMS/ISO 22000/HACCP/GMP Systems Certification? Yes/NO

(if yes, please specify standard, scope of certification)

ISO 9001 EMS 14001

ISO 22000/HACCP GMP

Scope of certification for ISO 9001:

………………………………………………………………………………………………………………………………..………………………………………………………………………………………………….……………………………..…………………………………………………………………………………………………………………………

Scope of certification for EMS 14001:

………………………………………………………………………………………………….……………………………………………………………………………………………………………………………………………………………..………………………………………………………………………………………………….…………………………

Scope of certification for ISO 22000/HACCP/ GMP:

…………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………..…………………………………………………………………………………………………………………………

Any other *(please specify):*

…………………………………………………………………………………………………………………………………..……………………………………………………………………………………………………………………………..…………………………………………………………………………………………………………………………

* 1. **GENERAL**

**1.2.1 Organization**

Please attach an organization chart of the company and mention the activity/activities including name(s) of management.

* + 1. **Number of employees**

1. Total:
2. Management level:
3. Operational level involved in OH & S Management:

**1.2.3 Liaison officer**

**a. Nominee**

Name: Designation:

Telephone Number: Facsimile No.:

e-mail:

**b. Deputy:**

Name: Designation:

Telephone Number: Facsimile No.:

e-mail:

## 1.2.4 WORKING HOURS

a. Please specify working hours (include work shift details also if there are any):

b. Number of shifts:

1. Specify the type of work in each shift (production, packing, labeling etc.)

1. From: ……………... To…………. Number of employees: ……………….

Activities……………………………………………………………………………………………………...

2. From: ……………... To……………. Number of employees: ……………….

Activities……………………………………………………………………………………………………...

3. From: ……………... To……………. Number of employees: ……………….

Activities……………………………………………………………………………………………………...

4. From: ……………... To……………. Number of employees: ……………….

Activities……………………………………………………………………………………………………...

## OH & S ACTIVITIES & LEGAL COMPLIANCE

1.3.1 What are the activities or processes in the organization

(Please attach a activity list/process list /process flow charts)

………………………………………………………………………………………

………………………………………………………………………………………

* + 1. The assessment of hazards of the activities or processes

(Please attach a copy of hazard assessment)

……………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………….…

* + 1. What are the regulations relevant to OH&SMS?

(Please attach a list of legal and other requirements)

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**SRI LANKA STANDARDS INSTITUTION**

**ISO 45001:2018 OH&S MANAGEMENT SYSTEM CERTIFICATION SCHEME**

1. **Context of the organization**
   1. **Understanding the organization and its context**

Yes No

2.1.1 Has the organization determined the external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes of its OH&S management system (OH&SMS)?

* 1. **Understanding the needs and expectations of workers and other interested parties** 
     1. Has the organization determined the following?

Yes No

1. the other interested parties, in addition to workers that are relevant to the OH & S management system?
2. the relevant needs and expectations(requirements) of workers and other interested parties?
3. Which of these needs and expectations are, or could become, legal requirements and other requirements?
   1. **Determining the scope of the OH&S management system**

Yes No

* + 1. Has the organization determined the boundaries and applicability of the OH&S management system to establish its scope?
    2. When determining this scope, has the organization considered the following?

1. the external and internal issues referred to in Clause 4.1 of the ISO 45001: 2018 Standard?
2. the requirements referred to in Clause 4.2 of the

ISO 45001: 2018 Standard?

1. planned or performed work related activities?
   * 1. Do all activities, products and services within the organization’s control or influence that can impact the organization’s OH&S performance?
     2. Does the scope of the organization’s OH&S management system available as documented information?
   1. **OH & S management system**

Yes No

* + 1. Has the organization established, implemented, maintained and continually improved the OH & S management system, including the processes needed and their interactions, in accordance with the requirements of the ISO 45001: 2018 Standard?

1. **Leadership and worker participation**
   1. **Leadership and commitment**

3.1.1 Has the top management demonstrated leadership and commitment with respect to the OH&S management system by:

Yes No

* 1. taking overall responsibility and accountability for the prevention of work related injury and ill health, as well as provision of safe and healthy work places and activities?
  2. ensuring that the OH&S policy and OH&S objectives are established and are compatible with the strategic direction of the organization?
  3. ensuring the integration of the OH&S management system requirements into the organization’s business processes?
  4. ensuring that the resources needed to establish, implement, maintain and improve the OH&S management system are available?
  5. communicating the importance of effective OH&S management and of conforming to the OH&S management system requirements?
  6. ensuring that the OH&S management system achieves its intended outcomes?
  7. directing and supporting persons to contribute to the effectiveness of the OH&S management system?
  8. ensuring and promoting continual improvement?
  9. supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility?
  10. developing, leading and promoting a culture in the organization that supports the intended outcomes of the OH&S management system?
  11. protecting workers from reprisals when reporting incidents, hazards, risks and opportunities?
  12. ensuring the organization establishes and implements a process(es) for consultation and participation of workers?
  13. supporting the establishment and functioning of health and safety committees (see 5.4 e .1)?
  14. **OH & S Policy**

3.2.1 Has the top management established, implemented and maintained an OH&S policy that within the defined scope of OH&S management system:

Yes No

1. includes a commitment to provide safe and healthy

working conditions for the prevention of work

related injury and ill health and is appropriate to

the purpose, size and context of the organization

and to the specific nature of its OH&S risks

and OH&S opportunities?

1. provides a framework for setting OH & S objectives?
2. includes a commitment to fulfill legal requirements

and other requirements?

1. includes a commitment to eliminate hazards and reduce OH&S risks?
2. includes a commitment to continual improvement of the OH & S management system?
3. Includes a commitment to consultation and participation of workers, and, where they exist, workers’ representatives?

3.2.2 Is the OH&S policy:

1. available as documented information?
2. communicated within the organization?
3. made available to interested parties as appropriate?
4. be relevant and appropriate?
   1. **Organizational roles, responsibilities and authorities**

Yes No

* + 1. Has the top management ensured that the responsibilities and authorities for relevant roles within the OH&SMS are assigned and communicated at all levels within the organization and maintained as documented information?
    2. Workers at each level of the organization shall assume responsibility for those aspects of the OH&SMS over which they have control?
    3. Has the top management assigned the responsibility and authority for:

1. ensuring that the OH&S management system conforms to the requirements of the ISO 45001: 2018 Standard?
2. reporting on the performance of the OH&S management system to top management?
   1. **Consultation and participation of workers**

Yes No

* + 1. Has the organization established, implemented, maintained a process(es) for consultation and participation of workers at all applicable levels and functions and where they exist, workers’ representatives, in the development, planning, implementation, performance evaluation and actions for improvement of the OH & S management system?
    2. Has the organization:
    3. provide mechanisms, time, training and resources necessary for consultation and participation?
    4. Provide timely access to clear, understandable and relevant information about the OH&S management system?
    5. Determine and remove obstacles or barriers to participation and minimize those that cannot be removed?
    6. Emphasize the consultation of non-managerial workers of the following:

1. Determining the needs and expectations of interested parties (see 4.2)?
2. Establishing the OH&S policy (see 5.2)?
3. Assigning organizational roles, responsibilities and authorities, as applicable (see 5.3)?
4. Determining how to fulfil legal requirements and other requirements (see 6.1.3)?
5. Establishing OH&S objectives and planning to achieve them (see 6.2)?
6. Determining applicable controls for out sourcing, procurement and contractors (see 8.1.4)?
7. Determining what needs to be monitored, measured and evaluated (see 9.1)?
8. Planning, establishing, implementing and maintaining an audit programme(s) (see 9.2.2)?
9. Ensuring continual improvement (see 10.3)?
   * 1. Emphasize the participation of non-managerial workers of the following:
        1. Determining the mechanisms for their consultation and participation?
        2. identifying hazards and assessing risks and opportunities (see 6.1.1 and 6.1.2)?
        3. determining actions to eliminate hazards and reduce OH&S risks (see 6.1.4)?
        4. Determining competence requirements, training needs, training and evaluating training (see 7.2)?
        5. Determining what needs to be communicated and how this will be done (see 7.4)?
        6. Determining control measures and their effective implementation and use (see 8.1,8.1.3 and 8.2)?
        7. Investigating incidents and nonconformities and determining corrective actions (see 10.2)?
10. **Planning**

**4.1 Actions to address risks and opportunities** Yes No

* + 1. **General**

4.1.1.1 When planning for the OH&S management system, has the organization considered:

the issues referred to in  [Clause 4.1](#bookmark6) (context)?

the requirements referred to in 4.2(interested parties)?

the scope of OH & S management system in 4.3 (the scope of its OH&SMS)?

determined the risks and opportunities that need to be addressed to:

Yes No

1. give assurance that the OH&S management system can achieve its intended outcomes?
2. prevent or reduce undesired effects?
3. achieve continual improvement?
   * + 1. When determining the risks and opportunities for the OH&SMS and its intended outcomes that need to be addressed, has the organization taken into account:

-hazards (see 6.1.2.1)?

-OH&S risks and other risks (6.1.2.3)?

-OH&S opportunities and other opportunities (see 6.1.2.3)?

-legal requirements and other requirements (see 6.1.3)?

4.1.1.3. Has the organization, in its planning process(es) determined

and assessed the risks and opportunities that are relevant to

the intended outcomes of the OH&SMS associated with changes

in the organization, its processes or the OH&SMS?

4.1.1.4. In the case of planned changes, permanent or temporary has

this assessment undertaken before the change is

implemented (see 8.1.3)?

4.1.15 Has the organization maintained documented information on

1. risks and opportunities ?
2. The process(es) and actions needed to determine and

Address its risks and opportunities (see 6.1.2 to 6.1.4)

to the extent necessary to have confidence they are

carried out as planned?

* 1. **Hazard identification and assessment of risks and opportunities**
     1. **Hazard identification**

Yes No

4.2.1.1 Has the organization established, implemented and

maintained a process(es) for hazard identification that is

ongoing and proactive and has taken into account, but

not limited to:

a) how work is organized, social factors (including work

load, work hours, victimization, harassment and

bullying), leadership and the culture in the

organization?

b) routine and non-routine activities and situations, including

hazards arising from

1. infrastructure, equipment, materials, substances

and the physical conditions of the work place?

1. product, and service design, research

development, testing, production, assembly,

construction, service delivery, maintenance

and disposal?

1. human factors?
2. how the work is performed?

c) past relevant incidents, internal or external to the organization,

including emergencies, and their causes?

d) potential emergency situations?

e) people, including consideration of:

* + 1. those with access to the workplace and their

activities, including workers, contractors,

visitors and other persons?

* + 1. those in the vicinity of the work place who can be

affected by the activities of the organization?

* + 1. workers at a location not under the direct control of

the organization?

f) other issues, including consideration of;

1. the design of work areas, processes, installations, machinery

/equipment, operating procedures and work organization,

including their adaptation to the needs and capabilities of

the workers involved?

1. situations occurring in the vicinity of the workplace caused

by work related activities under the control of the

organization?

1. situations not controlled by the organization and occurring

in the vicinity of the work place that can cause injury and

ill health to persons in the work place?

g) actual or proposed changes in organization, operations, processes,

activities and the OH&SMS (see 8.1.3)?

h) changes in knowledge of and information about hazards?

**4.2.2 Assessment of OH&S risks and other risks to the OH&SMS**

4.2.2.1 Has the organization established, implemented and

Maintained a process (es) to:

a) assess OH&S risks from the identified hazards, while taking

into account the effectiveness of the existing controls?

b) determine and assess the other risks related to the

establishment, implementation, operation and maintenance

of OH&SMS?

4.2.2.2 Has the organization defined methodology(ies) and criteria for the

assessment of OH&S risks with respect to the scope, nature and

timing to ensure they are proactive rather than reactive and are

used in a systematic way?

4.2.2.3 Has the documented information maintained and retained on the

Methodology (ies) and criteria?

**4.2.3 Assessment of OH&S opportunities and other opportunities for the OH&SMS**

4.23.1 Has the organization established, implemented and Maintained a process (es)

To assess:

a) OH&S opportunities to enhance OH&S performance, while

taking into account planned changes to the organization,

its polices, the process(es) or activities and:

1) opportunities to adapt work, work organization and

work environment to workers?

2)opportunities to eliminate hazards and reduce risks?

b) other opportunities for improving the OH&SMS?

**4.2.4 Determination of legal requirements and other requirements**

4.2. 4.1 Has the organization established, implemented and Maintained a

process (es) to; Yes No

1. Determine and have accesses to up to datelegal

requirements and other requirements that are

applicable to its hazards, OH&S risks and OH&SMS?

1. Determine how these legal requirements and

other requirements apply to the organization and

what needs to be communicated?

1. Take these legal requirements and other

requirements into account when establishing,

implementing, maintaining and continually

improving its OH&SMS?

4.2.4.2 Has the organization maintained and retain

documented information on legal requirements and

other requirements and ensure that it is updated to

reflect any changes?

* + 1. **Planning action**

a) Has the organization plan to take actions to: Yes No

1. address these risks and opportunities

(see 6.1.2.2 and 6.1.2.3)?

1. address legal requirements and other requirements

(see 6.1.3)?

1. prepare for and respond to emergency situations

(see8.2)?

b) How to

1) integrate and implement the actions into its OH&SMS

processes or other business process?

2) Evaluate the effectiveness of these actions?

4.2.5.1 Has the organization taken into account, the hierarchy

Of controls (see 8.1.2) and outputs from the OH&SMS

when planning to take actions?

4.2.5.2 Has the organization consider best practices, technological

options and its financial operational and business

requirements when planning these actions?

**4.3 OH&S objectives and planning to achieve them**

Yes No

**4.3.1 OH&S objectives**

4.3.1.1 Has the organization established OH & S objectives at

relevant functions and levels, in order to maintain and continually

improve the OH&SMS and OH&S performance (see 10.3)?

4.3.1.2 Are the OH&S objectives:

* 1. Consistent with the OH&S policy?
  2. measurable? (if practicable) or capable of

performance evaluation?

* 1. take into account:

1.) applicable requirements?

2.) the results of the assessment of risks and

Opportunities?

3.) the results of consultation with workers

(see 5.4) and where they exist, workers,

Representatives?

* 1. monitored?
  2. communicated?
  3. updated as appropriate?
     1. **Planning to achieve OH & S objectives**

* + - 1. When planning how to achieve its OH & S

objectives, has the organization determined: Yes No

1. what will be done?
2. what resources will be required?
3. who will be responsible?
4. when it will be completed?
5. how the results will be evaluated including indicators?

for monitoring?

1. how the actions to achieve OH&S objectives will be

integrated into the organizations business processes?

4.3.2.2 Has the organization maintained and retained documented information on the OH&S objectives and plans to achieve them?

1. **Support**

**5.1Resources** Yes No

5.1.1 Has the organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&S management system?

**5.2Competence**

5.2.1 Has the organization:

Yes No

1. determined the necessary competence of worker(s) that affects or can affect its OH&S performance?
2. ensured that these workers are competent (including the ability to identify hazards) on the basis of appropriate education, training, or experience?
3. where applicable, taken actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken?
4. retained appropriate documented information as evidence of competence?

**5.3Awareness**

5.3.1 Has the organization ensured that workers are made aware

of:

Yes No

1. the OH & S policy and objectives?
2. their contribution to the effectiveness of the OH&SMS, including the benefits of improved OH & S performance?
3. the implications and potential consequences of not conforming to the OH&SMS requirements?
4. Incidents and the outcomes of investigations that are relevant to them?
5. Hazards, OH&S risks and actions determined that are relevant to them?
6. The ability to remove themselves from work situations that they consider present an imminent and serious danger to their life or health, as well as the arrangements for protecting them from undue consequences for doing so?

**5.4 Communication**

**5.4.1 General**

5.4.1.1 Has the organization established, implemented and maintained the processes needed for internal and external communications relevant to the OH & S management system, determining:

Yes No

1. on what it will communicate?
2. when to communicate?
3. with whom to communicate?
4. Internally among the various levels and functions of the

Organization?

1. Among the contractors and visitors to the workplace?
2. Among other interested parties?
3. how to communicate?

5.4.1.2 Has the organization taken into account diversity aspects

(eg gender, language, culture, literacy, disability) when

considering its Communication needs?

5.4.1.3 Has the organization ensure that the views of external

Interested parties are considered in establishing its

communication process(es)s?

5.4.1.4When establishing its communication process(es), has the

organization

1. Take into account its legal requirements and other requirements;
2. Ensure that OH&S information communicated is consistent

with information generated within the OH&S management

system, and is reliable?

5.4.1.5 Has the organization respond to relevant communications on its

OH&S management system?

5.4.1.6Has the organization retained documented information

as evidence of its communications, as appropriate?

**5.4.2 Internal communication** Yes No

5.4.2.1Has the organization

a. Internally communicated information relevant to the OH&S

management system among the various levels and functions of the

organization, including changes to the OH&S management system,

as appropriate?

b. Ensured its communication process(es) enables workers to the contribute to continual improvement?

**5.4.3 External communication** Yes No

5.4.3.1Does the organization externally communicated information

relevant to the OH&S management system,

as established by the organization’s

communication process(es) taking into account its

legal requirements and other requirement?

**Documented information**

**5.5.1General**

Yes No

5.5.1.1 Does the organization’s OH & S management system include:

1. documented information required by this International Standard?
2. documented information determined by the organization as being necessary for the effectiveness of the OH & S management system?
   * 1. **Creating and updating**

5.5.2.1 When creating and updating documented information, has **Yes No**

the organization ensured appropriate:

1. identification and description (e.g. a title, date, author, or reference number)?
2. format (e.g. language, software version, graphics) and media (e.g. paper, electronic)?
3. review and approval for suitability and adequacy?
   * 1. **Control of documented information** Yes No

5.5.3.1 Has the documented information required by the OH&S management system and by the ISO 45001: 2018 Standard been controlled to ensure:

1. it is available and suitable for use, where and when it is needed?
2. it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)?

5.5.3.2 For the control of documented information, has the organization addressed the following activities, as applicable?

1. distribution, access, retrieval and use?
2. storage and preservation, including preservation of legibility?
3. control of changes (e.g. version control)?
4. retention and disposition?

5.5.3.3 Has the documented information of external origin determined by the organization to be necessary for the planning and operation of the OH & S management system been identified as appropriate, and controlled?

**6. Operation**

**6.1 Operational planning and control**

**6.1.1 General**

6.1.1.1 Has the organization planned, established, implemented, controlled and maintained the processes needed to meet requirements of OH&S management system, and to implement the actions identified in Clause 6 of the ISO 45001: 2018 Standard), by:

Yes No

1. establishing criteria for the processes?
2. Implementing control of the processes, in accordance with the

criteria?

1. Maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned?
2. Adapting work to workers?

6.1.1.2 Has the organization coordinate the relevant parts of the OH&SMS

as multi –employer work place with other organizations?

**6.1.2** **Eliminating hazards and reducing OH&S risks** Yes No

**6.1.2.1** Has the organization established, implemented and maintained

a process(es) for the elimination of hazards and reduction of

OH&S risks using the following hierarchy of controls;

1. Eliminate the hazard?
2. Substitute with less hazardous processes, operations,

materials or equipment?

1. use engineering controls and reorganization of work?
2. use administrative controls, including training?
3. use adequate personal protective equipment?

**6.1.3 management of change** Yes No

6.1.3.1 Has the organization established a process(es)for the

implementation and control of planned temporary

and permanent changes that impact OH&S performance

including:

1. New products, services and processes or changes

To existing products, services and processes

including:

Work place locations and surroundings?

Work organization?

Working conditions?

Equipment?

Work force?

1. Changes to legal requirements and other

Requirements;

1. Changes in knowledge or information about hazards

and OH&S risks;

1. Developments in knowledge and technology;

6.1.3.2 Has the organization reviewed the consequences of

Unintended changes, taking action to mitigate any adverse

effects, as necessary?

**6.1.4 Procurement**

**6.1.4.1 General** Yes No

6.1.4.1.1 Has the organization established, implemented and

maintained a process(es) to control the procurement of

products and services in order to ensure their conformity

to its OH&SMS?

**6.1.4.2 Contractors** Yes No

6.1.4.2.1 Has the organization coordinated, its procurement process(es)

With its contractors, in order to identify hazards and to

assess and control the OH&S risks arising from:

1. The contractor’s activities and operations that impact the organization?
2. The organization’s activities and operations that impact the contractor’s workers?
3. The contractor’s activities and operations that impact other interested parties in the work place?

6.1.4.2.2 Has the organization ensured that the requirements of its OH&SMS are

met by contractors and their workers?

6.1.4.2.3 Has the organization’s procurement processes defined and applied

OH&S criteria for the selection of contractors?

**6.1.4.3 Outsourcing** Yes No

6.1.4.3.1 Has the organization ensured that outsourced functions and

processes controlled?

6.1.4.3.2 Has the organization ensured that its outsourcing arrangements

consistent with legal requirements and other requirements and with achieving the intended outcomes of OH&SMS?

6.1.4.3.3 Has the organization defined the type and degree of control to be

applied to these functions and processes within the OH&SMS?

**6.2 Emergency preparedness and response** Yes No

6.2.1 Has the organization established, implemented

and maintained the process(es) needed to prepare

for and respond to potential emergency situations

identified in 6.1.2.1 including:

1. establishing a planned response to emergency

situations, including the provision of first aid?

1. Providing training for the planned response?
2. periodically testing and exercising the planned

response capability?

1. Evaluating performance and as necessary, revising

The planned response, including after testing and,

in particular; after the occurrence of emergency

situations?

1. communicating and providing relevant information

to all workers on their duties and responsibilities?

1. communicating relevant information to

contractors, visitors, emergency response

services, government authorities and,

as appropriate, the local community?

1. taking into account the needs and capabilities

of all relevant interested parties and ensuring

their involvement, as appropriate, in the

development of the planned response?

6.2.2 Has the organization maintained and retained

documented information on the process(es) and on

the plans for responding to potential emergency

situations.

**7 Performance evaluation**

**7.1Monitoring, measurement, analysis and performance evaluation**

**7.1.1General**  Yes No

7.1.1.1 Has the organization established, implemented and maintained

the process(es) for monitoring, measurement, analysis

and performance evaluation?

7.1.1.2 Has the organization determined

1. what needs to be monitored and measured, including:
2. the extent to which legal requirements and

other requirements are fulfilled?

1. the activities and operations related to

identified hazards, risks, and opportunities?

1. progress towards achievement of the

organization’s OH&S objectives?

1. Effectiveness of operational and other

Controls?

1. the methods for monitoring, measurement, analysis and performance evaluation, as applicable, to ensure valid results?
2. The criteria against which the organization will evaluate its OH & S performance?
3. when the monitoring and measuring shall be performed?
4. when the results from monitoring and measurement shall be analyzed, evaluated and communicated?

7.1.1.3 Has the organization evaluated the OH & S performance and the effectiveness of the OH & S management system?

7.1.1.4 Has the organization ensured that monitoring and measuring equipment is calibrated or verified as applicable, and is used and maintained, as appropriate?

7.1.1.5 Has the organization retained appropriate documented information:

as evidence of the results of monitoring, measurement, analysis and performance evaluation?

on the maintenance, calibration or verification of measuring equipment?

**7.2 Evaluation of compliance** Yes No

7.2.1 Has the organization established, implemented and maintained a process(es) for evaluating compliance with legal requirements and other requirements (see 6.1.3)?

7.2.2 Has the organization

1. determined the frequency and method(s) for the evaluation of compliance;
2. Evaluated compliance and take action if needed;
3. Maintained knowledge and understanding of its compliance status with legal requirements and other requirements?
4. retained documented information of the compliance evaluation result(s)?
   1. **Internal audit**

**7.3.1General**

Does the organization conduct internal audits at planned intervals to provide information on whether the OH & S management system:

1. conforms to:

Yes No

1. the organization’s own requirements for its

OH & SMS, including the OH&S policy

and OH&S objectives?

1. the requirements of this International Standard?
2. is effectively implemented and maintained?

**7.3.1 Internal audit programme**

**7.3.1 General** Yes No

7.3.1.1 Has the organization:

1. Planned, established, implemented and maintained an internal audit programme(s) including the frequency, methods, responsibilities, consultation, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits?
2. defined the audit criteria and scope for each audit?
3. selected auditors and conducted audits to ensure objectivity and the impartiality of the audit process?
4. ensured that the results of the audits are reported to relevant managers; ensured that relevant audit results reported to workers, and, where they exist, workers’ representatives, and other relevant interested parties?
5. take action to address nonconformities and continually improve its OH&S performance? (see clause 10)
6. retained documented information as evidence of the implementation of the audit programme and the audit results?

**7.4 Management review**

Yes No

7.4.1 Does the top management review the organization’s

OH&SMS, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness?

7.4.2 Is the management review include consideration of:

1. the status of actions from previous management

reviews?

1. Changes in external and internal issues that

are relevant to the OH & S management system including;

1) the needs and expectations of interested parties?

2) legal requirements and other requirements?

3) risks and opportunities?

1. the extent to which OH&S policy and the OH&S objectives have been met?
2. Information on the OH&S performance, including trends in:
3. Incidents, nonconformities, corrective actions and continual improvement?
4. Monitoring and measurement results?
5. Results of evaluation of compliance with legal requirements and other requirements?
6. Audit results?
7. Consultation and participation of workers?
8. Risks and opportunities?
9. adequacy of resources for maintaining an effective

OH&SMS?

1. relevant communication(s) with interested parties?
2. opportunities for continual improvement?

7.4.3 Do the outputs of the management review include decisions related to:

* 1. the continuing suitability, adequacy and effectiveness

of the OH&SMS in achieving its intended outcomes?

* 1. continual improvement opportunities?
  2. any need for changes to the

OH&SMS?

d. resources needed?

* 1. actions, if needed?
  2. opportunities to improve integration of the

OH&SMS with other business processes?

* 1. Any implications for the strategic direction of the

Organization?

7.4.4 Does the top management communicate the relevant

outputs of management reviews to workers, and where they

exist, workers’ representatives (see 7.4) ?

7.4.5 Has the organization retained documented information as

evidence of the results of management reviews?

**8 Improvement**

**8.1 General** Yes No

8.1.1Has the organization determined opportunities for improvement (see clause 9) and implemented necessary actions to achieve the intended outcomes of its OH & S management system?

**8.2 Incident, Nonconformity and corrective action** Yes No

8.2.1 Has the organization established, implemented

and maintained a process(es) including reporting,

investigating and taking action to determine and manage

Incidents and nonconformities?

8.2.2 When an incident or a nonconformity occurs, does the organization:

* 1. react in a timely manner to the incident

nonconformity and, as applicable:

Yes No

1. take action to control and correct it?
2. deal with the consequences;
   1. evaluate with the participation of workers(see5.4) and the involvement of the other interested parties, the need for corrective action to eliminate the root cause(s) of the incident or nonconformity, in order that it does not recur or occur elsewhere, by:
      1. investigating the incident or reviewing the

nonconformity?

* + 1. determining the cause(s) of the incident or

nonconformity?

* + 1. determining if similar incidents have occurred, if nonconformities exist, or if they could potentially occur?
  1. review existing assessments of OH&S risks and

other risks, as appropriate (see 6.1);

* 1. Determine and implement any action needed,

Including corrective action, in accordance with the

hierarchy of controls (see8.1.2) and the management of

change (See 8.1.3);

* 1. Assess OH&S risks that relate to new or changed

hazards, prior to taking action;

* 1. review the effectiveness of any corrective action

taken, including corrective action;

* 1. make changes to the OH & S management system, if necessary?

8.2.3 Does the corrective actions, appropriate to the effects or potential effects of the incidents or the nonconformities encountered?

8.2.4 Has the organization retained documented information as evidence of:

1. the nature of the incidents or nonconformities and any subsequent actions taken?
2. the results of any action and corrective action,

including their effectiveness?

8.2.5 Has the organization communicated this documented

Information to relevant workers, and where they exist,

workers’ representatives and other relevant interested parties?

**8.3 Continual improvement**

Yes No

8.3.1 Has the organization continually improved the suitability, adequacy and effectiveness of the OH&SMS by:

1. enhancing OH & S performance?
2. Promoting a culture that supports an OH&SMS?
3. Promoting the participation of workers in implementing actions for the continual improvement of the OH&SMS?
4. Communicating the relevant results of continual improvement to workers, and, where they exist, workers’ representatives?
5. Maintaining and retaining documented information as evidence of continual improvement?