

# AS/NZS 4801

Your implementation guide



# Protect your people and your reputation with **AS/NZS 4801**

AS/NZS 4801 is the internationally recognized management system standard for Occupational Health & Safety (OH&S).

It's a great way to create a safer working environment, reduce risk, and meet OH&S related compliance requirements.

At BSI we have the experience to help you get the most from AS/NZS 4801.

In fact we've been leading the way in OH&S related standards since BS 8800:1996, (a specification for an occupational health and safety management system) was first developed.

This guide shows you how to implement AS/NZS 4801 in your organization and get the most out of it for the long term. We also showcase our additional support services, which can help you not only achieve certification, but uncover further business improvements.

*"The knowledge and expertise of the BSI Assessor is very professional. It is a pleasure to have him on site."*

ICL UK, global manufacturer of essential minerals

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# How **AS/NZS 4801** works and what it delivers for your organization

**You can't afford to overlook workplace health & safety. It only takes one accident to destroy a reputation.**

**AS/NZS 4801** is the internationally recognized management system standard that helps you to manage occupational health and safety (OH&S), minimize risk, safeguard your reputation, and keep your workplace safe. It's a flexible and scalable solution, not just applicable to industries traditionally associated with high risks such as construction, mining, or engineering. It's designed for organizations large or small whether you are manufacturing a product or delivering a service.

AS/NZS 4801 helps you to create a framework to be both proactive and reactive about the way OH&S is managed. You can use it to meet regulatory requirements, and to help achieve business objectives. It's structured in a way that requires you to review and continually improve your OH&S processes which helps avoid complacency, stay on top of changes to legislation, and safeguard your brand. That's why AS/NZS 4801 really adds value.

## Benefits of AS/NZS 4801\*



\*Source: BSI Benefits survey - BSI clients were asked which benefits they obtained from AS/NZS 4801

# How **AS/NZS 4801** works

Plan-Do-Check-Act (PDCA) is the operating principle of AS/NZS 4801. It's applied to all processes and the OH&S Management System (OH&SMS) as a whole. When you follow this cycle you will be able to effectively manage and continually improve your organization's effectiveness.

## The four stages of the Plan-Do-Check-Act Cycle involve

### Plan

Establish objectives and draft your plans, analyze your organization's current systems, establish overall objectives set interim targets for review and develop plans to achieve them

### Act

Correct and improve your plans to meet or exceed your planned results



### Do

Implement your plans within a structured management framework

### Check

Measure and monitor your actual results against your planned objectives

Some of the core concepts of AS/NZS 4801 are:

Concept	Comment
Acceptable risk	A risk that can be tolerated by the organization
Document	Information in any medium
Hazard	A source, situation or act with potential for harm in terms of injury or ill health or a combination of these
Hazard identification	The process of recognizing a hazard
Incident	Work-related event(s) in which injury, ill health, or fatality occurred, or could have occurred
Interested party	A person or group, inside or outside the workplace, concerned with or affected by the OH&S performance of the organization
OH&S objective	OH&S goal, in terms of OH&S performance that an organization sets itself to achieve
Management review	The process by which management evaluates the progress and achievements of the OH&SMS
OH&S performance	Measurable results of an organization's management of its OH&S risks
Risk assessment	The process of evaluating risks arising from a hazard, considering the adequacy of existing controls, and deciding whether or not the risk is acceptable
Workplace	Any physical location where workplace activities are performed under the control of the organization



# Key requirements of AS/NZS 4801

## Clause 1: Scope

The first clause covers the scope of the standard.

## Clause 2: Reference publications

OHSAS 18002, and ILO:2001, Guidelines on OH&SMS are referenced in the second clause.

## Clause 3: Terms and definitions

This clause details the key terms and definitions contained in the standard.

## Clause 4: OH&S Management System requirements

The requirements of the standard are contained in Clause 4 which is split into 6 sub-clauses.

### Clause 4.1: General requirements

This section requires an organization to establish, document, implement, maintain, and continually improve an OH&SMS. It also requires the organization to define the scope of this. This will require you to consider the activities the organization performs and the number of locations in which you operate.

### Clause 4.2: OH&S policy

This is where the responsibilities of top management in relation to the organization's OH&S policy need to be defined. The policy must be appropriate to the nature and size of the organization, include

a commitment to the prevention of injury and ill health, and to at least comply with all applicable legal requirements.

It must also be communicated to all employees, interested parties, and anyone else working on behalf of the company, for example subcontractors.

This section of the standard stipulates that the OH&S policy needs to be documented, implemented, and maintained so that it is kept up-to-date. This is validated through management reviews.

### Clause 4.3: Planning

This sub-clause is concerned with the identification and assessment of risks, and how controls to manage these risks are determined. You'll need to have a system in place to assess risks to reduce or mitigate their effect. How you do this is up to you but your approach must be consistent with the requirements of the standard.

Relevant legal OH&S requirements must be met and information regarding this kept up-to-date. The organization also needs to ensure that those working under its control are made aware of these legal requirements.

Documented OH&S objectives need to be identified which need to be measurable and consistent with the OH&S policy. You'll also need to consider the organization's financial, operational and business requirements as well as the views of interested parties.



Programmes to achieve the objectives of the OH&SMS need to be put in place and the people responsible for these must be identified. These must be regularly reviewed and adjusted if required to make sure these objectives are achieved.

#### **Clause 4.4:** Implementation and operation

The first part of this sub-clause requires top management to show their commitment to the OH&SMS. This is by ensuring that resources, (including human, technological, financial or infrastructure-related), are made available to maintain, implement and improve it.

Roles, responsibilities and accountabilities related to the OH&SMS must be defined to ensure its effectiveness. A member of top management must be appointed as the management representative with responsibility for the OH&SMS. They need to report on the implementation and performance of the system (including opportunities to improve it), to the rest of the management team.

It also covers the competency of those working under the organization's control to ensure that they have the appropriate levels of training, education or experience in relation to the OH&SMS. Training records need to be maintained and kept up-to-date. Training must take account of differing levels of responsibility, ability, risk, and literacy.

You will need to make sure your OH&S policy is clearly communicated at all levels, both inside and outside the organization including to visitors and subcontractors. There is a specific requirement for employees to be involved in hazard identification, risk assessments and the determination of controls. They also need to be appropriately involved should there be an accident investigation.

This section of the standard requires a system is put in place to manage and control the documentation that supports the OH&SMS. This should include the OH&S policy and objectives, the scope, and any necessary documents that help ensure its effective implementation and operation.

These documents must be controlled, and there must be a process for reviewing documents. Changes need to be tracked, and obsolete versions must be identifiable so they are not used unintentionally.

The organization needs to identify activities that take place which represent a hazard and controls need to be put in place that minimize any OH&S risks from them.

The final part of this sub-clause covers how to deal with an emergency and your preparedness for it. You will also need to identify potential emergencies that could take place and consider any relevant regulations. You may wish to consider periodic testing of emergency procedures with scenarios such as mock



drills. What you learn from these may then be used to continually improve your OH&SMS.

#### **Clause 4.5:** Checking

This sub-clause focuses on the need to monitor and measure your OH&SMS on a regular basis. This includes quantitative and qualitative, proactive and reactive measures. Any equipment used to monitor or record this data needs to be calibrated and records kept.

You will need to put in place a way of recording, investigating and analyzing incidents. This includes identifying any OH&S deficiencies that could have contributed to the underlying cause of the incident. You'll also need to show how the process for investigating incidents helps identify corrective actions, preventive actions, or to identify opportunities for improvement.

This section covers dealing with nonconformities and corrective actions. If this process uncovers new hazards which necessitate new controls being put in place then you'll need to assess the risk of this. Corrective actions need to be proportionate to the magnitude of the OH&S problem which has occurred.

Records need to be kept and maintained to show conformity to the OH&SMS. You will also need to put in place a way of maintaining, storing, protecting, and retrieving these records.

Internal audits need to be completed on a regular basis to keep your OH&S management system up to date so it meets the requirements of your organization. The results of these audits need to be shared with the management team

#### **Clause 4.6:** Management Review

This final section of the standard requires you to have in place a schedule for top management reviews of your OH&SMS. These must take place at planned and regular intervals. Their purpose is to ensure the OH&SMS is effective, and continually being improved.

During these reviews you'll need to provide an update on a number of key areas. This includes the results of internal audits, an evaluation of compliance with legal or other requirements, and any opportunities for further improvement. You will also need to give an update on your OH&S performance. The results or status of any incident investigation need to be reported as well as a summary of any areas for improvement in the OH&SMS that have been identified.

You will need to record the outputs of these reviews, retain them, and ensure that they are made available for communication and consultation.

# Top tips on making **AS/NZS 4801** effective for you

Every year we have interactions with tens of thousands of clients. Here are their top tips.

**Top management commitment** is key to making implementation of AS/NZS 4801 a success. They need to be actively involved and approve the resources required.



“The earlier that you talk to senior managers, the better it will go, so have those discussions early.” Overbury, UK fit-out and refurbishment business

**Think about how different departments work together** to avoid silos. Make sure the organization works as a team for the benefit of customers and the organization.



“Independent assessment and certification to a recognized standard is an important way for us to clearly demonstrate our commitment to the safety of our employees and the wider community”

Cambridgeshire Fire & Rescue Service

**Review systems, policies, procedures and processes** you have in place – you may already do much of what’s in the standard, and make it work for your business. You shouldn’t be doing something just for the sake of the standard – it needs to add value.



“Don’t try and change your business to fit the standard. Think about how you do things and how the standard reflects on how you do it, rather than the other way round.”

Overbury, UK fit-out and refurbishment business

**Speak to your customers and suppliers.** They may be able to suggest improvements and give feedback on your service.



“The BSI Assessor was very knowledgeable and thorough and this will help us achieve continual improvements.”

Nippon Gohsei UK Ltd, synthetic chemical company

**Train your staff to carry out internal audits of the system.** This can help with their understanding, but it could also provide valuable feedback on potential problems or opportunities for improvement.



“The Internal Auditor course has allowed me to approach auditing with a new confidence”

Landis+Gyr UK Ltd, metering solutions company

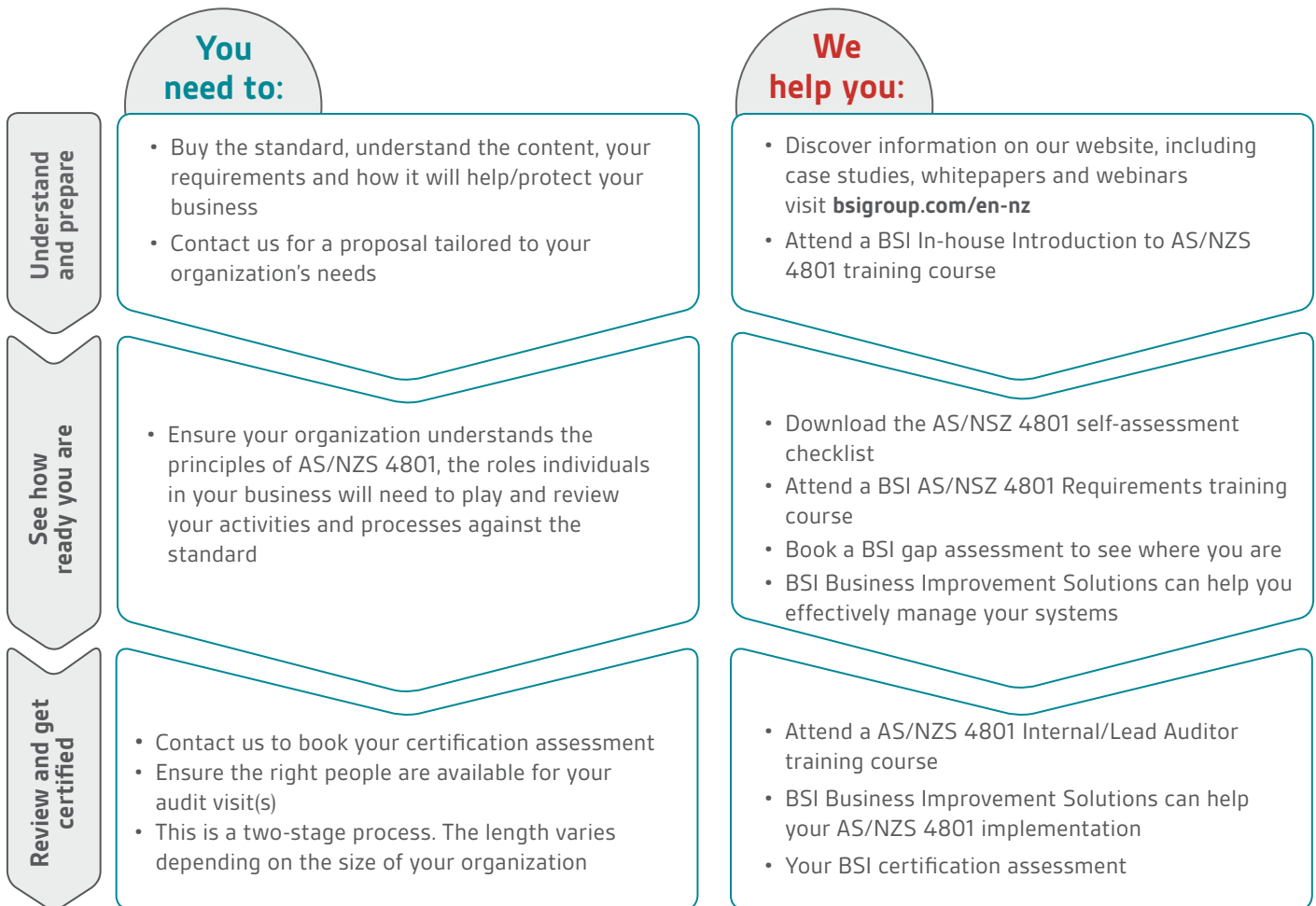
And finally, when you gain certification celebrate your achievement and use the **BSI Assurance Mark** on your literature, website and promotional material.





# Your **AS/NZS 4801** Journey

Whether you're new to Occupational Health & Safety Management or looking to enhance your current system, we have the right resources and training courses to help you understand and implement AS/NZS 4801. We can help make sure your system keeps on delivering the best for your business.



## Continually improve and make excellence a habit

Your journey doesn't stop with certification. We can help you to fine-tune your organization so it performs at its best.

- Celebrate and promote your success – download and use the BSI Assurance Mark to show you are certified.
- Use BSI Business Improvement Solutions to help you manage systems and drive performance.
- Your BSI Client Manager will visit you regularly to make sure you remain compliant and support your continual improvement.
- Consider integrating other management system standards to maximize business benefits, such as ISO 9001 Quality Management and ISO 14001 Environmental Management.
- Our range of additional Occupational Health and Safety training courses could help you to develop as an OH&S professional.

# BSI Training Academy

The BSI Training Academy is a world leader in helping clients develop the knowledge and skills they need to embed excellence in their organizations. We offer a range of AS/NZS 4801 training solutions that can be tailored to your needs. Our training courses are developed by experts in their fields so when you train with us you'll benefit from their expertise.

Using the latest research, our accelerated learning approach is proven to fast-track learning and improve knowledge retention. Our experienced tutors can help you get to grips with the matters that concern you and your organization directly, whether delivered in-house or as part of an open course where other delegates can share their experience.

Courses that help you understand AS/NZS 4801 include:

## AS/NZS 4801 Introduction

- One-day classroom-based training course
- Get an overview of the principles behind the management of health and safety in the workplace and the requirements of the standard
- Understand the benefits of health and safety management systems using the risk management assessment framework of AS/NZS 4801
- Essential for anyone involved in health and safety management who needs to gain an understanding of AS/NZS 4801

## AS/NZS 4801 Requirements

- Two-day classroom-based training course
- You will already have a good knowledge of the standard and you now need to implement the standard
- Learn tools and techniques for implementation and become familiar with the key documentation requirements
- Learn how to develop meaningful performance indicators and their application
- Learn how to implement a continual improvement process

## AS/NZS 4801 Internal/Lead Auditor

- Four-day classroom-based training course
- Ideal for anyone needing to develop the skills, techniques and knowledge to undertake OH&S-related internal audits
- Learn how to initiate an audit, prepare and conduct audit activities, compile and distribute audit reports and complete follow-up activities
- Essential for anyone involved in health and safety management who needs to gain an understanding of AS/NZS 4801
- Gain confidence in your scheduling, planning, and reporting and be able to ensure improvements are made efficiently and effectively Five-day classroom-based training
- Recommended for anyone leading an audit, maintaining, or supervising an AS/NZS 4801 OH&SMS
- Learn to develop your own audit strategies against certification criteria
- Show leadership in reporting and taking action to strengthen health and safety

# BSI Business Improvement Solutions

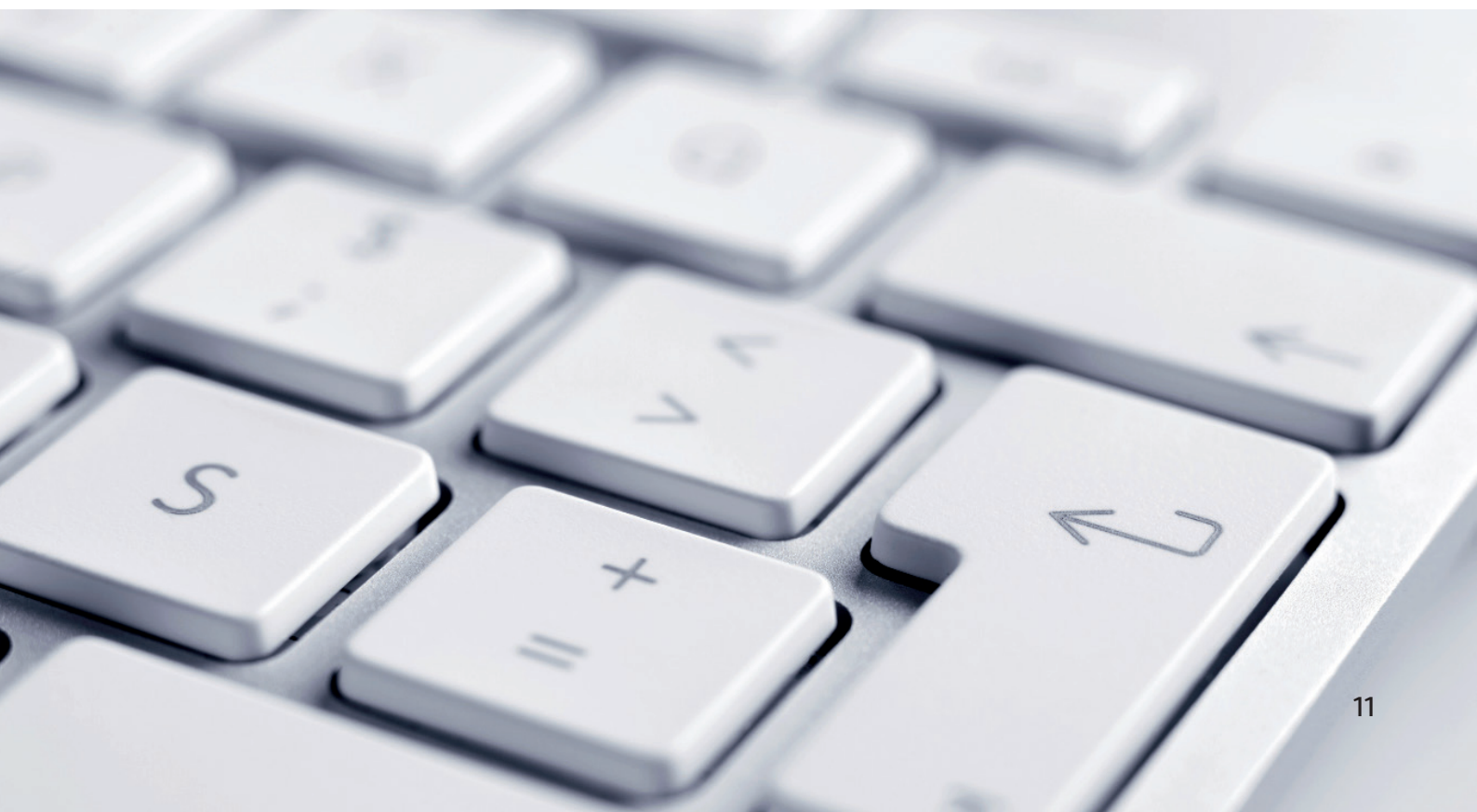
## Accelerate implementation time and deliver continual improvements

The decision to implement a new management system standard is a huge opportunity to drive business improvement, but initiating, implementing and maintaining this can also be a challenge. Ensuring you get the most from your investment is a key driver to your future success. BSI Business Improvement Solutions provides tools that can significantly reduce the cost and effort to implement an effective management system such as AS/NZS 4801. It can be configured to the requirements of the standard and provide your organization with the tools necessary to manage essential elements of AS/NZS 4801 across your organization. The start of your AS/NZS 4801 journey is an ideal time to implement BSI Business Improvement Solutions to support your OH&SMS.

## It can help you to:

- Accelerate implementation time by up to 50%
- Manage your document control effectively
- Provide company-wide visibility on implementation of the standard so you know exactly where you are at any one time
- You can easily and accurately input actions related to audits, incidents/events, risk and performance
- Through its customizable dashboards and reporting tools it gives you early insight into trends that help you make business decisions early on and drive improvement

The savings are the costs you avoid because you could not see what was happening at the facility level.



# Why BSI?



BSI has been at the forefront of AS/NZS 4801 since the OHSAS Project Group first published the OHSAS 18000 Series in 1999. Originally based on a number of standards including BS 8800:1996, the first specification for an OH&S management system, we currently hold the Secretariat and we continue to be at the forefront of developing and evolving the standard to keep organizations operationally resilient.

At BSI we create excellence by driving the success of our clients through standards. We help organizations to embed resilience, helping them to grow sustainably, adapt to change, and prosper for the long term. We make excellence a habit.

For over a century our experts have been challenging mediocrity and complacency to help embed excellence into the way people and products work. With 80,000 clients in 182 countries, BSI is an organization whose standards inspire excellence across the globe.



## Our products and services

We provide a unique combination of complementary products and services, managed through our three business streams; Knowledge, Assurance and Compliance.

### Knowledge

The core of our business centres on the knowledge that we create and impart to our clients. In the standards arena we continue to build our reputation as an expert body, bringing together experts from industry to shape standards at local, regional and international levels. In fact, BSI originally created eight of the world's top 10 management system standards.

### Assurance

Independent assessment of the conformity of a process or product to a particular standard ensures that our clients perform to a high level of excellence. We train our clients in world-class implementation and auditing techniques to ensure they maximize the benefits of standards.

### Compliance

To experience real, long-term benefits, our clients need to ensure ongoing compliance to a regulation, market need or standard so that it becomes an embedded habit. We provide a range of services and differentiated management tools which help facilitate this process.



Find out more  
Call: 0800 583 965  
Visit: [bsigroup.com/en-nz](https://bsigroup.com/en-nz)