



**HOW TO BENEFIT FROM
INTEGRATED MANAGEMENT
SYSTEMS**

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Presentation content

- Integrated management systems in ISO standards
 - Annex SL requirements
 - Discipline standards requirements
- Understanding context to guide you on the extent of integration
- Addressing risk in integrated systems
- Integrated auditing
- Summary of the benefits

Annex SL and integration

And the requirements in specific discipline standards



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But first, what's new about integration?

- Management systems standards have been evolving and harmonising through a number of revisions, and the benefits of integration have been acknowledged for many years
- BSI developed PAS 99 – Specification of common management system requirements as a framework for integration, published in 2006
- PAS 99 was revised in 2012 and embraced the new Annex SL structure, and provided some interpretation of its requirements
- However, PAS 99 2012 does not reflect the interpretations of ISO 9001, ISO 14001, ISO 45001 DIS, etc.
- Some of the new requirements of these revised (and new) management systems standards present challenges for integration

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ISO 45001 DIS	<p>Annex A 4.4 OH&S management system The organisation determines how to integrate requirements of the OH&S management system into its various business processes, such as design & development, procurement, human resources, sales and marketing, etc.</p>
	<p>Annex 6.2.1 OH&S Objectives OH&S objectives can be integrated with other business objectives</p>
	<p>Annex A 8.1.2 Eliminating hazards and reducing OH&S risks. Integrate health and safety including ergonomics when planning new workplace</p>
ISO 9001	<p>Nothing additional And comparably fewer references to integration than ISO 14001 and ISO 45001 DIS</p>

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Implications

- From the standards:
 - Encouragement for integration of management system disciplines
 - Encouragement for integration into business processes
 - Both can deliver benefits, efficiencies, etc.
 - Both present challenges
- A question (or two)
 - What are the challenges for management systems – the barriers to success?
 - Can integration in some form break them down?

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Understanding context

to guide you on the extent of integration



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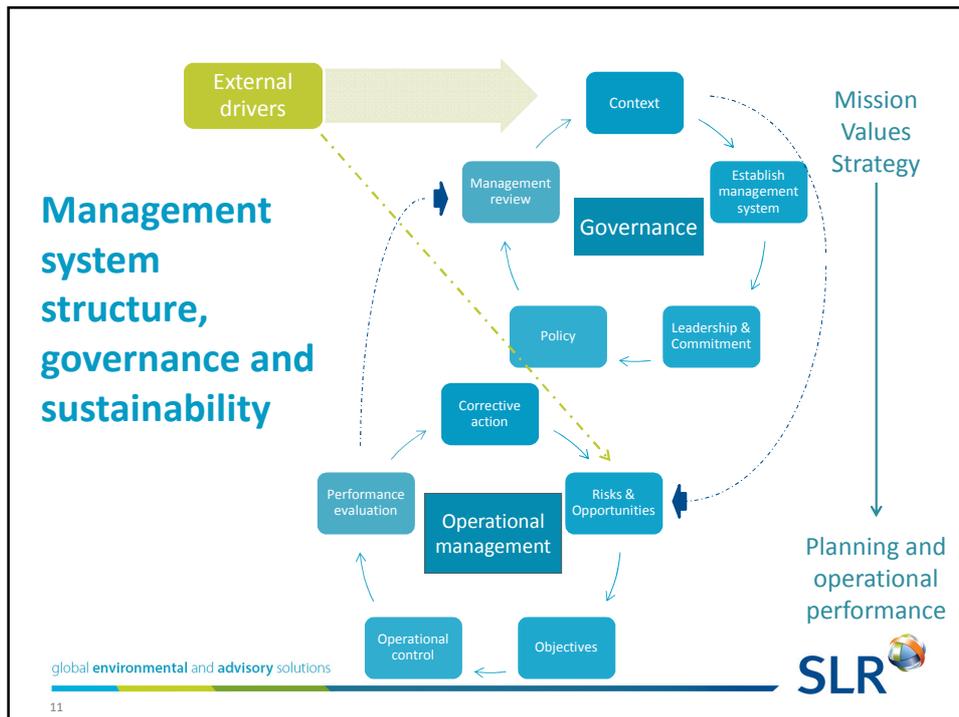
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Context and interested parties in standards

- Annex SL - Context
 - “The organization shall determine external and internal issues relevant to its purpose and that affect its ability to achieve the intended outcomes of its XXX management system. “
 - This is used in ISO 45001 DIS and ISO 14001, and with a small variation in ISO 9001
 - ISO 45001 DIS and ISO 14001 also include detailed guidance and examples of internal and external issues in their Annexes.
- Annex SL – Needs and expectations of interested parties
 - “The organization shall determine:
 - the interested parties that are relevant to the XXX management system, and
 - the requirements of these interested parties.”

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Context, and needs and expectations of interested parties, implications for integration

- Customer requirements
 - May not be for an integrated system
 - But for certification to ISO 9001, ISO 14001, OHSAS 18001/ ISO 45001
- Lenders and investors
 - Their standards for EHS
 - Their desire to control risk
 - Again, may encourage implementation of an integrated system
- Organisational characteristics
 - What is our business culture?
 - What competences do we have?
 - What sort of business systems and processes?

Examples

- Power company supplying equipment for remote locations
 - Determination of context led to extending the EMS to field operations (previously assumed to be under client control) and to suppliers
 - Well-understood OH&S processes expanded to address environment – Zero Harm, walks and talks, incident reporting
- Waste company operating a treatment facility for municipal waste
 - Authority required certified systems for quality and environment
 - Waste company wanted certification for OH&S
 - Decided to implement an IMS for certification to all three standards

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Degrees of integration

Single organisational management system, incorporating HSEQ

Integrated HSEQ management system aligned with other business processes

Separate OH&S, E and Q management systems, with some shared tools, e.g. non-conformance processes

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Benefits of determining context

- The wording of the clause on context is important - it requires consideration of issues:
 - Relevant to the organisation's purpose (its reason for being, its vision, mission and values), i.e. things of supreme importance to senior management
 - That affect its ability to achieve the intended outcomes of its management system
- This is extremely powerful, as it shows to senior management how important its management system can be, in relation to its purpose
 - It helps to align E, H&S, Q strategy with business goals
 - This should result in senior management support for the management system, including for an IMS, if that is more efficient or meets customer expectations

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Integrated approach to risks & opportunities

How can this work?

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Annex SL approach to risks and opportunities

1. When planning for the XXX management system, consider context and the needs and expectations of interested parties and determine the risks and opportunities that need to be addressed to:
 - assure the XXX management system can achieve its intended outcome(s)
 - prevent, or reduce, undesired effects
 - achieve continual improvement
2. Plan actions to address the risks and opportunities and integrate these into its XXX management system

- ISO 45001 DIS and ISO 14001 do this, but with additional steps

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ISO 45001 DIS and Risks & Opportunities

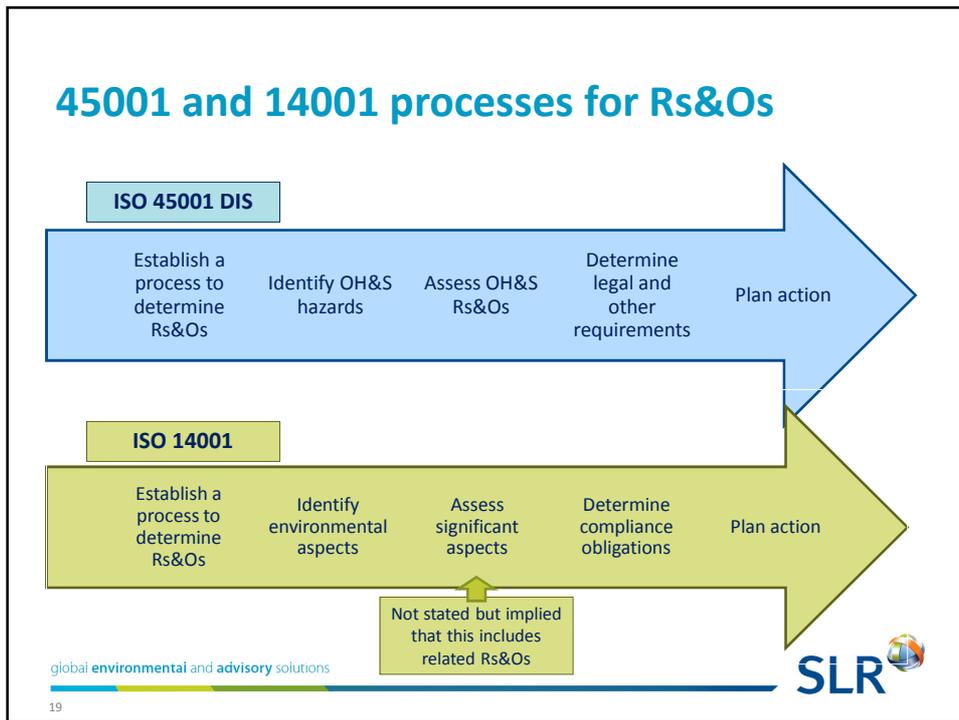
Definitions

- Risk
 - effect of uncertainty
 - And a note: where the terms risks and opportunities are used together this means OH&S risks, OH&S opportunities and other risks and opportunities to the management system
- Occupational health and safety risk
 - combination of the likelihood of occurrence of a work-related hazardous event or exposure(s) and the severity of injury and ill health that can be caused by the event or exposures
- Occupational health and safety opportunity
 - circumstance or set of circumstances that can lead to improvement of OH&S performance
- ISO 14001 has taken a similar approach – reconciling its traditional treatment of environmental risk with the Annex SL Risks and Opportunities

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Example of an EMS Aspects, Rs&Os register

Area	Activity	Environmental Aspect	Environmental Impact	Compliance Obligation	Risk Assessment (before control)				Controls Implemented	Risk Assessment (after control)				Risks	Opportunities
					Severity	Likelihood	Risk Factor	Risk Level		Severity	Likelihood	Risk Factor	Risk Level		
Reception Hall	Storage of diesel	Discharge to land	Ground contamination	PPIC permit Pollution Prevention and Control (Scotland) Regulations 2002 (as amended) Environmental Liability (Scotland) Regulations 2009 (as amended) Environmental Protection Act 1990 Part 1A Contaminated Land (Scotland) Regulations 2000	2	3	6	High	OP005a Daily Check Sheet Record OP034 Spillage Procedure OP012 Emergency Stops OP013 Emergency Response Procedure	1	1	1	Low	Pollution and compliance	No identified opportunities
Anaerobic digestion of waste	Anaerobic digestion process tanks	Air emissions	Local air quality	PPIC permit Pollution Prevention and Control (Scotland) Regulations 2002 (as amended)	2	2	4	Medium	OP005a Daily Check Sheet Record OP013 Emergency Response Procedure	1	2	2	Medium	Pollution and compliance	No identified opportunities
Anaerobic digestion of waste	Ferric chloride dosing (into raw waste buffer tank)	Discharge to land	Ground contamination	PPIC permit Pollution Prevention and Control (Scotland) Regulations 2002 (as amended) Environmental Liability (Scotland) Regulations 2009 (as amended) Environmental Protection Act 1990 Part 1A Contaminated Land (Scotland) Regulations 2000	2	3	6	High	OP005a Daily Check Sheet Record OP034 Spillage Procedure OP012 Emergency Stops OP013 Emergency Response Procedure	1	1	1	Low	Pollution and compliance	No identified opportunities

- No major differences from a typical OH&S risk register?

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Integrated OH&S and Environmental Rs&Os process?

- Certainly a possibility, overall approach is similar
- But!
 - The nature of the hazards/aspects is not the same (so a drop-down menu could be very long)
 - The risks and opportunities could be different (but could we come up with identical categories?)
 - Would responsibilities for the assessing the OH&S and environmental risks be the same – could cause complications for reviewing them if in one tool?
- Perhaps possible to align ranking? Or is that dangerous?

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Integrated auditing

What are the challenges?

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Integrated auditing – the challenges

- No effective ISO guidance – ISO19011 doesn't use the term, instead "combined" audits
 - Auditing two systems, e.g. for OH&S and environment
 - Auditing an integrated HSE management system
- In reality
 - The "audit team" needs competence in all the disciplines covered by an audit, individuals needn't all be experts
 - How about SMEs or small units within a business?
 - Who has the competence?

Integrated auditing – large company

- Integrated HSEQ management system
 - The audit programme covers all elements
 - Individual audits may not

1	2	3	4	5	6	7	8
Competence	OH&S risks	Improvement processes	Procurement	Customer feedback	Emergency preparedness	Governance processes	Distribution

- Mix of management system and business process specialists, for different audits

Integrated auditing – SME

- Integrated HSEQ management system
 - The audit programme covers all elements
 - Individual audits may not

1	2	3	4	5	6	7	8
Management system processes		External certification audit		External consultant for legal compliance		Operational control	

- A mix of internal and external expertise

Integrated auditing – Pros and Cons

- Pros
 - Time-saving for auditors
 - Reduces the number of audits and audit fatigue
 - More efficient
 - Better outcomes due to holistic approach i.e. a finding will address all discipline issues so should be practical
 - Fewer reports for managers to review so they may act on them?
- Cons
 - Overly-ambitious
 - Not enough time in an audit to cover all the scope
 - Are the auditors sufficiently competent to cover everything in depth?

Integrated auditing – the future

- What will audit programmes tackle?
 - Governance processes (and interfaces with operational management)
 - Social issues
 - Anti-bribery and corruption
 - Modern slavery
 - Integration with business processes (Annex SL)
- Will there be a greater role for audit specialists in large companies – central audit functions?
- Will OH&S, environment and quality auditors still be needed?

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Overview of the benefits of integration



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Key benefits

- No silos, so holistic approach
- Efficiency – avoids duplication of processes
- Alignment with business goals (at the corporate level and the functional level)
- Consistency in approach
- Alignment in prioritising the need for action or improvement
- Transparency
- Greater senior management support and ownership

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Finally - timings

- ISO 45001 DIS may be published in Spring 2018
- Some companies will be going for re-certification of their IMSs between now and then so will have to recertify to OHSAS 18001
- It will be possible to modify an IMS to conform to the requirements of OHSAS 18001, ISO 9001:2015, ISO 14001:2015 and ISO 45001 DIS, so that no significant changes are needed when certification is eventually sought to ISO 45001:2018
- The expected transition period to ISO 45001:2018 would be three years, so around Spring 2021, if it is published when anticipated

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ANY QUESTIONS?



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