

BS ISO 45001:2018

Implementation

BS ISO45001:2018

What its not – Certification of Excellence

No Grading System

What it is – Process approach to compliance and continual improvement.

Occupational Health & Safety Management



Guidance Documents

BS 45002-1:2018



BSI Standards Publication

**Occupational health and safety
management systems – General
guidelines for the application
of ISO 45001**

Part 1: Guidance on managing occupational health

BS 45002-2:2019



BSI Standards Publication

**Occupational health and safety
management systems – General
guidelines for the application
of ISO 45001**

Part 2: Risks and opportunities

BS 45002-3:2018



BSI Standards Publication

**Occupational health and safety
management systems – General
guidelines for the application
of ISO 45001**

Part 3: Guidance on incident investigation

Updates

BS OHSAS18001:2007

VS

BS ISO45001:2018

Annex SL

ISO 45001:2018, like most other ISO standards, has adopted the Annex SL High Level Structure (HLS).

Annex SL is designed to simplify integration with other management systems like ISO 9001 and 14001 with consistent language and matching sub-clauses, making it easier for you to build and manage an integrated business management system.

Annex SL *continued*

Understanding Annex SL isn't just crucial for ISO 45001 - it's the core of any modern ISO standard you can expect to accredit to in the future, so you should start your reading as soon as possible.

The role of the management representative

Under OHSAS 18001, the operation of the occupational health and safety management system could be delegated by senior management to a representative.

Under ISO 45001, the role of the management representative is permitted but strongly discouraged, for 3 main reasons:

The role of the management representative

continued

1. On the other hand, divesting responsibility and buy-in to multiple employees should be recognised as an opportunity for continuous improvement
2. Most importantly, top management can no longer distance themselves from the operation of the health and safety management system by simply delegating a representative
3. Like all modern ISO standards, 45001 places a strong emphasis on risk. Investing control of the H&S system in a single employee should be recognised as a risky set-up, particularly for larger businesses

Health and safety culture

Clause 5 of ISO 45001 pushes and encourages the incorporation of health and safety into the broader management system of your organisation.

That means senior management are now expected to take a stronger top-down leadership role, driving performance improvements into action and taking responsibility for the protection of their employees.

But what does this mean in practice - Engagement

This can be demonstrated in several ways, including:

Frequent management reviews of the health and safety system performance

Management initiating and participating in safety audits, actively collecting feedback from employees for improvement and corrective/preventive action

Adequate resources, such as the latest PPE or quality management tools, being actively invested in

Issue-raising, hazard-spotting and constructive suggestions being encouraged, praised and rewarded

Health and safety culture *continued*

Your transition from OHSAS 18001 to ISO 45001 should be designed to embed health and safety responsibility and engagement as widely as possible.

A natural by-product of the removal of the management representative position and greater top-down focus should be a greater proportion of your staff understanding how they can support and contribute to a culture of health and safety.

Health and safety culture *continued*

This goes beyond just training your staff on health and safety procedures and expecting them to stick to them.

Instead, health and safety should be seamlessly part of 'business as usual', with all workers aware of the objectives and advantages of a safe and efficient workplace, and empowered to contribute to it.

Health and safety culture *continued*

A robust health and safety culture should comprise:

Integrating your H&S vision into recruitment

Giving staff increased participation and consultation, testing new initiatives before implementation and building policies around staff feedback

Health and safety culture *continued*

Utilising your workforce as 'moles', in the habit of flagging risks and opportunities alongside their day-to-day work

Openly sharing accident investigation and enquiry results, as well as planned changes and developments

Risks, hazards and opportunities

OHSAS 18001 focused on controlling hazards.

ISO 45001 follows the general direction of recent ISO standards by encouraging 'risk-based thinking': a more proactive, flexible and preventative approach based on remedying a broader range of risks before they materialise.

Chapter 6.1 of the standard discusses risks in the same breath as opportunities, encouraging businesses to scope, evaluate and address opportunities for continuous improvement just as they'd identify and treat risks. Rather than simply reacting to non-conformances, your HSMS should use them positively to drive your continual improvement cycle.

Risks, hazards and opportunities *continued*

And the influence of Annex SL permeates into the risk focus of ISO 45001 - so the context and external influences on your organisation should be as much a part of your H&S risk register as a piece of machinery.

Risks, hazards and opportunities *continued*

For instance, a regulatory or legal development that prompts you to change an ingredient or step in your manufacturing process might introduce a fresh risk to the workers following that process.

ISO 45001 also includes an expanded section on preparing for and responding to emergency situations.

In short, you should go beyond simple pinch points and slip hazards and adopt a more holistic understanding of health and safety risk.

Closely connected to risk-based thinking is a stronger emphasis on planning and setting objectives.

Your H&S objectives should take resource availability, responsible staff, relevant KPIs and timelines into account.

And ISO 45001 is more explicit than OHSAS 18001 about formalising organisational goals, linking them to health and safety objectives, setting priorities and establishing documentation.

A new definition of 'health'

Health and safety tends to make people think in purely physical terms.

And while mental health isn't explicitly mentioned in ISO 45001, the standard is designed to be flexible enough to map onto your specific company needs.

So if mental wellbeing is a concern for your business, there are several areas of ISO 45001 you can leverage for a more integrated HSMS protecting body and mind.

A new definition of 'health' *continued*

Clause 4.2: the needs of workers and interested parties can include mental wellbeing, and can be included in your health and safety policy

Clause 6.1.2.1: as part of your hazard/risk identification, you can now consider factors such as employee stress and fatigue and how these might impact your business processes and functions

A new definition of 'health' *continued*

Clause 6.2: mental health can be integrated into your H&S improvement objectives and plans, and tracked as a KPI through mechanisms like annual reviews and satisfaction surveys.

Clause 8.1.2: mental health risks can be treated and their residual risk scores lowered like any other risk. For instance, mentally taxing processes can be rotated and divided among employees to prevent excessive stress.

Terminology

Of the 37 terms and definitions included in ISO 45001, only 3 are identical to those in OHSAS 18001.

New definitions include 'worker' and 'workplace', while 'documents and records' are now 'documented information' to reflect the wider focus of a 45001 health and safety system

Terminology continued

The following verbal forms are used:

- a) “**shall**” indicates a requirement;
- b) “**should**” indicates a recommendation;
- c) “**may**” indicates a permission;
- d) “**can**” indicates a possibility or a capability.

Information marked as “NOTE” is for guidance in understanding or clarifying the associated requirement.

“Notes to entry” used in [Clause 3](#) provide additional information that supplements the terminological data and can contain provisions relating to the use of a term.

Terminology *continued*

3.1

organisation

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.16)

3.2

interested party (preferred term)

stakeholder (admitted term)

person or *organisation* (3.1) that can affect, be affected by, or perceive itself to be affected by a decision or activity

Terminology *continued*

3.3

worker

person performing work or work-related activities that are under the control of the *organisation* (3.1)

Note 1 to entry: Persons perform work or work-related activities under various arrangements, paid or unpaid, such as regularly or temporarily, intermittently or seasonally, casually or on a part-time basis.

Terminology *continued*

Note 2 to entry: Workers include *top management* (3.12), managerial and non-managerial persons.

Note 3 to entry: The work or work-related activities performed under the control of the organisation may be performed by workers employed by the organisation, workers of external providers, contractors, individuals, agency workers, and by other persons to the extent the organisation shares control over their work or work related activities, according to the context of the organisation.

Terminology *continued*

3.4

participation

involvement in decision-making

Note 1 to entry: Participation includes engaging health and safety committees and workers' representatives, where they exist.

3.5

consultation

seeking views before making a decision

Note 1 to entry: Consultation includes engaging health and safety committees and workers' representatives, where they exist.

Terminology *continued*

3.6

workplace

place under the control of the *organisation* ([3.1](#)) where a person needs to be or to go for work purposes

Note 1 to entry: The organisation's responsibilities under the *OH&S management system* ([3.11](#)) for the workplace depend on the degree of control over the workplace.

Gap Analysis

It is important that personnel within each organisation, particularly internal auditors understand the new standard requirements.

Gap Analysis

Context of the organization - The context of an organization refers to the combination of internal and external factors and conditions that can have an effect on an organization's approach to its products and or services. As a result, the design and implementation of your organization's occupational health and safety management system will be influenced by its context.			
ISO 45001 Clause	Guidance	Gap Yes / No	Evidence to support Compliance
4.1 Understanding the organisation and its context <i>New Requirement</i>	Have the OH&S related internal and external factors been identified that could affect, or be affected by your organisation? Is this a recurring and repeatable process? Is documented information available (see guidance below)? Guidance: The standard does not require documented information. However, evidence will need to be provided to your auditor to provide assurance your organisation is reviewing and regularly updating the external and internal issues that have been identified. If documented information is not available, then a number of in-depth face-to-face interviews will be required.		
4.2 Understanding the needs and expectations of workers and other interested parties <i>New Requirement</i>	Has your organisation determined: <ol style="list-style-type: none"> 1. The relevant interested parties who can affect or be affected by the OH&S management system? 2. The relevant needs and expectations of workers and other interested parties 3. Which of the above needs and expectations are or could become legal and other requirements? Guidance 1: Relevant interested parties must include workers		

Context of the organisation

<p>Context of the organisation - The context of an organisation refers to the combination of internal and external factors and conditions that can have an effect on an organisation's approach to its products and or services. As a result, the design and implementation of your organisation's occupational health and safety management system will be influenced by its context.</p>	
ISO 45001	Guidance
<p>4.1 Understanding the organisation and its context <i>New Requirement</i></p>	<p>Have the OH&S related internal and external factors been identified that could affect, or be affected by your organisation?</p> <p>Is this a recurring and repeatable process?</p> <p>Is documented information available (see guidance below)?</p> <p>Guidance: The standard does not require documented information. However, evidence will need to be provided to your auditor to provide assurance your organisation is reviewing and regularly updating the external and internal issues that have been identified. If documented information is not available, then a number of in-depth face-to-face interviews will be required.</p>
<p>4.2 Understanding the needs and expectations of workers and other interested parties <i>New Requirement</i></p>	<p>Has your organisation determined:</p> <ol style="list-style-type: none"> 1. The relevant interested parties who can affect or be affected by the OH&S management system? 2. The relevant needs and expectations of workers and other interested parties 3. Which of the above needs and expectations are or could become legal and other requirements? <p>Guidance 1: Relevant interested parties must include workers Guidance 2: The comments on documented information in clause 4.1 above are applicable to clause 4.2 also.</p>

Audit evidence – 4.1

- Business plan
- Review of strategy plans
- Competitor analysis
- Economic reports from business sectors
- SWOT analysis
- Minutes of Meetings
- Action lists
- Diagrams, Spreadsheets, Mind mapping diagrams
- External consultant's reports

Audit evidence – 4.2

- i) legal and regulatory authorities (local, regional, national or international)
- ii) parent organizations
- iii) suppliers, contractors and subcontractors
- iv) workers' organizations (trade unions) and employers' organizations
- v) owners, shareholders, clients, visitors, relatives of workers, local community and neighbours of the organization and the general public
- vi) customers, medical and other community services, media, academia business associations and non-governmental organizations (NGOs)
- vii) occupational health and safety organizations and occupational safety and health-care professionals (for example doctors and nurses).

Context of the organisation

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ISO 45001	Guidance
4.3 Determining the scope of the OH&S management system	<p>Is the scope of the OH&S management system defined and documented?</p> <p>When defining the scope have you:</p> <ul style="list-style-type: none">A. Considered the internal and external issues?B. Taken into consideration legal and other requirements?C. Taken into account planned or performed work related activities <p>Both standards require definition of OH&S management system scope; only ISO45001 elaborates requirements for the scope in more detail. Documenting the scope of the OH&S management system is required by both standards.</p> <p>Guidance 1: The scope should not be used to exclude activities, products or services that have or can impact your organisations OH&S performance or to evade legal and other requirements. The scope is a factual and representative statement of your organisation's operations included within the OHSMS boundaries that should not mislead interested parties.</p> <p>Guidance 2: Your auditor will gather evidence that the scope has been correctly defined and considers context and applicable legal and other requirements and your organisations activities, products and services. Auditors will also evaluate the accuracy of the scope to ensure that it does not mislead interested parties.</p>

Audit evidence – 4.3

- Outsourcing
- Logistics
- Multiple sites
- Service centres
- Servicing at customer premises
- Collaborative products and services

Context of the organisation

Context of the organisation - The context of an organisation refers to the combination of internal and external factors and conditions that can have an effect on an organisation's approach to its products and or services. As a result, the design and implementation of your organisation's occupational health and safety management system will be influenced by its context.

ISO 45001

4.4 OH&S management system and its processes

Guidance

The organisation shall establish, implement, maintain and continually improve an OH&S management system, including the processes needed and their interactions, in accordance with the requirements of this document.

Audit evidence – 4.4

- Manuals, Process diagrams (input – process – output)
- Diagrams showing process linkages (inputs / outputs / customer)
- Overlays showing the locations of activities
- Identification of outsourced processes
- resource diagrams (e.g. capacity analysis, value stream mapping, “Lean”....)
- Programmes

Leadership and worker participation

Leadership and worker participation - There is an emphasis on leadership rather than just management. Top management are required to demonstrate greater direct involvement in your organisation's OHSMS. The removal of the need for a specific management representative is to ensure that 'ownership' of your organisation's OHSMS is not simply focused on one individual but on that person or group of people who directs and controls your organisation at the highest level. This is a key clause and is fundamental to the whole standard. If it is not followed in its basic and profound meaning, the whole management system may still achieve some good results, but fail to reach its full potential.

ISO 45001	Guidance
<p>5.1 Leadership and commitment</p>	<p>Is top management engaged and leading the OHSMS to all persons in the organisation, including:</p> <ul style="list-style-type: none"> • accepting accountability for the effectiveness of the OHSMS • ensuring that the OH&S policy and objectives are consistent with the organisations overall strategic direction and context • ensuring that OHSMS objectives are achieved and that the policy is communicated, understood and applied across the organisation • ensuring that the OHSMS requirements are integral to the organisations business processes and that resources are available for its effective operation <p>Guidance 1: Top management refers to a person or a group of people who directs and controls the organisation at the highest level</p> <p>Guidance 2: Top management must not only be aware of the new requirements but must be able to demonstrate leadership and commitment in tangible ways. They will be audited as a matter of routine. Evidence of leadership and commitment will be revealed as the auditor interviews not only top management but all members of the organisation.</p>

Audit evidence – 5.1

Visible and tangible evidence of Leadership such as:

- Knowledge of Process, events, incidents and accidents
- Investment in resources, equipment, manpower
- Completion of site audits and inspections

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ISO 45001	Guidance
<p>5.2 OH&S Policy</p>	<p>Have top management established an OH&S policy that is consistent with the purpose and context of the organisation? Does the established policy include a commitment to: Provide safe and healthy working conditions?</p> <ul style="list-style-type: none"> A. Fulfil legal and other requirements B. Eliminate hazards and reduce OH&S risks C. Consultation and participation of workers (and if applicable workers representatives) <p>Is the OH&S policy: Available as documented information?</p> <ul style="list-style-type: none"> • Communicated within the organisation? • Available to interested parties as appropriate? <p>Guidance: Top management must be able to demonstrate that they have established the policy and that they have not just signed a policy written by somebody else. The external auditor will discuss the policy in detail with top management to ensure they can demonstrate from their own understanding that the policy is compatible with the strategic direction and context of the organisation. They will be looking for evidence that the policy has been communicated and understood throughout the organisation.</p>

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ISO 45001	Guidance
5.3 organisational roles, responsibilities and authorities	<p>Has a process been developed and implemented 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 OHSMS?</p> <p>Guidance: Worker includes all persons working under the control of the organisation including visitors, contractor's personnel and personnel carrying out an outsourced process.</p>

Audit evidence – 5.3

- Organisational Charts
- Roles and Responsibilities for Emergency Positions and ensure that personnel are aware of such duties
- Should include contractors

Leadership and worker participation

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ISO 45001	Guidance
5.4 Consultation and Participation of workers	<p>Has a process been developed and implemented 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 OHSMS?</p> <p>Guidance: Worker includes all persons working under the control of the organisation including visitors, contractor's personnel and personnel carrying out an outsourced process.</p>

Audit evidence

- Minutes of safety committee meetings
- Observation & intervention process
- Employee and contractors feedback & surveys
- Interviews with employees & contractors

Planning

Planning - Although planning has always been an integral part in establishing and maintaining an OHSMS, ISO 45001:2018 now places a greater emphasis on the planning that your organisation does to proactively identify any circumstances which could lead to any undesired occurrences that could prevent the achievement of continual improvement. Your organisation is now required to consider both its context and interested parties when planning and implementing its OHSMS.

ISO 45001	Guidance
6.1 Actions to address risks and opportunities	Considering the organisations context (clause 4.1) and requirements of relevant interested parties (clause 4.2) have the risks and opportunities been considered and have actions been defined to take advantage of the opportunities and mitigate the risks? Does this include consideration of hazards, risk, opportunities and legal and other requirements that may be applicable? Is documented information available on risks and opportunities and the processes and actions needed to determine and address the risks and opportunities? Have hazards (sources of potential to cause injury or ill health) associated with operational processes throughout the organisation been identified?

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ISO 45001	Guidance
<p>6.1 Actions to address risks and opportunities <i>Continued</i></p>	<p>Guidance: When identifying hazards organisations should take account the definition of “workplace”. Workplace is not limited to the site where organisations perform their activities. Workplace also covers any place under the full or partial control of the organisation, where workers need to be present or go to for work purposes.</p> <p>Have risk assessments been completed and the methodology used for risk assessment and the criteria applied been documented? Has documented information been retained on the results of your determination and assessment of risks and opportunities?</p> <p>Is there a process in place to determine and have access to legal and other requirements applicable to the OHSMS and how the requirements apply within the OHSMS?</p> <p>Is documented information maintained and retained on this process and on the organisations legal and other requirements? Has the organisation determined how to address risks and opportunities including the actions required (including how to address legal and other requirements and to prepare for and respond to emergency situations)?</p> <p>Note: when planning to take action you need to apply whenever possible, the ‘hierarchy of controls’.</p>

Audit evidence – 6.1

- Risk assessments – suitable & sufficient
- Methodology
- Review periods
- Competence of assessor
- All activities
- All work locations
- Physical, psychological, illness and COSHH

Planning

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ISO 45001	Guidance
6.2 OH&S objectives and planning to achieve them	<p>Have (SMART) objectives been established at relevant functions and levels within the organisation in order to maintain and continually improve the OHSMS and OH&S performance?</p> <p>Are the objectives consistent with the policy, OH&S risks and opportunities, business context and adequately resourced, monitored, communicated and updated as appropriate?</p> <p>Are plans to achieve objectives determined in terms of what is required, who is responsible, agreed timings, and the required measures to establish progress.</p> <p>Is documented information maintained and retained on OH&S objectives and plans to achieve them?</p>

Audit evidence – 6.2

Verify that the organisation's overall objectives:

- Have been defined
- Reflect the relevant policy
- Are substantially coherent
- Compliance obligations and consider risks/opportunities
- OHSMS, take into account assessment of risk and results of consultation with workers
- Are aligned and compatible with the organisation's context and strategic direction
- Documented information has been maintained.

Support

Support - The new ISO 45001: 2018 standard provides a lot more specific requirements to place greater emphasis on the provision of resources necessary to establish and maintain an effective OH&S MS.

ISO 45001	Guidance
<p>7.1 Resources 7.2 Competence</p>	<p>Have competence requirements of workers that affects or can affect the OH&S performance been determined?</p> <p>Are workers competent on the basis of appropriate education, training or experience?</p> <p>Note that the standard singles out the identification of hazards as a particular competence requirement.</p> <p>Have actions been taken to acquire the necessary competence where any gaps have been identified? Are actions taken evaluated for effectiveness in raising competence to the required level?</p> <p>Is documented information retained as evidence of competence?</p> <p>Guidance: The term “workers” means all persons performing work under the organisations control under various arrangements: paid or unpaid, full-time or part-time, temporarily, intermittently or seasonally, managerial and non-managerial. Workers can be employed by the organisation, by external providers, contractors, agency workers or any other person to the extent the organisation shares control over their work.</p>

Audit evidence – 7.1 & 7.2

To satisfy the competence/effectiveness requirements of relevant standards, an organization will typically need to do several things:-

- Determine what competencies are required by persons performing work
- Determine which persons already performing the work have the required competencies
- Decide if additional competencies are required
- Decide how these additional competencies are to be obtained – training of persons (external or internal), theoretical or practical training, hiring of new competent persons, assignment of existing competent personnel to different work
- Train, hire or reassign persons
- Review the effectiveness of actions taken to satisfy competence needs and to ensure that the necessary competence has been achieved
- Periodically review competence of persons

Support

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ISO 45001	Guidance
7.3 Awareness	<p>Are workers aware of OH&S policy requirements and objectives and how they are contributing to the effectiveness of the OHSMS and the implications of not conforming to OH&S requirements?</p> <p>Are workers made aware of the incidents, related investigations, hazards and OH&S risks relevant to them?</p> <p>Are workers able to remove themselves from work situations that they consider present an imminent and serious danger to their life and health without fear of reprisal?</p>

Support

Support - The new ISO 45001: 2018 standard provides a lot more specific requirements to place greater emphasis on the provision of resources necessary to establish and maintain an effective OH&S MS.

ISO 45001	Guidance
7.4 Communication	<p>Has a process been established and implemented regarding internal and external communications relevant to the OHSMS?</p> <p>Does the process include what is to be communicated, the timing of such communications, the target audience and the method of delivery?</p> <p>Does the process ensure that the communication is reliable and consistent with the information generated by the OHSMS and that the organisation responds to relevant communications on its OHSMS?</p> <p>When considering communication needs has the organisation taken into account the legal and other requirements and diversity considerations (e.g. gender, culture, literacy, disability) which may affect communications?</p> <p>Is documented information retained as evidence of communications?</p>

Audit evidence – 7.4

Some or all of the following means of communicating information within the organization should be examined by an auditor:

- Management led communication in work areas
- Team briefings and other meetings, such as those for recognition of achievement
- Notice boards
- E-mail, intranet and web sites
- Company or in house magazine/newsletter
- Staff meetings
- Individual notices or letters
- Stakeholder / Interested Party communications

Support

Support - The new ISO 45001: 2018 standard provides a lot more specific requirements to place greater emphasis on the provision of resources necessary to establish and maintain an effective OH&S MS.

ISO 45001	Guidance
7.5 Documented information	<p>Has the organisation maintained and/or retained the following documented information in order to be compliant with ISO 45001:</p> <ul style="list-style-type: none">• Scope of the OHSMS (clause 4.3)• OH&S Policy (clause 5.2)• Roles and responsibilities (clause 5.3)• OH&S risks and OH&S opportunities (clause 6.1.1)• Processes needed to address risks and opportunities (clause 6.1.1)• Methodology and criteria for assessment of OH&S risks (clause 6.1.2)• Applicable legal and other requirements (clause 6.1.3)• OH&S objectives and plans (clause 6.2.2)• Records of training, skills, experience and qualifications (evidence of competence) (clause 7.2)• Communication (clause 7.4)• Operational controls (clause 8.1.1)• Emergency preparedness and response (clause 8.6)

Support

Support - The new ISO 45001: 2018 standard provides a lot more specific requirements to place greater emphasis on the provision of resources necessary to establish and maintain an effective OH&S MS.

ISO 45001	Guidance
7.5 Documented information <i>Continued</i>	<ul style="list-style-type: none">• Monitoring and measurement results (clause 9.1)• Calibration and verification of monitoring and measuring equipment (clause 9.1)• Evaluation of compliance obligations (clause 9.1.2)• Internal audit program (clause 9.2.2)• Results of internal audits (clause 9.2.2)• Results of the management review (clause 9.3)• Incidents and nonconformities (clause 10.1)• Results of corrective actions (clause 10.1) <p>Is documented information adequately controlled to ensure that it is available and suitable for use, where and when it is needed and to ensure that it is adequately protected?</p> <p>Is documented information appropriately identified and described (e.g. title, date, author, ref number)?</p> <p>Is documented information of external origin that the organisation considers necessary for the planning and operation of the OHSMS identified and controlled?</p>

Audit evidence – 7.5

- Paper
- Electronic or optical computer disc
- Photograph
- Master sample

Operations

8. Operation - With ISO 45001:2018 you will be required to control not only implementation and planned changes to processes, but also to unintended, unplanned changes. Where unintended changes are made, you will have to demonstrate that you have identified any actual or potential adverse effects and have taken action to mitigate them.

ISO 45001	Guidance
<p>8.1.1. Operational planning and control</p>	<p>Does the organisation plan, implement and control its operational processes by establishing operating criteria and implementing control of the processes in accordance with the operating criteria?</p> <p>Is documented information maintained and retained to the extent necessary to have confidence that the processes are carried out as planned?</p> <p>Important: If the organisation operates on sites where multiple employers are operating does the organisation co-ordinate the relevant parts of its OHSMS with the other organisations on site?</p>
<p>8.1.2 Eliminating hazards and reducing OH&S Risks New Requirement</p>	<p>Has the organisation established and implemented processes for the elimination of hazards and reduction of OH&S risks using the hierarchy of controls?</p> <p>Note: In many countries the provision of personal protection equipment at no cost to workers is a legal requirement. While this is not a requirement of ISO 45001, it is a practice that could enhance OH&S performance.</p>

Operations

8. Operation - With ISO 45001:2018 you will be required to control not only implementation and planned changes to processes, but also to unintended, unplanned changes. Where unintended changes are made, you will have to demonstrate that you have identified any actual or potential adverse effects and have taken action to mitigate them.

ISO 45001	Guidance
8.1.3 Management of change <i>New Requirement</i>	Has the organisation established a process(es) for the implementation and control of planned temporary and permanent changes that impact OH&S performance including: <ul style="list-style-type: none">• New products, services and processes or changes to existing products, services and processes• Changes to legal and other requirements• Changes in knowledge or information about hazards and OH&S risks• Developments in knowledge and technology.

Operations

8. Operation - With ISO 45001:2018 you will be required to control not only implementation and planned changes to processes, but also to unintended, unplanned changes. Where unintended changes are made, you will have to demonstrate that you have identified any actual or potential adverse effects and have taken action to mitigate them.

ISO 45001	Guidance
<p>8.1.4 Procurement <i>New Requirement</i></p>	<p>Has the organisation established and implemented a process(es) to control the procurement of products and services in order to ensure their conformity to the OHSMS?</p> <p>Does the organisations procurement process (es) define and apply occupational health and safety criteria for the selection of contractors?</p> <p>Does the organisation coordinate its procurement process(es) with its contractors in order to identify hazards and to assess and control the OH&S risks arising from:</p> <ul style="list-style-type: none"> The contractors activities and operations that impact the organisation The organisations activities and operations that impact the contractors workers The contractors activities and operations that impact other interested parties in the workplace <p>Does the organisation ensure that the requirements of the OHSMS are met by contractors and their workers?</p> <p>Does the organisation ensure that outsourced functions and processes are controlled and outsourced arrangements are consistent with legal and other requirements and with achieving the intended outcome of the OHSMS?</p>

Operations

8. Operation - With ISO 45001:2018 you will be required to control not only implementation and planned changes to processes, but also to unintended, unplanned changes. Where unintended changes are made, you will have to demonstrate that you have identified any actual or potential adverse effects and have taken action to mitigate them.

ISO 45001	Guidance
<p>8.2 Emergency preparedness and response</p>	<p>Has the organisation established and implemented process (es) needed to prepare for and respond to potential emergency situations, including the provision of first aid?</p> <p>Are the emergency plans ready to be triggered and does the organisation have the capability to respond effectively to emergency situations i.e. are planned response actions periodically tested, reviewed and revised if necessary, in particular after the occurrence of emergency situations and after tests?</p> <p>Are interested parties (e.g. contractors, visitors, emergency services, government authorities, local community as appropriate) made aware of relevant arrangements (and where necessary trained if they are required to participate in the emergency response)?</p> <p>Are workers informed of their duties and responsibilities in emergency situations?</p> <p>Is documented information maintained and retained on the emergency response process and plans for responding to potential emergency situations?</p> <p>Guidance 1: External auditors will either seek evidence that response tests are being conducted at the time of the audit or they will rely on interviews and documentation of tests completed to verify conformance with this requirement.</p> <p>Guidance 2: discrepancy found during the audit of the emergency plans or any incident which occurred during an emergency or drill has to be considered as a nonconformity in the system, and appropriate corrective actions have to be taken in order to prevent recurrence.</p>

Operations

8. Operation - With ISO 45001:2018 you will be required to control not only implementation and planned changes to processes, but also to unintended, unplanned changes. Where unintended changes are made, you will have to demonstrate that you have identified any actual or potential adverse effects and have taken action to mitigate them.

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Performance evaluation

9. Performance evaluation - The newly introduced ISO 45001:2018 recognizes the importance of managing through the gathering and analysis of data and there is increased requirement placed on you to implement indicators. This will lead to a far more structured assessment of OH&S management systems and you will be expected to establish monitoring and measuring that is relevant and reliable and that the results are evaluated and analysed.

ISO 45001	Guidance
<p>9.1 Monitoring, measurement, analysis and performance evaluation</p>	<p>Has a process (es) been established and implemented for monitoring, measurement, analysis, performance evaluation and for evaluating compliance with legal and other requirements?</p> <p>Has the organisation:</p> <ul style="list-style-type: none"> • determined what needs to be monitored and measured in order to determine the performance of the OHSMS and evaluate its effectiveness (e.g. progress on OH&S objectives, characteristics of activities and operations related to the identified hazards, risks and opportunities, and the compliance level with legal and other requirements)? • Determined the methods for monitoring, measurement, analysis and performance evaluation to ensure valid results, using <u>calibrated</u>, <u>maintained</u> equipment where appropriate? • Determined the criteria against which your organisation will evaluate its OH&S performance? • Determined when monitoring and measuring is performed and when the results are analysed, evaluated and communicated? • Determined the frequency and methods for evaluation of compliance with legal and other requirements?

Performance evaluation

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ISO 45001	Guidance
<p>9.1 Monitoring, measurement, analysis and performance evaluation</p>	<p>Has the organisation:</p> <ul style="list-style-type: none"> • Evaluated the OH&S performance and determined the effectiveness of the OHSMS? • Evaluated compliance with legal and other requirements and taken necessary action(s)? • Maintained knowledge and understanding of your compliance status with legal and other requirements? <p>Is documented information retained as evidence of:</p> <ul style="list-style-type: none"> • The results of monitoring, measurement, analysis and evaluation? • The maintenance, calibration or verification of measuring equipment? • The results of compliance evaluations? <p>Guidance 1: External auditors will be obtaining evidence of analysis and evaluation of data obtained from monitoring and measurement relating to OH&S.</p> <p>Guidance 2: External auditors are not expected to conduct legal compliance audits, but they are to evaluate whether your OHSMS processes are effective in ensuring such compliance by the organisation. It should be noted that legal compliance audits are not required by ISO 45001.</p>

Performance evaluation

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ISO 45001	Guidance
9.2 Internal audit	<p>The requirements in ISO 45001 are very similar to the requirements found in (BS) OHSAS 18001 i.e. your organisation must:</p> <ul style="list-style-type: none">Conduct internal audits at planned intervals in order to provide information as to whether the OHSMS conforms to both your organisations own requirements and the requirements of ISO 45001Plan, establish and implement an audit programme, including the frequency, methods, responsibilities, consultation, planning requirement and reporting of internal auditsTake action to address any nonconformitiesRetain documented information as evidence of the implementation of the audit programme and audit results <p>A new requirement of ISO 45001 is that relevant audit results must now be reported to workers and where they exist workers representatives and other relevant interested parties</p>

Audit evidence – 9.2

When third party auditors examine internal audit processes, they should evaluate issues such as:

- The competencies that are needed for and applied to the audit,
- Objectivity and impartiality of the internal audit process
- The risk based thinking performed by the organization in planning internal audits,
- The degree of management involvement in the internal audit process
- The guidance provided by ISO 19011
- The way the outcome of the internal audit process is used by the organization to evaluate the effectiveness of its DMS and to identify opportunities for improvements
- How reports are communicated to management, and for OH&SMS, to workers and interested parties

Performance evaluation

9. Performance evaluation - The newly introduced ISO 45001:2018 recognizes the importance of managing through the gathering and analysis of data and there is increased requirement placed on you to implement indicators. This will lead to a far more structured assessment of OH&S management systems and you will be expected to establish monitoring and measuring that is relevant and reliable and that the results are evaluated and analysed.

ISO 45001	Guidance
<p>9.3 Management review</p>	<p>Do top management review the organisations OH&S at planned intervals to ensure its continued suitability, adequacy and effectiveness?</p> <p>Is documented information retained as evidence of the results of management reviews?</p> <p>Does the management review consider:</p> <ul style="list-style-type: none"> • Status of actions from previous management reviews? • Changes in external and internal issues that are relevant to the OHSMS (interested parties, risks and opportunities and legal and other requirements)? • The extent to which OH&S policy and objectives have been met? • Information on the OH&S performance? • Adequacy of resources for maintaining the OHSMS? • Relevant communications with interested parties? • Opportunities for improvement? <p>Are the outputs of management reviews communicated to workers and where they exist workers representatives?</p> <p>Guidance: External auditors will be expecting a more strategically focused management review. Context, risks and opportunities need to be considered as well as the alignment of the OH&S to the organisations overall strategic objectives. External auditors will be expected to audit this clause with top management and will be gathering evidence with senior management on corporate strategy issues relating to the OHSMS that go beyond operational issues.</p>

Audit evidence – 9.3

As outputs from the management review process, there should be evidence of decisions regarding:

- Changes to the policy and objectives,
- Continuing suitability, adequacy and effectiveness of the DMS
- Plans and possible actions for improvements,
- Change of resources,
- Opportunities to improve integration
- Implications for the strategic direction of the organisation.

Improvement

10. Improvement - This section emphasizes the general need to continually improve planning, processes and operations. To comply, you will need to demonstrate that you actively look for opportunities for improvement and implement any necessary actions identified to achieve a better OHSMS.

ISO 45001	Guidance
10.1 General	Does the organisation determine opportunities for improvement and implement necessary actions to achieve the intended outcome of the OHSMS? Note: Preventive action is no longer an explicit requirement as preventive action is addressed through management of risks and opportunities.

Improvement

10. Improvement - This section emphasizes the general need to continually improve planning, processes and operations. To comply, you will need to demonstrate that you actively look for opportunities for improvement and implement any necessary actions identified to achieve a better OHSMS.

ISO 45001	Guidance
<p>10.2 Incident, nonconformity and corrective action</p>	<p>Have process (es) been established and implemented for reporting, investigating and taking action(s) to determine and manage incidents and nonconformities?</p> <p>When an incident or nonconformity occurs does the organisation:</p> <ul style="list-style-type: none"> • Take action to control and correct it and deal with the consequences in a timely manner? • Evaluate, with the participation of workers and the involvement of other relevant parties the need for corrective action to eliminate the root cause(s) of the nonconformity? • Review existing assessments of OH&S risks and other risks as appropriate (related to clause 6.1)? • Determine and implement any action needed in accordance with the hierarchy of controls (clause 8.1.2) and the management of change (clause 8.1.3)? • Assess OH&S risks that relate to new or changed hazards prior to taking action? • Review the effectiveness of any action(s) taken? • If required make changes to the OHSMS? <p>Is documented information retained as evidence of the nature of incidents and nonconformities, any action(s) taken and the subsequent results and effectiveness of the action(s) taken?</p> <p>Is the documented information above communicated to relevant workers and where they exist workers' representatives and other relevant interested parties?</p>

Audit evidence – 10.2

- Recording process
- Reporting process
- Accident investigations – includes methodology of investigation
- Communication of findings
- Corrective actions & preventative action
- Reviews of current controls

Improvement

10. Improvement - This section emphasizes the general need to continually improve planning, processes and operations. To comply, you will need to demonstrate that you actively look for opportunities for improvement and implement any necessary actions identified to achieve a better OHSMS.

ISO 45001	Guidance
<p>10.3 Continual improvement</p>	<p>Does the organisation strive to improve the suitability, adequacy and effectiveness of the OHSMS by:</p> <ul style="list-style-type: none"> • Enhancing OH&S performance? • Promoting a proactive culture that provides support to the OHSMS? • Promotes the participation of workers in the identification and implementation of opportunities for improvement? • Communicating the relevant results of improvement actions taken and the results to workers and where they exist workers' representatives? • Maintaining and retaining documented information as evidence of continual improvement? <p>Guidance 1: External auditors should be able to track the organisations improvement process throughout the entire OHSMS.</p> <p>Guidance 2: Auditors will be seeking evidence that the organisation is using outputs from analysis and evaluation, internal audit and management review processes to identify improvement opportunities and OH&S underperformance. Auditors will be assessing whether the organisation has implemented the identified opportunities for improvement in a planned and controlled manner and whether the whole workforce, from top management to non-managerial workforce participated in the process.</p>

The Audit

Who should attend the opening and closing meeting:

- Managing Director
- Other Management
- Safety Manager
- Other safety members of the safety team / representatives
- Department Managers
- Others members of the Company

The Audit

Conclusion:

See gaps identified as a positive – Major or Minor

Challenge the Auditor

Grievance Process

Questions

Thank you for attending