



OHSAS 18001-2007 OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM REQUIREMENTS CHECKLIST

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Authority:	Yuliy Zaytsev AzSPU Safety & Compliance Manager	Custodian:	Elman Shikhkerimov COW / Safety Systems Lead
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Parameter	Observation
4.1 GENERAL REQUIREMENTS	
• What is the scope of the Occupational Health and Safety management system?	
• Is the scope of the OH&S MS defined and formally documented within your company's OH&S management system (OHSMS) documentation?	
• Are there activities that are excluded from the scope of the OHS MS and are the reasons for exclusion acceptable?	
4.2 Occupational Health & Safety Policy	
• Has top management defined and approved the OH&S policy?	
○ Is the policy consistent with the scope of the OH&S MS?	
○ Is the policy appropriate to the nature, scale and OH&S risks in your activities, products or services?	
○ What commitment does the policy make to continual improvement?	
○ What commitment does the policy make to prevention of injury and ill health in the workplace?	
○ Does the OH&S policy include a commitment to comply with relevant OH&S legislation and regulations, and with other requirements to which the company subscribes that relate to the OH&S hazards?	
○ Does the policy provide the framework for setting and reviewing OH&S objectives?	
○ Is the OH&S policy documented, implemented and maintained and how is it communicated to all persons?	
○ How the policy is made available to the public and all interested parties?	
○ Is the policy reviewed at regular intervals and what triggers will result in the review to be undertaken by the company?	
4.3 PLANNING	

Parameter	Observation
4.3.1 Hazard Identification, Risk Assessment & Determining Controls	
<ul style="list-style-type: none"> Has a procedure been established, implemented and maintained to identify for the ongoing identification of hazards, assessment of risks and determining the necessary controls? 	
<ul style="list-style-type: none"> How do the procedure(s) for the hazard identification and risk assessment:- 	
(a) Take into account the routine and non-routine activities?	
(b) Take into account how the activities for all persons accessing the workplace including contractors and visitors?	
(c) Take into account the human behavior, capabilities and other human factors?	
(d) Take into account the identified hazards, including those that may originate from outside the workplace that are capable of adversely affecting the health and safety of the persons under the control of the company within the workplace?	
(e) Take into account how the company control created vicinity of workplace during work-related activities?	
(f) Take into account how the infrastructure, equipment and materials at the workplace from all sources affect the company?	
(g) Take into account how the company identifies the changes or proposed changes to its activities or materials it uses?	
(h) Take into account how modifications to OH&S system, whether they be temporary or not, impact on the operations, processes and activities of the company?	
(i) Take into account any applicable legal obligations relating to risk assessment and implementation of controls?	
(j) Take into account how the company's identified the legal requirements for health and safety of persons beyond the immediate workplace, including those who are exposed to the workplace activities?	

Parameter	Observation
(k) Take into account the effects of the design of the work areas, processes, installations, machinery/equipment, operating procedures and work organizations, including their adaptation to human capabilities?	
• How does the company's methodology for hazard identification and risk assessment:-	
(a) Defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive? and	
(b) How does it provide for the identification, prioritization, and documentation of the risks and the applications of the controls to be used?	
• How does the company identify, for the management of change, the OH&S hazards and OH&S risks associated with the changes in the company, and OH&S management system, its activities, prior to introducing the changes?	
• How does the company ensure that results of these assessments are taken into account when determining the controls to be used?	
• How do the control determined, or when considering changes to the existing controls, also take into account the reduction of the risks using the hierarchy of controls in order of:	
(a) Elimination;	
(b) Substitution;	
(c) Engineering controls;	
(d) Signage/warning and/or administrative controls;	
(e) Personal protective equipment?	
• How does the company document and keep the results of the identification of hazards, risk assessment and determination of controls up-to-date?	
• How it is ensured that OH&S risks and determined controls are taken into account when establishing, implementing and maintaining OH&S	

Parameter	Observation
management system?	
4.3.2 Legal and Other Requirements	
<ul style="list-style-type: none"> Has a procedure been established and implemented to identify how to access legal and other OH&S requirements that are applicable to it? 	
<ul style="list-style-type: none"> How are these identified applicable legal and other requirements the company subscribes to, are taken into account when establishing and implementing OH&S Management system (e.g. objectives, monitoring, training, auditing etc.) 	
<ul style="list-style-type: none"> How are the above procedure(s) maintained? 	
<ul style="list-style-type: none"> How does the company ensure the legal and other requirements are kept up-to-date? 	
<ul style="list-style-type: none"> How the legal and other requirements are communicated to the company personnel and any other relevant interested parties? (i.e. to employees, contractors, visitors and any other interested person). 	
4.3.3 Objectives, and Program(s)	
<ul style="list-style-type: none"> Have documented OH&S objectives been established, implemented and maintained within the company? 	
<ul style="list-style-type: none"> Have these been established at relevant functions and levels within the company? 	
<ul style="list-style-type: none"> Has a program(s) been established, implemented and maintained to achieve these objectives? 	
<ul style="list-style-type: none"> Are the objectives measurable and are they consistent with the following: 	
<ul style="list-style-type: none"> ➤ OH&S Policy, 	
<ul style="list-style-type: none"> ➤ Prevention of Injury and ill health, 	
<ul style="list-style-type: none"> ➤ Applicable legal and other requirements it subscribes to, 	
<ul style="list-style-type: none"> ➤ Continual Improvement 	
<ul style="list-style-type: none"> How were the following considered when setting OH&S objectives: <ul style="list-style-type: none"> ➤ Applicable Legal and other requirements it subscribes to? 	

Parameter	Observation
➤ OH&S risks?	
• How the followings are taken into account:	
➤ Technological options?	
➤ Financial, operational and business requirements?	
➤ Views of interested parties?	
• Who is responsible at the different levels of your company for implementing the program(s)?	
• What are the means and timeframes for achieving the different objectives?	
• How is ensured that program(s) are amended as a result of new developments, new or modified activities, products and services?	
• Has the planned intervals been set to review and adjust the objective so that they are achieved?	
4.4 IMPLEMENTATION AND OPERATION	
4.4.1 Resources, Roles, Responsibility, Accountability and Authority	
• How does the company demonstrate that ultimate responsibility for OH&S and OH&S management system lies with it?	
• Does the top management demonstrate its commitment by:	
(a) Ensuring that resources essential to establishing, maintaining and improving the OH&S management system are available? Do these resources include?	
I. Human resources? II. Specialized skills? III. Organizational structure? IV. Technology V. Financial resources	
(b) How are the roles and responsibilities, accountabilities and authorities defined and documented and communicated in order to achieve effective OH&S management system?	

Parameter	Observation
<ul style="list-style-type: none"> Has the company appointed members from Top management, with specific responsibilities and defined roles and authority to: <ul style="list-style-type: none"> (a) Ensuring that OH&S management system is established, implemented and maintained in accordance with the OHSAS 18001 standard? 	
<ul style="list-style-type: none"> (b) Ensuring that reporting on the performance of the OH&S management system is presented to Top Management for review and used as a basis to identify improvements of the OH&S management system? 	
<ul style="list-style-type: none"> How the Top Management appointee is made available to all persons working under the control of the company? 	
<ul style="list-style-type: none"> How do those with management responsibility to demonstrate their commitment to continual improvement of OH&S performance? 	
<ul style="list-style-type: none"> How does the company ensure that persons in the workplace take responsibility for the aspects of OH&S over which that have control, including adhering to the company's applicable OH&S requirements? 	
4.4.2 Competence, Training and Awareness	
<ul style="list-style-type: none"> How does the company ensure that all persons working for or under their control are competent to undertake the tasks that can impact on OH&S? 	
<ul style="list-style-type: none"> Has the company retained competency and associated records? 	
<ul style="list-style-type: none"> How does the company identify training needs associated with its OH&S risks and its OH&S management system? 	
<ul style="list-style-type: none"> Has training and other actions required to meet these needs been delivered, the effectiveness of the training evaluated, and associated records retained? 	
<ul style="list-style-type: none"> Has a procedure(s) been established, implemented and maintained to ensure that the people working for, or under the control of the company are aware of : <ul style="list-style-type: none"> (a) The OH&S consequences, actual or potential, of their work activities, their behaviors and the OH&S benefits of improved personal performance? 	

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(b) The roles and responsibilities and importance of conforming to the OH&S Policy, procedures and to the requirements of OH&S management system?	
(c) Do they also understand their roles and responsibilities in emergency preparedness and response requirements?	
(d) Do they understand the potential consequences if they deviate from the specified procedures?	
<ul style="list-style-type: none"> Does the training procedures take into account different levels of: <ol style="list-style-type: none"> Responsibility Ability Language skills Literacy Risk 	
4.4.3 Communication, Participation and Consultation	
4.4.3.1 Communication	
<ul style="list-style-type: none"> As relevant to its OH&S risks and OH&S Management Systems, has the company establish, implemented and maintained procedure(s) for: <ol style="list-style-type: none"> Internal communication between the various levels and functions of the company? Communication with contractors and other visitors to workplace? Receiving, documenting and responding to relevant communication from external interested parties? 	
4.4.3.2 Participation and Consultation	
<ul style="list-style-type: none"> Are workers informed about the arrangement of their participation and who is their representative(s) on OH&S matters? 	
<ul style="list-style-type: none"> Has the company established, implemented and maintained procedure(s) for: <ol style="list-style-type: none"> The participation of workers and has this taken into account – <ol style="list-style-type: none"> Their involvement in hazard identification, risk assessments 	

Parameter	Observation
and determining controls? II. Their involvement in incident investigations? III. Their involvement in the development and review of the OH&S Policies and objectives? IV. That they be consulted where there are changes that affect their OH&S? V. That they have representation on OH&S matters?	
(b) The consultation with contractors where there are changes that affect their OH&S?	
<ul style="list-style-type: none"> How does the company ensure that, when appropriate, the relevant external interested parties are consulted about pertinent OH&S matters? 	
4.4.4 Documentation	
<ul style="list-style-type: none"> Does the company's OH&S management system documentation include: <ul style="list-style-type: none"> ➤ The OH&S policy, objectives? ➤ A description of the scope of the OH&S management systems? ➤ A description of the main elements of the OH&S management system, their interaction and reference to related documents? ➤ Documents and records required by this Standard? ➤ Documents, including records, necessary for the effective planning, operation and control of processes related to its OH&S risks? How is this being maintained? 	
4.4.5 Control of Documents	
<ul style="list-style-type: none"> Have procedures been established, implemented and maintained to control all documents required by the OHSAS 18001 standard? Does the procedure address: <ul style="list-style-type: none"> (a) Who approves the documents for adequacy before they are issued? 	

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(b) How they are periodically reviewed, updated and re-approved as necessary?	
(c) How changes and the current revision status are identified?	
(d) How current versions of relevant documents are made available at points of use?	
(e) How the eligibility and identification of the documents is ensured?	
(f) How external documents, as determined by the company for effective planning and operation of the safety management system are identified and controlled?	
(g) How to prevent obsolete documents against unintended use, and apply suitable identification to them if they are retained for any purpose?	
4.4.6 Operational Control	
<ul style="list-style-type: none"> How has the company determined the operations and activities that are associated with the identified hazard(s) and implemented controls to manage the OH&S risk(s)? 	
<ul style="list-style-type: none"> Have the identified hazard(s) controls to manage the risk(s) also included the management of change (4.3.1) 	
<ul style="list-style-type: none"> From the identified hazard(s) and OH&S risk(s) has the company: 	
<ul style="list-style-type: none"> (a) Implemented the operational controls, as applicable to the company and its activities? 	
<ul style="list-style-type: none"> (b) Integrated the operational controls into its OH&S management system? 	
<ul style="list-style-type: none"> (c) Implemented the controls related to purchased goods, equipment and services? 	
<ul style="list-style-type: none"> (d) Implemented the controls related to contractors and other visitors to the workplace 	
<ul style="list-style-type: none"> (e) Implemented documented procedures, to cover situations where the absence of a procedure could lead to deviations from the OH&S policy and the OH&S objectives? 	

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(f) Implemented the stipulated operating criteria where their absence could lead to deviations from the OH&S policy and OH&S objectives?	
• How are the above procedure(s) maintained?	
4.4.7 Emergency Preparedness and Response	
• Have procedures been established, implemented and maintained:	
(a) To identify the potential emergency situations?	
(b) And to response to such emergency situations?	
• Does the procedure(s) cover how the company will respond to actual emergency situations?	
• Does the procedure(s) cover how the company will prevent or mitigate the associated adverse OH&S consequences?	
• How does the company plan its emergency response and does it take into account the needs of relevant interested parties?	
• How does the company test these procedure(s) to be able to respond to these emergency situations and, where practicable, does the company involve relevant interested parties?	
• Is this testing, above, periodically undertaken and at what intervals?	
• Does the company periodically review, revise and update its emergency preparedness and response procedure(s) after the completion of the scheduled test and after the occurrence of an emergency situation, where necessary?	
4.5 CHECKING	
4.5.1 Performance Measurement and Monitoring	
• Have procedures been established and maintained to monitor and measure OH&S performance, on a regular basis and does the procedure(s) provide for:	
(a) Both qualitative and quantitative measures, as appropriate for the company needs?	

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(b) Monitoring of the extent to which the company's OH&S objectives are met?	
(c) Monitoring the effectiveness of controls for both health and safety?	
(d) Proactive measures of performance that monitor the conformance of the OH&S programme(s), controls and operational criteria?	
(e) Reactive measures of performance that monitor ill health, incidents, accidents, near misses, potential incidents, etc and other historical evidence of deficient performance?	
(f) Recording of data and results of monitoring and measurement sufficient to assist in the analysis of corrective and preventive actions?	
• How is monitoring and measuring equipment calibrated or verified and maintained?	
• Are calibration and maintenance records retained?	
4.5.2 Evaluation of compliance	
• Has the company established, implemented and maintained a procedure(s) for periodically evaluating its compliance with the applicable legal and other requirements identified in 4.3.2 of this standard?	
• Has the company evaluated its compliance with other requirements identified in 4.3.2 of this check list?	
• Are the records of the results of the periodic evaluations been maintained?	
4.5.3 Incident investigation, nonconformity, corrective action and preventive action	
4.5.3.1 Incident Investigation	
• Has the company established, implemented and maintained a procedure(s) to record, investigate and analyze incidents: (a) In order to determine any underlying OH&S deficiencies and other factors that might be causing or contributing to the occurrence of incidents?	

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(b) In order to identify the need for corrective action (c) In order to identify opportunities for preventative action and continual improvement (d) In order to communicate the results of the investigation.	
<ul style="list-style-type: none"> Does the company undertake these investigations in a timely manner? 	
<ul style="list-style-type: none"> Does your company use the Non-conformity, Corrective & Preventive Action system to deal with any actions? 	
4.5.3.2 Non-conformity, Corrective action & Preventive action	
<ul style="list-style-type: none"> Has the company established, implemented and maintained procedure(s) for: <ul style="list-style-type: none"> (a) Dealing with actual and potential non-conformities, and (b) Corrective and preventive action? 	
<ul style="list-style-type: none"> Do the procedures define requirements for: <ul style="list-style-type: none"> (a) Identifying and correcting non-conformities and taking action to mitigate the resulting OH&S consequences? (b) Investigating the non-conformities, determining their causes and take action to avoid their recurrence? (c) Evaluating the need for actions to be taken to prevent non-conformities, and implementing appropriate actions? (d) Recording the results of corrective and preventive actions taken? (e) Reviewing the effectiveness of corrective and preventive actions? 	
<ul style="list-style-type: none"> When the company's corrective and preventive action system identifies new or changed hazards and controls, does the procedure require the company to undertake a risk assessment prior to implementation (of the actions)? 	
<ul style="list-style-type: none"> How is it decided that the action(s) taken to eliminate the causes of actual and potential non-conformities are appropriate to the magnitude of the problem(s) and proportional to the OH&S risk(s) encountered? 	
<ul style="list-style-type: none"> How is it ensured that changes (if any) are made in the OH&S management system documentation? 	

Parameter	Observation
4.5.4 Control of Records	
<ul style="list-style-type: none"> Has the company established, implemented and maintained the procedures for identification, storage, protection, retrieval, retention and disposal of OH&S records? 	
<ul style="list-style-type: none"> How are these updated? 	
<ul style="list-style-type: none"> Do these records include those that are necessary to demonstrate conformity to the requirements of the standard and include (for example), records of: <ul style="list-style-type: none"> (a) Competence, training & awareness? (b) Communication? (c) Evaluation of compliance with legal and other requirements? (d) Monitoring and measurement? (e) Corrective & preventive action? (f) Internal audits? (g) Management review? 	
<ul style="list-style-type: none"> Are the environmental records legible, identifiable and traceable? 	
<ul style="list-style-type: none"> How are the OH&S records stored in order that they are readily retrievable and protected against damage, deterioration or loss? 	
<ul style="list-style-type: none"> Does the company have a backup procedure for electronic records? 	
4.5.5 Internal Audit	
<ul style="list-style-type: none"> Have program(s) and procedures for periodic internal audits been established, implemented and maintained? 	
<ul style="list-style-type: none"> Do these internal audits determine whether or not the environmental management system: <ul style="list-style-type: none"> (a) Conforms to planned arrangements for environmental management including the requirements of OHSAS18001, and (b) Has been properly implemented and maintained? (c) Is effective in meeting the company's policy and objectives? 	

Parameter	Observation
<ul style="list-style-type: none"> How does the audit program take into account the OH&S risk assessments of your company's concerns, and the results of previous audits? 	
<ul style="list-style-type: none"> How does the company provide information on the results of audits to management? 	
<ul style="list-style-type: none"> Does the audit procedure cover: <ul style="list-style-type: none"> (a) The responsibilities and requirements for planning and conducting audits, reporting results and retention of associated records? (b) The determination of audit criteria, scope, frequency and methods? 	
<ul style="list-style-type: none"> How the competency of the OH&S auditors used is determined? 	
<ul style="list-style-type: none"> How does the selection of auditors and the conduct of audits ensure objectivity and impartiality of the audit process? 	
4.6 MANAGEMENT REVIEW	
<ul style="list-style-type: none"> Has the company's top management (at planned intervals) reviewed the OH&S management system, to ensure its continuing suitability, adequacy and effectiveness? 	
<ul style="list-style-type: none"> Does the review 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? 	
<ul style="list-style-type: none"> Do the inputs to management review include: <ul style="list-style-type: none"> (a) Results from internal audits and evaluations of compliance with legal and other requirements? 	
<ul style="list-style-type: none"> (b) The results of participation and consultation? 	
<ul style="list-style-type: none"> (c) Relevant communication from external parties, including complaints? 	
<ul style="list-style-type: none"> (d) The OH&S performance of your company? 	
<ul style="list-style-type: none"> (e) The extent to which the objectives have been met? 	
<ul style="list-style-type: none"> (f) The status of incident investigations, corrective and preventive 	

Parameter	Observation
actions	
(g) Follow-up actions from previous management reviews	
(h) Changing circumstances, including developments in legal and other requirements related to OH&S, and	
(i) Recommendations for improvement?	
<ul style="list-style-type: none">Do the outputs from the management review include decisions and actions related to possible changes to the OH&S policy, objectives, resources, OH&S performance and other elements of the OH&S management system, and consistent with the commitment to continual improvement?	
<ul style="list-style-type: none">Are the records of the management reviews retained and made available for communication and consultation?	

Notes:**Persons Interviewed:****Documents Reviewed:****Revision/Review Log**

Revision Date	Authority	Custodian	Revision Details
24 April 2009	Yuliy Zaytsev Safety & Compliance Manager	Idrak Nazarov HSE MS Team Leader	Initial Issue
25 October 2010	Yuliy Zaytsev Safety & Compliance Manager	Elman Shikhkerimov COW / Safety Systems Lead	Custodian updated in line with AzSPU re-organisation.