



THE ROUTE TO **ISO 45001:2018**

BE THE BENCHMARK

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FOREWORD

What is ISO 45001:2018?

ISO 45001:2018 is a standard that many countries and organisations have chosen to implement in their commitment to establish a formal and recognised mechanism for managing occupational health & safety. ISO 45001 has been specifically designed to provide such a mechanism and was developed with the requirements of both ISO 9001:2015 and ISO 14001:2015 in mind, thereby allowing a ready integration of management systems and the efficiencies that this can bring, as well as implicitly recognising an organisation's own business needs.

It has been appreciated for many years that effective management of occupational health & safety can significantly reduce risk exposure and potentially improve an organisation's profitability and sustainability.

It is hoped that this simple approach will cut through some of the fog and management speak that so often overcomplicates something that should be reasonably straightforward.

This booklet is intended to provide a simple introduction to ISO 45001 Health and Safety Management Systems. It is not intended to be a full explanation of the standard or of its implementation, rather it aims to promote understanding and to help the reader profit from the experience of third-party auditors.

It is not intended to be a replacement for the standard, and the reader is strongly advised to purchase a copy of ISO 45001 if planning to implement an ISO 45001 management system.

Some of the wording of this booklet is taken from ISO 45001 and SGS acknowledges the permission of the British Standards Institute for use of those extracts.

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INTRODUCTION

This booklet gives a brief introduction to ISO 45001:2018 and identifies some of the common pitfalls in implementing and preparing for a third-party audit. ISO 45001:2018 will supersede BS OHSAS 18001:2007 which will be withdrawn.

ISO 45001 is an International Standard that defines a set of requirements for an Occupational Health & Safety Management System (OH&SMS), which would be suitable for any kind and size of organisation. The aim and intended outcomes of an OH&SMS are to prevent work-related injury and ill health to workers and to provide safe and healthy workplaces.

The foreword to the standard provides an introduction to the standard's development. A comprehensive introduction to the standard outlines the intent of the standard and emphasises its intended application for all types and sizes of organisations and to accommodate diverse geographical, cultural and social conditions. Risk-based thinking is key to an OH&SMS as it is critically important to enable the organisation to eliminate hazards and minimise the OH&S risks by taking effective preventive and protective measures.

The OH&SMS approach applied within ISO 45001 is founded on the concept of Plan-Do-Check-Act (PDCA). This concept is an iterative process that can be used by organisations to achieve continual improvement. It can be applied to a management system and to each of its individual elements as follows:

- a. Plan: determine and assess OH&S risks, OH&S opportunities and other risks and other opportunities, establish OH&S objectives and processes necessary to deliver results in accordance with the organisations OH&S policy;
- b. Do: implement the processes as planned;
- c. Check: monitor and measure activities and processes with regard to the OH&S policy and OH&S objectives and report the results;
- d. Act: take actions to continually improve the OH&S performances to achieve the intended outcomes.

Clauses 1 to 3 of ISO 45001 set out the scope normative references and terms and definitions, while clauses 4 to 10 contain the requirements to be used to assess conformity to the standard.

Throughout this booklet the following verbal forms are used:

'shall' indicates a requirement

'should' indicates a recommendation

'may' indicates a permission

'can' indicates a possibility or capability.

An OH&SMS based on the requirements of ISO 45001 provides for the development of a system of interlinking processes and is a simple and effective toolkit of mechanisms for managing occupational health & safety issues in any kind of organisation. It is only prescriptive in terms of what must happen, leaving the how to the organisation to decide or devise for itself.

UNDERSTANDING ANNEX SL

As with all new ISO standards ISO 45001:2018 has been developed following the Annex SL structure. There are a wide range of management systems, e.g. quality, environmental, OH&S etc, but true integration of the systems has not always been straightforward, largely because the structure of the standard, the requirements and terms and definitions were not completely aligned.

The stated aim of Annex SL is to address this issue by enhancing the consistency and aligning the ISO management system standards by providing:

- A unified and agreed high level structure;
- Identical core text;
- Common terms and definitions.

The common approach is intended to increase the value of such standards to users. It will be particularly useful to organisations choosing to operate an integrated management system that encompasses two or more management systems.

Annex SL contains ten clauses;

1. Scope
2. Normative References
3. Terms and Definitions
4. Context of the Organisation
5. Leadership
6. Planning
7. Support
8. Operation
9. Performance Evaluation
10. Improvement

It is worth noting that organisations will not be certified to Annex SL, nor is Annex SL auditable itself. The order of the clauses has no bearing on the importance of the requirements and the requirements should not be viewed as being independent of each other. The management system should be viewed from a holistic perspective.

The notes below are preceded by the clause number of ISO 45001:2018 and are presented in the order they appear in that specification.

CLAUSES 1, 2 AND 3 – SCOPE, NORMATIVE REFERENCES AND TERMS AND DEFINITIONS

Scope – the standard specifies the requirements for an OH&SMS in order to enable an organisation to provide a safe and healthy workplace by preventing work-related injury and ill health as well as proactively improving its OH&S performance.

The intended outcomes of an OH&SMS include:

- a. Continual improvement of OH&S performance
- b. Fulfilment of legal requirements and other requirements
- c. Achievement of OH&S objectives

The standard can be used in part to systematically improve OH&S performance but claims of conformity, i.e. certification, are not acceptable unless all its requirements are included as there are no permissible exclusions.

Normative References – there are no normative references within ISO 45001:2018.

Terms and Definitions – all applicable terms and definitions have been listed in clause 3, which includes 22 that are specific to Annex SL (and will be included in all future ISO Management Systems) as well as those specific to ISO 45001:2018. As these are too numerous to list here, organisations should review them by accessing a copy of the standard.

CLAUSE 4 – CONTEXT OF THE ORGANISATION

This group of clauses are critical to the successful implementation of ISO 45001:2018, and if done correctly shall result in an effective OH&SMS that is bespoke to the needs of that organisation.

4.1 – Understanding the organisation and its context – this requires a conceptual understanding of internal and external factors that can affect the organisation's ability to manage its OH&S performance and achieve its intended outcomes.

4.2 – Understanding the needs and expectations of workers and other interested parties – gaining an understanding of the expressed needs and expectations of workers and interested parties so that knowledge can be considered when establishing the management system.

4.3 – Determining the scope of the OH&SMS – develop and document a management system scope; accounting for the knowledge gained in clauses 4.1 and 4.2 as well as the organisational units, boundaries, products, services, and its ability to exert control and influence.

4.4 – OH&S Management Systems – establish, implement, maintain and continually improve an OH&SMS in line with the standard requirements and the knowledge gained from consideration of clauses 4.1 and 4.2.

UNDERSTANDING THE ORGANISATION AND ITS CONTEXT

This can be stated and it can be discussed, but it can only be defined by those that really have a true understanding of the business or organisational environment within which the organisation operates. They must have existing knowledge of the specific issues that are relevant to the organisation (such as cultural, social, economic, political, legal, local, international etc.) as well as knowledge of the way the organisation affects and is affected by the business or organisational environment.

UNDERSTANDING THE NEEDS AND EXPECTATIONS OF WORKERS AND OTHER INTERESTED PARTIES

A worker is defined as a person performing work or work-related activities that are under the control of the organisation; and interested parties are defined as a person or organisation that can affect, be affected by or perceive itself affected by a decision or activity. With the broad nature of these definitions the scale of this requirement should not be underestimated, as this will inevitably be a source of a substantial amount of the management system requirement, be it either obligatory or self-imposed.

DETERMINING THE SCOPE OF THE OH&S MANAGEMENT SYSTEM

Building upon the knowledge, understanding and requirement gained from clauses 4.1 and 4.2, to fully encapsulate the management system the organisation will now define that within the more tangible parts of its organisation, such as products, services, assets, boundaries and supply chain. It is noted that this is the only documented information that is required by any part of clause 4 and it must be available to interested parties.

OH&S MANAGEMENT SYSTEM

Put simply, the organisation takes the component outputs of clauses 4.1 to 4.3 and establishes, implements and maintains a management system that demonstrates continual improvement in line with context.

ISO 45001 requires the adoption of a process approach, as the achievement of consistent and predictable results is more effective and efficient when activities are understood and managed as interrelated processes.

Although there is not a specific requirement to 'document' an OH&SMS, an organisation is required to both maintain documented information necessary to support the operation of processes and retain sufficient documented information to demonstrate these processes are being carried out as planned.

To summarise, although there is little in the way of actual hard evidence regarding the context of the organisation in so much that the standard only requires the scope to be documented, this is a substantial part of the ISO 45001 standard as it 'sets the stall out' for the organisation. If this is done knowledgeably and correctly, the resulting management system should reflect the nature of the organisation and assist in ensuring that its OH&SMS is performed to meet legal, compliance, financial and other obligations.

CONTEXT OF THE ORGANISATION	✓ OR ✗	COMMENT/PLAN
Does it reflect the business and / or organisational environment within which the organisation operates?		
Have all relevant internal and external issues been identified?		
Have the expressed views of workers and interested parties been considered?		
Have the views of workers and interested parties been transcribed into compliance obligations?		
Has the scope of the OH&S management system been defined and documented?		
Is the scope available to interested parties?		
Has the management system been established, implemented and maintained around the context of the organisation (some reference to processes needed and their interaction within the OH&SMS as per clause 4.4)?		
Does the management system result in continual improvement?		

CLAUSE 5 – LEADERSHIP AND WORKER PARTICIPATION

This group of clauses places the emphasis on top management being seen to be actively involved in leading the management system from the front.

LEADERSHIP AND COMMITMENT

This clause specifies actions for top management and in which activities top management shall be personally involved. It does not mean that they must be performing all the activities themselves, but they are accountable for ensuring that they are performed.

This clause also establishes requirements to ensure that top management align the OH&SMS with the strategic direction of the organisation’s, and that policy and objectives are not conflicting with that strategy.

OH&S POLICY

The policy is considered to be a cornerstone and it can be argued that it is one of the most important documents within the management system. ISO 45001:2018 requires that an organisations OH&S policy is appropriate to the purpose, size and context of the organisation along with being specific to the nature of the organisation’s OH&S risks and OH&S opportunities.

The OH&S policy must be available as documented information. Verification will be needed to demonstrate that top management were involved in its preparation and that they continue to review it to ensure that any changes in context, interested parties, workers or their requirements are reflected within the OH&S policy and whether the organisation’s OH&S objectives are affected.

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The OH&S policy must be communicated within the organisation, and has to be communicated to interested parties, as appropriate. Demonstrations for how this is done for both internal and external interested parties will be required. It may be that the OH&S policy is available on the organisation’s website, for example, but other methods for ensuring that it is available can be used.

ORGANISATIONAL ROLES, RESPONSIBILITIES AND AUTHORITIES

Top management must ensure that responsibilities and authorities for relevant roles are assigned and communicated within all levels of the organisation. This needs to be retained as documented information. What the organisation deems ‘relevant roles’ is up to them, but it does specify that there must be person(s) with responsibility and authority for the management system conformity and reporting.

CONSULTATION AND PARTICIPATION OF WORKERS

An organisation needs to ensure process(es) have been implemented for consultation and participation of workers at all applicable levels and functions, and where they exist, workers’ representatives. These process(es) need to include development, planning, implementation, performance evaluation and actions for the improvement of the OH&S management system.

ISO 45001:2018 emphasises the consultation and participation of non-managerial workers, which is intended to apply to persons carrying out the work activities, but they are not looking to exclude managers who are impacted by the work activities or other factors in the organisation. The organisation is required to determine and remove obstacles and barriers to participation, and minimise those that can’t be removed, including but not limited to, failure to respond to worker inputs or suggestions; language or literacy barriers; reprisals or threats of reprisals; and policies or practices that discourage or penalise worker participation.

LEADERSHIP AND WORKER PARTICIPATION	✓ OR X	COMMENT/PLAN
Is top management accountable for the effectiveness of the OH&SMS?		
Has top management: <ul style="list-style-type: none"> • Established a policy in line with strategic direction? • Ensured that the OH&SMS processes have been aligned with the business processes? • Ensured allocation of adequate resources? • Communicated the importance of effective OH&S management conformance? • Ensured the OH&SMS achieves intended outcomes? • Directed and supported persons who contribute to the effectiveness of the OH&SMS? • Promoted continual improvement? • Supported relevant management roles to demonstrate their leadership as it applies to their areas of responsibility? 		

LEADERSHIP AND WORKER PARTICIPATION	✓ OR ✗	COMMENT/PLAN
<p>Is the OH&SMS policy:</p> <ul style="list-style-type: none"> • Appropriate – considering knowledge gained from clause 4 requirements as well as the hazards and risks of its activities, products and services? • Strategic – providing a framework for setting environmental objectives? • Proactive – by including a commitment to eliminate hazards and reduce OH&S risks • Inclusive – by including a commitment to consultation and participation of workers and where they exist workers representatives • Effective – the organisation continually improves? 		
<p>Is the OH&S policy documented, communicated and available to workers and interested parties?</p>		
<p>Have responsibilities and authorities for relevant roles been assigned and communicated, including responsibility for:</p> <ul style="list-style-type: none"> • Ensuring OH&SMS conformity? • Reporting OH&SMS performance to top management? 		
<p>Has a process for consultation and participation of workers at all applicable levels and functions in the development, planning, implementation, performance evaluation and actions for improvement of the OH&SMS been established, implemented and maintained?</p>		
<p>Has the organisation provided mechanisms, time, training and resources necessary for consultation and participation?</p>		
<p>Has the organisation provided timely access to clear, understandable and relevant information about the OH&SMS?</p>		
<p>Has the organisation determined and removed obstacles or barriers to participation and minimised those that cannot be removed?</p>		

CLAUSE 6 – PLANNING

ISO 45001:2018 requires an organisation to consider its context, interested parties and scope when developing an OH&SMS. This requirement obliges organisations to identify the risks and opportunities that have the potential to impact (positively or negatively) on the operation and performance of the OH&SMS.

Organisations may note that the clause 6 requirements act as a 'hub' for the system, in that it pulls the outputs from elsewhere in the standard and leads to inputs into others. Given that this flow of information is critical to successfully implementing these clauses, organisations will need to pay close attention to what is being asked here.

Taking each clause in turn:

ACTIONS TO ADDRESS RISKS AND OPPORTUNITES

The standard makes allowances for organisations to retain autonomy to determine the extent it needs to plan, but given that this clause draws upon knowledge gained from clause 4 as well as placing a requirement on establishing processes, which are needed to ensure the system achieves intended outcomes to prevent or reduce undesired effects, achieve continual improvement and determine emergency situations there is inevitably an economy of scale to consider.

HAZARD IDENTIFICATION AND ASSESSMENT OF RISKS AND OPPORTUNITES

The organisation is required to establish, implement and maintain a process(es) for hazard identification that are ongoing and proactive. This needs to take into account but not be limited to; how work is organised, social factors, leadership, organisational culture, routine and non-routine activities, past relevant incidents, potential emergency situations, people, actual or proposed changes and other issues such as the work environment, processes, equipment, neighbouring activities and situations that cannot be controlled by the organisation when they can potentially occur in the vicinity of the workplace.

Once these have been identified the organisation will establish and implement a process to assess the OH&S risks from the identified hazards, taking into account the effectiveness of existing controls and determine and assess any other risks related to the establishment, implementation, operation and maintenance of the OH&SMS. The methodologies and criteria for assessment of the OH&S risks shall be defined with respect to the organisations scope, nature and timing to ensure that they are proactive rather than reactive.

ISO 45001:2018 also requires organisations to assess OH&S opportunities and other opportunities for the OH&SMS. This includes opportunities to enhance OH&S performance and other opportunities to improve the OH&SMS. Organisations should remember that OH&S risks and opportunities can result in other risks and opportunities for the organisation.

In order to ensure that the organisation has determined legal and other requirements the organisation needs to ensure that access to up-to-date legal and other requirements applicable to the organisation's hazards, OH&S risks and its OH&SMS is made available. The organisation also needs to determine how these legal and other requirements apply and what needs to be communicated. The organisation needs to show that it has taken these into account when establishing and maintaining its OH&SMS.

Whilst there is no requirement to document a plan, it is important none the less to ensure that a plan is in place to address the identified risks and opportunities, legal and other requirements, and to prepare for and respond to emergency situations. The plan will depend on the nature of the organisation, and shall take into account the hierarchy of controls and outputs from the OH&S and take into consideration best practices, technological options and financial, operational and business requirements.

OH&S OBJECTIVES AND PLANNING TO ACHIEVE THEM

Objectives are commonplace in all management systems and the requirements contained in this clause are unambiguous. Building on the themes of the management of OH&S risk and opportunity, organisations will establish objectives that are:

- Consistent with the OH&S policy
- Measurable (if practical) or capable of performance evaluations
- Take into account:
 - Applicable requirements
 - Results of assessments of risks and opportunities
 - Results of consultation with workers and where they exist workers representatives
- Monitored
- Communicated
- Updated as appropriate

Based on the results of the risk and opportunity evaluation (which takes into account hazards, risks, compliance obligations and consultation with workers) organisations need to have established objectives to address those risks and opportunities. The requirements of this clause place emphasis on quantifiable improvements, introducing indicators to ensure that the organisation has identified the effective metrics in place to monitor progress towards achievement.

PLANNING	✓ OR ✗	COMMENT/PLAN
Does the planning process: <ul style="list-style-type: none"> • Consider clause 4 requirements? • Respond to risks and opportunities associated with the OH&S hazards and compliance obligations? • Give assurance that the OH&SMS can achieve its intended outcomes? 		
Have hazards associated with potential emergency scenarios been addressed as part of the planning process?		
Has documented information relating to risks and opportunities been retained?		
Have OH&S hazards been determined?		

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PLANNING	✓ OR ✗	COMMENT/PLAN
<p>Did hazard identification include:</p> <ul style="list-style-type: none"> • How work is organised, social factors, leadership and organisational culture? • Routine and non-routine activities and situations? • Past relevant incidents? • Potential emergency situations? • People? • Actual or proposed changes? • Changes in knowledge of and information about hazards? 		
<p>Have the OH&S risks and other risks to the OH&SMS been determined using established methodology and criteria that is retained as documented information?</p>		
<p>Has the organisation:</p> <ul style="list-style-type: none"> • Determined and have access to compliance obligations related to hazards, OH&S risks and the OH&SMS? • Determined how these compliance obligations apply to the organisation and how they are communicated? • Accounted for these obligations when establishing, implementing, maintaining and continually improving its OH&SMS? 		
<p>Has documented information been retained and maintained related to its compliance obligations?</p>		
<p>Has an appropriate plan been determined to address risks and opportunities, compliance obligations and emergency situations?</p>		
<p>Does the plan take into account the hierarchy of controls, outputs from the OH&SMS and consider best practice, technological options and financial, operational and business requirements?</p>		
<p>Does the plan include the evaluation of the effectiveness of the actions?</p>		
<p>Have OH&S objectives been established at relevant functions and levels?</p>		

PLANNING	✓ OR ✗	COMMENT/PLAN
Do the objectives account for the OH&S hazards, compliance obligations, and consider the OH&S risks and opportunities?		
Are objectives: <ul style="list-style-type: none"> • Consistent with the OH&S policy? • Measurable (if practical)? • Monitored? • Communicated? • Updated as appropriate? 		
Has documented information been retained in relation to objectives?		
Have plans been established for achievement of the objectives which include determination of: <ul style="list-style-type: none"> • What will be done? • Resource requirements? • Responsibilities? • Timeframe for completion? • Results evaluation, including indicators for monitoring progress? 		
Has consideration been given to determine how actions to achieve its OH&S objectives can be integrated into the organisations business processes?		

CLAUSE 7 – SUPPORT

This is the group of clauses that define the supplementary ‘soft’ tools that assist in the delivery of an effective management system. Organisations that have already implemented a management system of any type will be familiar with these concepts as they cover the traditional areas of resources, competence, awareness, communication, documents and records (documented information).

Taking each clause in turn:

RESOURCES

Whilst this is only a single sentence requirement within the standard it is important not to underestimate the effect this will have on the OH&SMS.

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The organisation shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&SMS.

This can include, but is not limited to, time, finances, people, equipment, assets, technology, skills and knowledge. ISO 45001:2018 places an elevated status on resource provision.

- It expects the planning stages to identify what resources are needed;
- It resides as a clear responsibility of top management;
- It expects an organisation to review the adequacy of its resources;
- It even goes as far as to state that a lack of resources can be a specific risk to the management system.

COMPETENCE

Competence is defined as the ability to apply knowledge and skills to achieve intended results. This definition is important as it highlights the difference between someone who is trained and someone who is competent.

Organisations must retain documented information as evidence of competence; as such it is important for an organisation to define what competence is in relation to the workers that affect or can affect its OH&S performance. Whilst training records may form a part of this, a file for training records alone would not be sufficient to demonstrate competence. Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons, or the hiring or contracting of competent persons.

AWARENESS

ISO 45001:2018 requires that an organisation makes workers aware of both the organisation's OH&S policy and the OH&S objectives as well as the implications and potential consequences of not conforming to the OH&SMS. All workers may not necessarily know verbatim the content of the policy; however, they are expected to understand and be aware of the overall aims of the policy, what sort of hazards are common place for the activity being undertaken and to be aware of the repercussions of their own actions.

COMMUNICATION

Organisations need to identify both the internal and external communications that need to take place, relevant to the OH&SMS. These should include

- What needs to be communicated;
- When the communication should take place;
- Who should receive the communication; and
- How the information should be communicated.

Organisations should note that there is an expectation that there is equal emphasis on internal and external communication that information communicated must be reliable and that communication is a two-way process. Thus, ensuring that its communications processes enables workers to contribute to continual improvement.

DOCUMENTED INFORMATION

This clause sets out the requirements for an organisation to create, update and control documented information, determined as being necessary for the effectiveness of the OH&SMS. It is expected that this will be bespoke for each organisation based on, but not limited to:

- The size of the organisation and its type of activities, processes, products and services;
- The need to demonstrate fulfilment of legal and other requirements;
- The complexity of processes and their interactions;
- The competence of workers.

An organisation’s existing operational procedures, work instructions, flow charts, process maps, etc. are all examples of documented information.

SUPPORT	✓ OR X	COMMENT/PLAN
Have sufficient and adequate resources been allocated to fulfil the needs of the OH&SMS?		
Do these resources consider all options, which may include: <ul style="list-style-type: none"> • Human resources (specialised skills and knowledge)? • Natural resources? • Infrastructure? • Technological? • Financial? 		
Have resources been identified within the planning stage?		
Has top management allocated resources needed and reviewed for adequacy?		
Has competency been determined – and applied to all workers operating on behalf of the organisation?		
Has documented information been retained as evidence of competence?		

SUPPORT	✓ OR ✗	COMMENT/PLAN
<p>Has the organisation ensured that workers are aware of:</p> <ul style="list-style-type: none"> • OH&S policy? • OH&S objectives? • Hazards and risks associated with their activities? • Their contribution to the OH&SMS? • Implications of not conforming with requirements? 		
<p>Has a process been established for internal and external communication regarding?</p> <ul style="list-style-type: none"> • What? • When? • With whom? • How to communicate? 		
<p>Does communication account for compliance obligations?</p>		
<p>Is communication information consistent and reliable?</p>		
<p>Has documented information relating to communication been retained?</p>		
<p>Does the internal process ensure that worker participation and consultation is taken into consideration and communicated throughout the levels of the organisation to enable worker contribution to the OH&SMS?</p>		
<p>Is all documented information created and retained by the organisation?</p> <ul style="list-style-type: none"> • As required by the standard? • As determined by the organisation? 		
<p>Is adequate control applied with creating, updating and retaining documented information?</p>		

CLAUSE 8 – OPERATION

This group of clauses outlines the requirements for operational planning and control, and emergency preparedness and response. Within the operational planning and control it specifies particular requirements for eliminating hazards and reducing OH&S risks; management of change; procurement; and outsourcing.

Taking each clause in turn

OPERATIONAL PLANNING AND CONTROL

ISO 45001:2018 introduces a requirement to establish the 'criteria for the processes' and to implement controls 'in accordance with the criteria'. The emphasis on controlling the processes and organisations needs to demonstrate that they have planned and implemented the appropriate process criteria. The organisation is required to maintain and retain documented information necessary to have confidence that the processes have been carried out as planned.

ISO 45001:2018 sets out the hierarchy of controls required for the elimination of hazards and the reduction of OH&S risks:

- Eliminate the hazard;
- Substitute with less hazardous process, operation, materials or equipment;
- Use engineering controls and reorganisation of works;
- Use administrative controls including training;
- Use adequate personal protective equipment.

Organisations are required to control not only planned changes but also unintended and unplanned changes. Where unintended changes are made the organisation has to demonstrate that it identifies any actual or potential adverse effects and takes action to minimise them.

The control of procurement of products and services in order to ensure their conformity to the organisation's OH&SMS shall be ensured, including the control of contractors and the outsourcing of specific functions and tasks. The organisation shall coordinate with its contractors in order to identify hazards and assess the control of the OH&S risks. The type and degree of control applied to these functions and processes shall be defined within the OH&SMS.

EMERGENCY PREPAREDNESS AND RESPONSE

The organisation will prepare for and respond to potential emergency situations, ensuring that there is a planned response, including the provision of first aid and that training for the planned response has been provided. The planned response will be periodically tested by the organisation to ensure that conformance to the planned arrangements is achieved and that after testing and in particular, after an occurrence of an emergency situation the performance is then evaluated and the plan is revised where necessary.

The organisation shall communicate the emergency plan, including relevant information to contractors, visitors, emergency response services, government authorities and as appropriate the local community. The plan needs to take into consideration the needs and capabilities of all relevant interested parties and ensure that their involvement, as appropriate, is included in the development of the planned response.

OPERATION	✓ OR ✗	COMMENT/PLAN
Considering the needs of the OH&SMS, including hazards and objectives, has the organisation established: <ul style="list-style-type: none"> • Operating criteria for the processes? • Implementation controls in relation to those criteria? 		
Are planned changes controlled with action taken to mitigate adverse effects?		
Are outsourced activities controlled or influenced as defined by the OH&SMS?		
Have documented information controls needed for the controlling the operating criteria been determined/ maintained?		
Have processes been established, implemented and maintained to prepare for and respond to potential emergency situations identified during the planning stage?		
Do the processes prepare for and respond to an emergency situation including: <ul style="list-style-type: none"> • Establishing a planned response to emergency situations, including the provision of first aid? • Providing training for the planned response? • Periodically testing and exercising the planned response capability? • Evaluating performance, and as necessary revising the planned response after testing and after the occurrence of emergency situations? • Communicating and providing relevant information to contractors, visitors, emergency response services, government authorities and as appropriate the local community? • Taking into account the needs and capabilities of all relevant interested parties and ensuring their involvement as appropriate in the development of the planned response? 		
Have documented information controls needed for controlling the above been determined/ maintained?		

CLAUSE 9 – PERFORMANCE EVALUATION

“If you can’t measure it, you can’t manage it.” – Peter Drucker

MONITORING, MEASUREMENT, ANALYSIS AND PERFORMANCE EVALUATION

ISO 45001:2018 recognised the importance of managing through the gathering and analysis of data and requires the organisation to implement indicators. This will lead to a structured assessment of OH&S performance and organisations are expected to establish monitoring and measuring that is relevant, reliable and that the results are evaluated and analysed.

EVALUATION OF COMPLIANCE

Compliance evaluation takes into account all of the compliance obligations to which the organisation subscribes, including legal compliance, obligations from the views of interested parties, including legislators. The frequency and methods of evaluation must be determined and an organisation must maintain knowledge and understanding of its compliance status.

INTERNAL AUDIT

Internal audits of the organisation’s OH&SMS must be carried out at planned intervals, as defined within the organisation’s internal audit programme, to ensure that the OH&SMS conforms to the organisation’s own requirements, including the OH&S policy and OH&S objectives; the requirements of ISO 45001:2018; and to confirm that the OH&SMS is effectively implemented and maintained.

The internal audit programme shall determine the audit criteria and the scope for each audit as well as the frequency, methods, responsibilities, consultation, planning requirements and reporting, taking into account the importance of the processes concerned and the results of previous audits. The auditors shall be selected to conduct the audits to ensure objectivity and impartiality within the audit process and they shall ensure that the results of the audits are reported to relevant managers, workers and where they exist workers’ representatives and other relevant interested parties.

MANAGEMENT REVIEW

ISO 45001:2018 requires that the top management shall review the organisation’s OH&SMS at planned intervals to ensure its continuing suitability, adequacy and effectiveness. The standard lists the required inputs and outputs from the management review. Top management are required to communicate the relevant outputs of the management review to workers and where they exist workers’ representatives, and to retain documented information as evidence of the results of the management review.

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PERFORMANCE EVALUATION	✓ OR ✗	COMMENT/PLAN
Is the organisation monitoring, measuring, analysing and evaluating its OH&SMS performance?		
<p>Has the organisation determined the monitoring and measuring of:</p> <ul style="list-style-type: none"> • What needs to be monitored and measured (legal requirements, other requirements, activities and operations related to hazards, risk and opportunities, progress towards achievement of the OH&S objectives, effectiveness of operational and other controls)? • Methods to ensure valid results? • Criteria for the evaluation for OH&S performance? • Frequency of the monitoring and measuring? • Analysis and evaluation of results? 		
Where calibrated equipment is needed has it been appropriately maintained?		
<p>Has the OH&S performance been</p> <ul style="list-style-type: none"> • Evaluated to confirm its effectiveness? • Communicated as relevant? • Retained as documented information? 		
Has the organisation implemented and maintained processes needed to evaluate fulfilment of compliance obligations?		
<p>Does the process include:</p> <ul style="list-style-type: none"> • Determination of frequency of evaluation? • Evaluation of compliance and undertaking of action if needed? • Maintenance of knowledge and understanding of its status? 		
Has documented information been retained regarding the evaluation results?		

THE ROUTE TO ISO 45001:2018

PERFORMANCE EVALUATION	✓ OR ✗	COMMENT/PLAN
Has the organisation conducted audits of its OH&SMS?		
Do audits assess for conformance to <ul style="list-style-type: none"> • Requirements of the standard? • Requirements of the organisations own planned arrangements (processes, procedures, etc.)? 		
Are audits planned, taking into consideration the importance of the processes, organisational changes, and previous audit results?		
Has the organisation: <ul style="list-style-type: none"> • Defined audit scope and criteria? • Used impartial and independent auditors? • Reported results to relevant managers and workers? 		
Has documented information confirming audits been retained?		
Does the management review take place at planned intervals?		
Has appropriate top management representation included minimum management review inputs and outputs?		
Is documented information relating to results of management review maintained?		

CLAUSE 10 – IMPROVEMENT

This section emphasises the general need to improve processes and the OH&SMS. Organisations need to demonstrate that they actively look for opportunities to improve their processes, to achieve the intended outcomes of their OH&SMS.

INCIDENT, NONCONFORMITY AND CORRECTIVE ACTION

Organisations must react proportionately to incidents and nonconformities, review the effectiveness of any actions taken and ensure that it reacts in a timely manner, including carrying out investigation, taking action to determine and manage the incidents and nonconformities and report on the outcomes.

The reporting and investigation of incidents without undue delay can enable hazards to be eliminated and associated OH&S risks to be minimised as soon as possible. This documented information must be communicated to relevant workers, and where they exist workers’ representatives, and other interested parties.

CONTINUAL IMPROVEMENT

Through the effective implementation of the OH&SMS the organisation shall demonstrate continual improvement. This can be achieved by demonstrating that they are using the outputs from their analysis, evaluation and review processes to identify any areas of unsatisfactory performance and any opportunities for improvement. The organisation shall promote a culture that supports the OH&SMS and promotes the participation of workers in implementing the actions for continual improvement, along with communicating the relevant results of continual improvements to workers and maintaining and retaining documented information as evidence of continual improvement.

PERFORMANCE MEASUREMENT AND MONITORING	✓ OR ✗	COMMENT/PLAN
Has the organisation identified opportunities for improvement (with particular reference to clause group 9)?		
When non-conformance occurs, does the organisation take steps to control and correctly deal with the consequences?		
Does the organisation evaluate the need to take further action and, if needed, implement action?		
Are corrective actions appropriate to the significance of the effects of the incident/ non-conformance encountered?		
Is documented information maintained as evidence of the nature of the incident or non-conformance, the actions taken and the results of those actions?		
Does the organisation continually improve the suitability, adequacy and effectiveness of the OH&SMS to enhance the OH&S performance?		

THE CERTIFICATION PROCESS

The initial certification process can be broken down into four stages:

- A review of the OH&SMS against the standard and according to the scope of certification and to ascertain the organisation's preparedness for the certification audit (also known as the stage 1 audit)
- The Certification Audit (also known as the stage 2 audit)
- Certification
- Ongoing surveillance visits

Where the client requires it, SGS can also carry out a Gap Analysis audit prior to the Stage 1 visit.

REVIEW OF DOCUMENTED SYSTEM (STAGE 1)

This is a full review of the documented system to make sure that it meets the requirements of ISO 45001, the scope of certification and the needs of the organisation. It is also used to evaluate the organisations location, and to determine the preparedness for the stage 2 audit. At this time, it should also be made apparent to the organisation that they should have identified the processes, objectives and operation of the OH&SMS and that they should have planned and started to perform internal audits and management reviews. To achieve this at least part of the stage 1 audit will be carried out "on site" at the organisation's premises. Any shortcomings are reported to the organisation for consideration prior to the certification audit taking place.

THE CERTIFICATION AUDIT (STAGE 2)

This builds upon the preceding stage and checks compliance with all the requirements of ISO 45001 as well as the organisation's own processes and procedures. The audit starts with an opening meeting to set the scene for this process. It then reviews any findings from the stage 1 audit before proceeding to a site tour and the full audit. The requirements of ISO 45001 are then checked in detail by sampling and by interviewing the relevant organisation's personnel. The audit usually concludes with audits of the audit process and management review and closes with a private meeting of the auditors (there could be one auditor or a team involved) to review and agree their findings, followed by a presentation of the outcome of the audit to the organisation's top management.

CERTIFICATION

This process is carried out by SGS where the decision is made to grant the issue of an ISO 45001 certificate, to the organisation's scope, based on the recommendation from the stage 2 audit.

ONGOING SURVEILLANCE VISITS

These are conducted at defined intervals to ensure that the organisation is continuing to maintain their OH&SMS against the requirements of the standard and to continually improve it.

POINTERS

Some pointers on what helps an organisation to achieve certification on their first attempt:

- Make sure that the OH&SMS is fully implemented
- Carry out at least one full sweep of internal audits and carry out any resulting corrective actions
- Ensure that all personnel understand the system, OH&S policy and objectives
- Have evidence available to show that the process of continual improvement is happening
- Contact SGS as early in the process as possible
- Do not ask for the certification audit until you are sure you are ready

SGS TRAINING

SGS training solutions help customers get the most from their training budget, and with our sector experienced tutors we can meet specific training objectives of any organisation.

In the UK, we have over 50 training courses available in a variety of management systems, complemented by a wide range of specialised training courses.

Using our accelerated learning techniques and blended learning experiences we can achieve learning objectives for individuals or workforces. Our courses are delivered publicly in a network around the UK or they can be delivered within the company if you prefer.

We use our values, traditions and network to support you throughout the training process and offer SGS' high standard of quality as a benchmark.

THE SGS GROUP

The SGS Group is the clear global leader and innovator in inspection, verification, assessment and certification services.

Founded in 1878, SGS is recognised as the global benchmark for the highest standards of expertise and integrity. With more than 95,000 employees worldwide, we operate a network of more than 2,400 offices and laboratories around the world. Since it was established the SGS Group has remained dedicated to its independence as a guarantee of its total impartiality. SGS does not engage in any manufacturing, trading or financial activities which might compromise its independence and neutrality.

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