

# SMALL BUSINESS OH&S SELF APPRAISAL

This questionnaire is designed to help you judge whether your Occupational Health & Safety Management System (OHSMS) is ready for assessment. Completing this questionnaire will assist you in determining if your OHSMS is ready for assessment by LRQA.

If you are unsure about any of the questions, please do not hesitate to contact us. Our free technical helpline can provide advice about any aspect of this questionnaire or interpretation of OHSAS 18001.

**Technical Helpline: 0800 9000 12**  
**Business Advisors: 0800 783 2179**

## Guidance Note

The following questionnaire should be completed in all sections by answering Yes, No or Not Applicable in the appropriate column.

Please explain any No answers in the space given at the end of this questionnaire and/or discuss these with our technical helpline staff.

Where there is a specific reference in your OH&S system which addresses a requirement, please record this.

This document is numbered in accordance with the BS OHSAS 18001:2007 document

## 4 OHSAS Management System Requirements

### 4.1 General Requirements – Answer this section last.

No	Question	Yes/No	Ref.	BS Clause
1	Have you established, documented, implemented, maintained and continually improved your OH&S management system in accordance with the requirements of the OHSAS Standard?			4.1
2	Can you determine how your OH&S management system will fulfil the OHSAS Standard requirements?			4.1
3	Have you defined and documented the scope of your OH&S management system?			4.1



## 4.2 OH&S policy - Consider reviewing again after completing 4.3 through to 4.6

No	Question	Yes/No	Ref.	BS Clause
1	Have top management defined and authorised your OH&S policy, ensuring it is appropriate to the nature and scale of your organisation's OH&S risks as captured by the defined scope of your OH&S management system?			4.2 a
2	Have top management included commitment to prevention of injury and ill health with continual improvement in your OH&S management and performance in your organisation?			4.2 b
3	Can you demonstrate commitment to at least comply with applicable legal requirements and with other requirements to which you subscribe, that relate to your organisation's OH&S hazards?			4.2 c
4	Have top management provided a framework for setting and reviewing OH&S objectives?			4.2 d
5	Is your OH&S policy documented, implemented and maintained?			4.2 e
6	Is your policy communicated to all persons working under the control of your organisation to make them aware of their individual obligations within your OH&S management system?			4.2 f
7	Is your OH&S policy available to interested parties?			4.2 g
8	Do you regularly review your OH&S policy statement and management system to ensure that it remains relevant and appropriate to your organisation?			4.2 h

## 4.3 Planning

### 4.3.1 Hazard identification, risk assessment & determining controls

No	Question	Yes/No	Ref.	ISO Clause
1	Have you established, implemented and maintained a procedure(s) for the ongoing hazard identification, risk assessment, and determination of necessary controls; making sure the procedure(s) for hazard identification and risk assessment take into account:			4.3.1
	a. routine and non-routine activities?			
	b. activities of all persons having access to the workplace (including contractors and visitors)?			
	c. human behaviour, capabilities and other human factors?			
	d. identified hazards originating outside the workplace capable of adversely affecting the health and safety of persons under the control of your organisation within the workplace?			

### 4.3 Planning

#### 4.3.1 Hazard identification, risk assessment & determining controls

No	Question	Yes/No	Ref.	ISO Clause
1	e. hazards created in the vicinity of the workplace by work-related activities under the control of your organisation?			4.3.1
	f. infrastructure, equipment and materials at the workplace, whether they are provided by you or other organisations?			
	g. changes or proposed changes to your organisation, its activities, or materials?			
	h. modifications to the OH&S management system, including temporary changes, and their impacts on your operations processes, and activities?			
2	Does your organisation define methodology for hazard identification and risk assessment within the scope, nature and timing, to be proactive rather than reactive?			4.3.1
3	When defining hazard identification and risk assessment, do you provide identification, prioritisation and documentation of risks and the application of controls as appropriate?			4.3.1
4	For the management of change, do you identify the OH&S hazards and OH&S risks associated with changes in your organisation, your OH&S management system, or your activities, prior to the introduction of change?			4.3.1
5	Do you make sure the results of your assessments are considered when determining controls?			4.3.1
6	When determining controls, do you apply the following hierarchy of control: a. elimination? b. substitution? c. engineering controls? d. signage/warnings and/or administrative controls? e. personal protective equipment?			4.3.1
7	Do you keep documentation of the results from the identification of hazards, risk assessments and determined controls updated?			4.3.1
8	When establishing, implementing and maintaining you OH&S management system, do you ensure that the OH&S risks and determined controls are taken into account?			4.3.1

#### 4.3.2 Legal and other requirements

No	Question	Yes/No	Ref.	ISO Clause
1	Have you established, implemented and maintained a procedure(s) for identifying and accessing the legal and other OH&S requirements that are applicable to you?			4.3.2
2	When establishing, implementing and maintaining your OH&S management system, do you take into account your applicable legal requirements and other requirements to which you subscribe?			4.3.2
3	Do you keep this information up-to-date?			4.3.2
4	Do you communicate to persons working under control of your organisation and other relevant parties all applicable information on legal and other requirements?			4.3.2

#### 4.3.3 Objectives and Programme(s)

No	Question	Yes/No	Ref.	ISO Clause
1	Have you established, implemented and maintained documented OH&S objectives, at relevant functions and levels within your organisation?			4.3.3
2	Are these objectives measurable, where practicable, and consistent with your OH&S policy, including: <ul style="list-style-type: none"><li>- your commitments to the prevention of injury and ill health?</li><li>- your compliance with applicable legal requirements and with other requirements to which your organisation subscribes?</li><li>- and to continual improvement?</li></ul>			4.3.3
3	When establishing and reviewing your objectives, do you take into account the legal requirements and other requirements to which your organisation subscribes, and to your OH&S risks?			4.3.3
4	Do you consider your organisation's technological, financial, operational and business requirements, including views of your relevant interested parties?			4.3.3

#### 4.3.3. Objectives and Programme(s)

No	Question	Yes/No	Ref.	ISO Clause
1	Have you established, implemented and maintained a programme(s) for achieving your objectives?			4.3.3
	Does your programme(s) contain, as a minimum: <ul style="list-style-type: none"><li>- the designation of responsibility and authority for achieving objectives at relevant functions and levels within your organisation?</li><li>- the means and time-frame by which your objectives are to be achieved?</li></ul>			4.3.3
2	Do you review your programme(s) at regular and planned intervals, and adjusted them as necessary, to ensure that your objectives are achieved?			4.3.3

#### 4.4 Implementation and Operation

##### 4.4.1 Resources, roles, responsibilities, accountability and authority

No	Question	Yes/No	Ref.	ISO Clause
1	Do top management take ultimate responsibility for your OH&S policy your OH&S management system?			4.4.1
2	Do top management demonstrate commitment by: a. ensuring the availability of resources essential to establish, implement, maintain and improve your OH&S management system? b. defining roles, allocating responsibilities and accountabilities, and delegating authorities to facilitate effective OH&S management? c. are these roles, responsibilities, accountabilities, and authorities documented and communicated?			4.4.1
3	Has your organisation appointed a member(s) of top management with specific responsibility for OH&S, irrespective of other responsibilities, and with defined roles for authority?			4.4.1
4	Does this appointed member(s) ensure that the OH&S management system is established, implemented and maintained in accordance with the OHSAS Standard?			4.4.1
5	Does the appointed member(s) ensure that reports on the performance of the OH&S management system are presented to top management for review and used as a basis for improvement?			4.4.1
6	Is the identity of the top management appointee made available to all persons working under the control of your organisation?			4.4.1
7	Do all those with management responsibility demonstrate their commitment to the continual improvement of your OH&S performance?			4.4.1
8	Does your organisation ensure that persons in the workplace take responsibility for aspects of OH&S over which they have control including adherence to the organisation's applicable OH&S requirements?			4.4.1 4.4.2

##### 4.4.2 Competence, training and awareness

No	Question	Yes/No	Ref.	ISO Clause
1	Are all persons working under the control of your organisation, who are performing tasks that can impact on OH&S, competent on the basis of: - appropriate education, training or experience; and - do they retain associated records?			4.4.2
2	Has your organisation identified training needs associated with the control of your OH&S risks and your OH&S management system?			

#### 4.4.2 Competence, training and awareness

No	Question	Yes/No	Ref.	ISO Clause
3	Does your organisation provide training or take other action to meet these needs, evaluate the effectiveness and retain associated records?			4.4.2
4	Can your organisation demonstrate that it has established, implemented and maintained a procedure(s) to make a person(s) working under your control aware of: <ol style="list-style-type: none"> <li>the OH&amp;S consequences of their work activities, their behaviour and the OH&amp;S benefits of improved personal behaviour?</li> <li>their roles and responsibilities and the importance in achieving conformity to the OH&amp;S policy and procedures and to the requirements of the OH&amp;S management system, including emergency preparedness and response requirements (see 4.4.7)?</li> <li>the potential consequences of departure from specified procedures?</li> </ol>			4.4.2
5	Do your training procedures take into account differing levels of responsibility, ability, language skills, literacy and risk?			4.4.2

#### 4.4.3 Communication, participation and consultation

No	Question	Yes/No	Ref.	ISO Clause
1	Regarding your OH&S hazards and OH&S management system, have you established, implemented and maintained a procedure(s) for: <ol style="list-style-type: none"> <li>internal communication?</li> <li>communication with contractors and other visitors to the workplace?</li> <li>receiving, documenting and responding to relevant communications from external interested parties?</li> </ol>			4.4.3.1
2	Has your organisation established, implemented and maintained a procedure for the participation of your workers by: <ul style="list-style-type: none"> <li>- appropriate involvement in hazard identification, risk assessment and determination of controls?</li> <li>- appropriate involvement in incident investigation?</li> <li>- involvement in the development and review of the OH&amp;S policies and objectives?</li> <li>- consultation where there are any changes that affect their OH&amp;S?</li> <li>- Representation of OH&amp;S matters?</li> </ul>			4.4.3.2
3	Are your workers informed about their participation arrangements, including who is their representative(s) on OH&S matters?			4.4.3.2
4	Have you got a procedure(s) in place to consult with contractors where there are changes that affect their OH&S?			4.4.3.2
5	Does your organisation ensure that all relevant external interested parties are consulted about pertinent OH&S matters?			4.4.3.2

#### 4.4.4 Documentation

No	Question	Yes/No	Ref.	ISO Clause
1	Does your OH&S management system documentation include: a) the OH&S policy and objectives? b) description of scope of the OH&S management system? c) description of the main elements of the OH&S management system and their interaction and reference to related documents? d) documents, including records, required by the OHSAS Standard? e) documents, including records, determined by your organisation to be necessary to ensure the effective planning, operation and control of processes that relate to the management of your OH&S risks?			4.4.4

#### 4.4.5 Control of Documents

No	Question	Yes/No	Ref.	ISO Clause
1	Are your documents required by your OH&S management system and by the OHSAS Standard controlled (records are a special type of document and controlled in accordance with the requirements given in 4.5.4 of the Standard)?			4.4.5
2	Has your organisation established, implemented and maintained a procedure(s) to: a) approve documents for adequacy prior to issue? b) review and update as necessary and re-approve documents? c) ensure that changes and the current revision status of documents are identified? d) ensure that relevant versions of applicable documents are available at points of use? e) ensure that documents remain legible and readily identifiable? f) ensure that documents of external origin determined by your organisation necessary for the planning and operation of your OH&S management system are identified and then distributed and controlled? g) prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose?			4.4.5

#### 4.4.6 Operational Control

No	Question	Yes/No	Ref.	ISO Clause
1	Have you determined the operations and activities that are associated with your identified hazard(s) where the implementation of controls is necessary to manage the OH&S risk(s)?			4.4.6
2	Do you also control the management of change (see 4.3.1)?			4.4.6

#### 4.4.6 Operational Control

No	Question	Yes/No	Ref.	ISO Clause
3	For the determined operations and activities, have you implemented and maintained: a) operational controls applicable to your organisation and its activities; and are these controls integrated into your overall OH&S management system? b) controls related to purchased goods, equipment and services? c) controls related to contractors and other visitors to the workplace? d) Documented procedures to cover situations where their absence could lead to deviations from your OH&S policy and your objectives? e) Stipulated operating criteria where their absence, could lead to deviations from your OH&S policy and objectives?			4.4.6

#### 4.4.7 Emergency preparedness and response

No	Question	Yes/No	Ref.	ISO Clause
1	Have you established, implemented and maintained a procedure(s): a) to identify the potential for emergency situations? b) to respond to such emergency systems?			4.4.7
2	Does your organisation respond to actual emergency situations and prevent or mitigate associated OH&S consequences?			4.4.7
3	When you are planning your emergency response, do you take account of the needs of the relevant interested parties, e.g. emergency services and neighbours?			4.4.7
4	Do you periodically test your procedure(s) to respond to emergency situations and where practicable, do you involve relevant interested parties as appropriate?			4.4.7
5	Do you review and where necessary, revise your emergency preparedness and response procedure(s), in particular, after periodical testing and after the occurrence of emergency situations (see 4.5.3)?			4.4.7

#### 4.5 Checking

##### 4.5.1 Performance measurement and monitoring

No	Question	Yes/No	Ref.	ISO Clause
1	Has your organisation established, implemented and maintained a procedure(s) to monitor and measure OH&S performance on a regular basis?			4.5.1
2	Does this procedure(s) provide for: a) both qualitative and quantitative measures, appropriate to the needs of your organisation? b) monitoring of the extent to which your organisation's OH&S objectives are met?			



## 4.5 Checking

### 4.5.1 Performance measurement and monitoring

No	Question	Yes/No	Ref.	ISO Clause
2	<p>c) monitoring the effectiveness of controls (for health as well as for safety)?</p> <p>d) proactive measures of performance that monitor conformance with your OH&amp;S programme(s), controls and operational criteria?</p> <p>e) reactive measures of performance that monitor ill health, incidents (including accidents, near-misses, etc.), and other historical evidence of deficient OH&amp;S performance?</p> <p>f) recording of data and results of monitoring and measurement sufficient to facilitate subsequent corrective action and preventive action analysis?</p>			4.5.1
3	If equipment is required to monitor or measure performance, has your organisation established and maintained procedures for the calibration and maintenance of such equipment, as appropriate?			4.5.1
4	Have you got records of calibration and maintenance activities and have results been retained?			4.5.1

### 4.5.2 Evaluation of compliance

No	Question	Yes/No	Ref.	ISO Clause
1	Consistent with your commitment to compliance (see 4.2c), has your organisation established, implemented and maintained a procedure(s) for periodically evaluating compliance with applicable legal requirements (see 4.3.2)?			4.5.2.1
2	Does your organisation keep records of your results for your periodic evaluations?			4.5.2.1
3	Do you evaluate compliance with other requirements to which you subscribe (see 4.3.2)?			4.5.2.1
4	Do you keep records of the results from your periodic evaluations?			4.5.2.1

#### 4.5.3.1 Incident investigation

No	Question	Yes/No	Ref.	ISO Clause
1	Have you established, implemented and maintained a procedure(s) to record, investigate and analyse incidents in order to: a) determine underlying OH&S deficiencies and other factors that might be causing or contributing to the occurrence of incidents? b) identify the need for corrective action? c) identify opportunities for preventive action? d) identify opportunities for continual improvement? e) communicate the results of such investigations?			4.5.3.1
2	Are the investigations performed in a timely manner? If any incidents are identified and need corrective action or there is an opportunity for preventive action, are these dealt with in accordance with the relevant parts of 4.5.3.2?			4.5.3.1
3	Are the results of incident investigations documented and maintained?			4.5.3.1

#### 4.5.3.2 Nonconformity, corrective action and preventative action

No	Question	Yes/No	Ref.	ISO Clause
1	Have you established, implemented and maintained a procedure(s) for dealing with actual and potential nonconformity(ies) and for taking corrective and preventive action?			4.5.3.2
2	Do your procedure(s) define requirements for: a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate your OH&S consequences? b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence? c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence? d) recording and communicating the results of corrective and preventive action(s) taken? e) reviewing the effectiveness of corrective and preventive action(s) taken?			4.5.3.2
3	Where your corrective and preventive action identifies new or changed hazards or there is a need for new or changed controls, does your procedure require that proposed actions are to be taken through a risk assessment prior to implementation?			4.5.3.2
4	Is any corrective or preventive action taken to eliminate the causes of actual and potential nonconformity(ies) appropriate to the magnitude of problems and does this action correspond with the OH&S risk(s) encountered?			4.5.3.2
5	Do you ensure that any necessary changes arising from corrective and preventive actions are made to your OH&S management system documentation?			4.5.3.2

#### 4.5.4 Control of records

No	Question	Yes/No	Ref.	ISO Clause
1	Have you established and maintained records as necessary to demonstrate conformity to the requirements of your OH&S management system and of the OHSAS Standard and your results achieved?			4.5.4
2	Have you established, implemented and maintained a procedure(s) for the identification, storage, protection, retrieval, retention and disposal of your records?			4.5.4
3	Are your records legible, identifiable and traceable and will they remain so?			4.5.4

#### 4.5.5 Internal audit

No	Question	Yes/No	Ref.	ISO Clause
1	Do you ensure that internal audits of your OH&S management system are conducted at planned intervals to: a) determine whether your OH&S management system: i) conforms to planned arrangements for your OH&S management system including the requirements of the OHSAS Standard? ii) has been properly implemented and maintained? iii) is effective in meeting your organisation's policy and objectives? b) provide information on the results of audits to management?			4.5.5
2	Are your audit programme(s) planned, established, implemented and maintained by you, based on the results of your risk assessments of your organisation's activities, and the results of previous audits?			4.5.5
3	Are your audit procedure(s) established, implemented and maintained to address: a) the responsibilities, competencies and requirements for planning and conducting audits, reporting results and retaining associated records? b) the determination of audit criteria, scope, frequency and methods?			4.5.5
4	Does your selection procedure of auditors and conduct of audits ensure objectivity and impartiality of the audit process?			4.5.5

#### 4.6 Management review

No	Question	Yes/No	Ref.	ISO Clause
1	Does top management review the organisation's OH&S management system at planned intervals to ensure continuing suitability, adequacy and effectiveness?			4.6
2	Do the reviews include assessing opportunities for improvement and the need for changes to the OH&S management system, including the OH&S policy and OH&S objectives?			4.6

#### 4.6 Management review

No	Question	Yes/No	Ref.	ISO Clause
3	Do you retain records of the management reviews?			4.6
4	Do your management reviews include: a) results of internal audits and evaluations of compliance with applicable legal requirements and other requirements to which the organisation subscribes? b) the results of participation and consultation (refer to 4.4.3)? c) relevant communication(s) from external interested parties, including complaints? d) the OH&S performance of the organisation? e) the extent to which objectives have been met? f) status of incident investigations, corrective actions and preventive actions? g) follow-up actions from previous management reviews? h) changing circumstances, including developments in legal and other requirements related to OH&S? i) recommendations for improvement?			4.6
5	Are your outputs from management reviews consistent with the organisation's commitment to continual improvement and do they include any decisions and actions related to possible changes to: a) OH&S performance? b) OH&S policy and objectives? c) resources? and d) other elements of the OH&S management system?			4.6
6	Are your management reviews made available for communication and consultation (refer to 4.4.3)?			4.6

Do you believe you are now ready for assessment? Yes  No

If No please advise when you will be ready: \_\_\_\_\_

Please indicate how long your system has been issued and in operation: \_\_\_\_\_

If you are ready for assessment, or believe you will be ready for assessment within the next six months, please return this questionnaire to LRQA. Our technical staff will review it and, if we need to clarify any points, will contact you before we visit your company.

If you have any queries about the BS OHSAS 18001:2007 assessment process, please do not hesitate to call our dedicated Small Business Advisors on **0800 783 2179**.

Print Name: \_\_\_\_\_ Company: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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