ISO 45001:2018

Overview of the standard

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Agenda:
- About PJR
- Benefits of certification
- Key requirements
- Clause-by-clause overview
- Other related requirements
- Certification process/requirements
- Questions

- **Welcome from PJR Headquarters**

    755 W. Big Beaver Rd, Suite 1340

    Troy, MI 48084

- Introduction of speaker

- Audience for today's meeting

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PJR is a leading Registrar

- PJR is one of the leading Registrars in the world

- A few countries where PJR has certified companies to various standards:
    - Australia
    - Brazil
    - European Union
    - Japan
    - India
    - Malaysia
    - Mexico
    - Singapore
    - Thailand
    - United States

PJR
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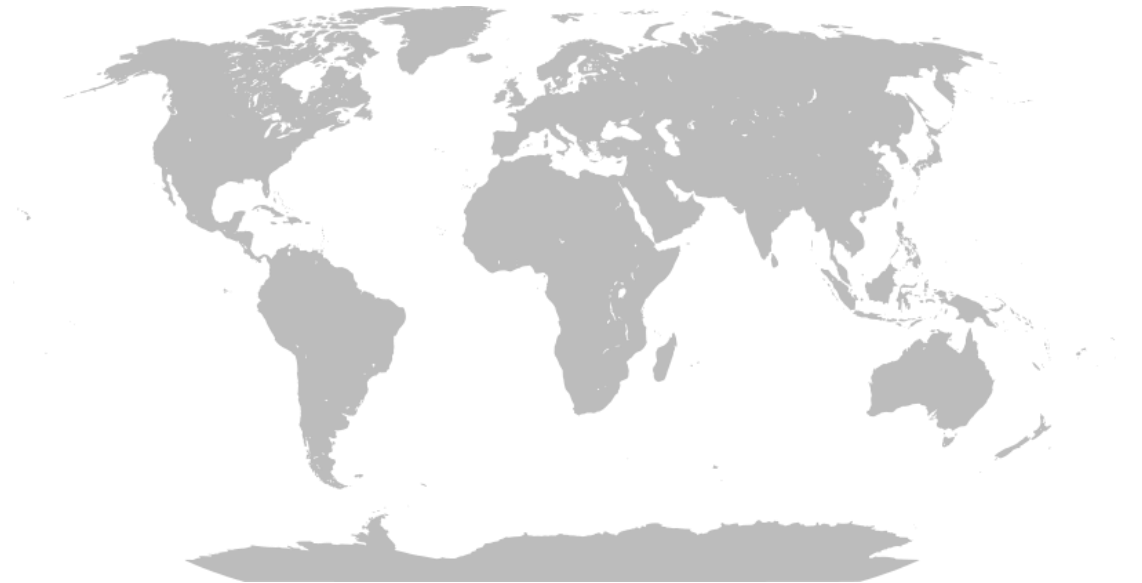
PJR is accredited to grant certification for :

- ISO 9001
- ISO 14001
- AS 9100, 9110 & 9120
- ISO/TS 16949
- R2v3
- RIOS
- ISO 13485
- SQF

- TL 9000
- **ISO 45001**
- ISO 27001
- ISO 22000
- HAACP Compliance
- FSSC 22000
- e-Stewards®

Benefits and drivers for ISO 45001 certification

- Improving the organization's occupational health and safety performance, and providing a safe environment to do business

- Minimizing the risks of production delays

- Management commitment and employee engagement levels

- Meeting legal requirements

- Strategic business management: notably for meeting stakeholder requirements, improving public image, and providing a competitive advantage

- Integration with other business management systems

- Supplier health and safety performance

- Providing financial benefit(s), and possible cost savings from public liability insurance premiums

ISO 45001:2018 Overview

- Replaced OHSAS 18001:2007

- Defines the requirements for establishing, implementing, and maintaining an Occupational, Health & Safety Management System (OHSMS)

- A framework that allows an organization to control its hazards, reduce the risk of accidents, injuries, ill-health, and/or down time, and continually improve its processes and operations

- Published March 2018

- Voluntary certification
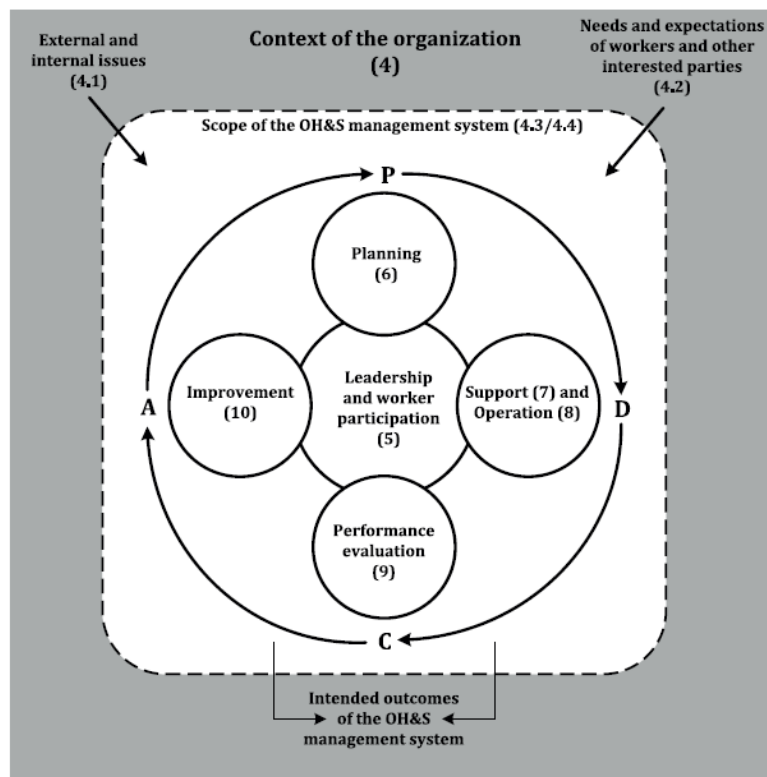
Annex SL - Structure

- Scope
- Normative References
- Terms and Definitions
- Context of the Organization
- Leadership
- Planning
- Support
- Operation
- Performance Evaluation
- Improvement

Annex SL common terms

organization	process
interested party (preferred term)	performance
stakeholder (admitted term)	outsource (verb)
requirement	monitoring
management system	measurement
top management	audit
effectiveness	conformity
policy	nonconformity
objective	correction
risk	corrective action
competence	continual improvement
documented information	

PDCA model

NOTE   The numbers given in brackets refer to the clause numbers in this document.

Key requirements in ISO 45001

- Adoption of ISO/Annex SL structure

- Emphasis on leadership, through a clause assigning specific responsibilities for those in leadership roles to promote health and safety management within the organization (and to ensure the success of the system)

- Call for proactivity, through expanded expectations for organizations to protect the health and safety of workers and interested parties, such as through hazard identification, risk assessment, operational controls, etc.

- Focus on risk management, requiring the planning and determination of risk consider the positive and negative (via risks and opportunities), identified issues, and the needs/expectations of interested parties

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Key requirements in ISO 45001 (ctd.)

- Focus on achieving <u>intended outcomes</u>

- Emphasis on objectives measurement and change

- Expectations for improving health and safety <u>*performance*</u> rather than improving the management *system*

- Equal emphasis on external and internal communications

- Separate requirements for awareness and competency (with prescriptive awareness criteria)

Key requirements in ISO 45001 (ctd.)

- Incorporation of the term 'documented information' instead of 'documents' and 'records' to reflect the use of modern recording media and the evolution of computer and cloud-based systems, and to provide the organization with the flexibility to determine when 'procedures' are needed to ensure effective process control

- Stresses the importance of OHS management within the organization's strategic planning processes

- Includes a management of change process and associated requirements

Terms

Interested party (preferred term) (Also known as stakeholder)

- Person or *organization* (3.1) that can affect, be affected by, or perceive itself to be affected by a decision or activity

  - Note 1 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1.

Occupational health and safety management system (**OH&S management system)**

- *management system* (3.10) or part of a management system used to achieve the *OH&S policy* (3.15)

  - Note 1 to entry: **The intended outcomes of the OH&S management system are to prevent *injury and ill health* (3.18) to *workers* (3.3) and to provide safe and healthy *workplaces* (3.6).**

  - Note 2 to entry: The terms "occupational health and safety" (OH&S) and "occupational safety and health" (OSH) have the same meaning.

Terms (ctd.)

Top management

- Person or group of people who directs and controls an organization (3.1) at the highest level
  - Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization*,* provided ultimate responsibility for the *OH&S management system* (3.11) is retained.
  - Note 2 to entry: If the scope of the *management system* (3.10) covers only part of an organization, then top management refers to those who direct and control that part of the organization.
  - Note 3 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1. Note 1 to entry has been modified to clarify the responsibility of top management in relation to an OH&S management system.

Terms (ctd.)

Risk

- Effect of uncertainty
  - Note 1 to entry: An effect is a deviation from the expected — positive or negative.
  - Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.
  - Note 3 to entry: Risk is often characterized by reference to potential "events" (as defined in ISO Guide 73:2009, 3.5.1.3) and "consequences" (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.
  - Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated "likelihood" (as defined in ISO Guide 73:2009, 3.6.1.1) of occurrence.
  - Note 5 to entry: In this document, where the term "risks and opportunities" is used this means *OH&S risks* (3.21), *OH&S opportunities* (3.22) and other risks and other opportunities for the management system.
  - Note 6 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1. Note 5 to entry has been added to clarify the term "risks and opportunities" for its use within this document.

Terms (ctd.)

Occupational health and safety risk (OH&S risk)

- Combination of the likelihood of occurrence of a work-related hazardous event(s) or exposure(s) and the severity of *injury and ill health* (3.18) that can be caused by the event(s) or exposure(s)

Occupational health and safety opportunity (OH&S opportunity)

- Circumstance or set of circumstances that can lead to improvement of *OH&S performance* (3.28)

Competence

- Ability to apply knowledge and skills to achieve intended results
  - Note 1 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1.

Terms (ctd.)

Documented information

- Information required to be controlled and maintained by an *organization* (3.1) and the medium on which it is contained
    - Note 1 to entry: Documented information can be in any format and media, and from any source.
    - Note 2 to entry: Documented information can refer to:
        a) the *management system* (3.10), including related *processes* (3.25);
        b) information created in order for the organization to operate (documentation);
        c) evidence of results achieved (records).
    - Note 3 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1.

Occupational health and safety performance (OH&S performance)

- *Performance* (3.27) related to the *effectiveness* (3.13) of the prevention of *injury and ill health* (3.18) to *workers* (3.3) and the provision of safe and healthy *workplace(s)* (3.6)

Terms (ctd.)

Audit

- Systematic, independent and documented *process* (3.25) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled
    - Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).
    - Note 2 to entry: An internal audit is conducted by the *organization* (3.1) itself, or by an external party on its behalf.
    - Note 3 to entry: "Audit evidence" and "audit criteria" are defined in ISO 19011.
    - Note 4 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1.

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Standard clause by clause

Clause 4 Context of the organization

4.1 Understanding the organization and its context

- Determine internal and external issues relevant to the OHSMS and its ability to achieve its <u>intended outcomes</u>

4.2 Understanding the needs and expectations of workers and other interested parties

- Determine relevant interested parties (beyond workers) and their needs and expectations (requirements)

4.3 Determining the scope of the OH&S management system

→ Consider these issues and needs/expectations when determining the OH&S scope

Standard clause by clause

Clause 5 Leadership and worker participation

5.1 Leadership and commitment

- Top management should, among other things, take responsibility for the effectiveness of the OHSMS, the integration of OH&S management into business processes, the adequacy of resources, and the communication of conformance to the OHSMS.

5.2 OH&S policy

- The policy and objectives should be aligned with the organization's strategic direction, and achieve the system's intended outcomes.
- The OHS policy should include a commitment to participation, amongst other criteria.

Standard clause by clause

5.3 Organizational roles, responsibilities and authorities

- A management representative is not explicitly mentioned.
- Top management must ensure adequate responsibilities and authorities are assigned. Responsibilities can be delegated, but top management is still ultimately accountable for the OHSMS.

5.4 Participation and consultation of workers

- Participation and consultation criteria are specific and prescriptive, including:
  - Identifying methods, training, resources, etc.
  - Identifying and removing (or minimizing, if removal is not possible) any obstacles to participation (such as fear of reprisal, language barriers, etc.)
  - Emphasizing non-manager participation and consultation in areas such as identification of hazards and risk, operational control identification, incident investigation, determining the needs and expectation of interested parties, determining monitoring and measurement needs, etc.

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Standard clause by clause

6.1 Actions to address risks and opportunities

6.1.1 General

- Determine in order to:
  - Ensure that the OHSMS can achieve its intended outcomes
  - Prevent (or minimize) undesired effects, including injuries and ill health
  - Continually improve
- Determine the risks and opportunities related to:
  - OHS hazards
  - Legal/other requirements
  - Risks and opportunities that can affect the OHSMS's achievement of intended outcomes

Standard clause by clause

6.1.2.1 Hazard identification

- Prescriptive and proactive requirements for consideration through the hazard identification process, including:
    - People in the nearby area who can be affected by the organization
    - People at the workplace who are not controlled by the organization
    - Work area and equipment designs
    - Actual (and/or proposed) changes affecting the OHSMS
    - Past incidents
    - Etc.

Standard clause by clause

6.1.2.2 Assessment of OH&S risks and other risks to the OH&S management system

- Must have a process to assess OHS risks (including those relevant to identified hazards and existing controls) with established and proactive criteria
- Documented information is to be retained

6.1.2.3 Assessment of OH&S opportunities and other opportunities for the OH&S management system

- Must have a process to assess OH&S opportunities relevant to OH&S performance, including opportunities to improve the work environment and/or to reduce or eliminate hazards and/or OH&S risks

Standard clause by clause

6.1.3 Determination of legal requirements and other requirements

- Up-to-date determination of (and access to) applicable requirements
- Determination of how these requirements apply to the organization, and to the organization's hazards and risks
- Determination of communication requirements
- Consideration in maintaining and improving the OHSMS
  – Note: legal/other requirements can result in risks and/or opportunities

6.1.4 Planning action

- Must address risks, opportunities, legal/other requirements, emergency situations, integration into the OHSMS, and evaluation of effectiveness
- Take into account the hierarchy of controls (8.1.2) and system outputs

Standard clause by clause

6.2 OH&S objectives and planning to achieve them

6.2.1 OH&S objectives

- To improve the OHSMS and the OH&S performance
- Shall:
    - be consistent with the OH&S policy
    - take into account the organization's legal/other requirements, risks and opportunities, and participation and consultation results
    - be monitored (and measured, if possible)
    - be communicated
    - be updated (as relevant)

Standard clause by clause

6.2.2 Planning to achieve OH&S objectives

- Must determine (and maintain documented information of):
    - actions or tasks to be used to achieve the objective
    - resource needs
    - responsible party(ies)
    - completion timeline(s)
    - monitoring methods and measurement frequency
    - result(s) evaluation methods
    - methods for integrating into the OHSMS

Standard clause by clause

7.2 Competence

- Must determine competency requirements for workers that can affect the performance of the OHSMS, and competence must be evidenced through documented information

- Must take actions as necessary to ensure competency, and <u>evaluate the effectiveness of actions taken</u>

7.3 Awareness

- Identifies specific items workers must be made aware of by the organization, including the real or potential ramifications of deviating from the OHSMS requirements

Standard clause by clause

7.4.3 External communication

- Must determine the OHSMS's relevant internal/external information and communication requirements (Who/When/How, etc.)
- External interested party views (when relevant) are also to be considered

7.5 Documented information

- Identifies specific controls to be identified by the organization related to creating, updating, and controlling <u>documented information</u>

Standard clause by clause

Clause 8 Operation

8.1 Operational planning and control

8.1.1 General

- Planned actions must have established process(es) criteria, with sufficient documented information maintained to ensure process criteria were met

8.1.2 Eliminating hazards and reducing OH&S risks

- Contains the hierarchy of controls

8.1.3 Management of change

- Must implement a process for controlling planned changes that could affect the OHS performance of the organization, as well as review and mitigate any negative impacts of inadvertent changes
  - Examples include: new products, services or processes, changed working conditions, changes to equipment, changes to legal/other requirements, etc.

Standard clause by clause

8.1.4 Procurement

8.1.4.1 General

- Requires processes and controls for outsourced processes that could affect the OHSMS/OHS performance

8.1.4.2 Contractors

- Must identify and control OH&S risks related to the activities of contractors
  - This may include the contracted activities' impact on the organization/workers, or vice versa
- Criteria for contractor selection must be identified, and processes are required to ensure contractor activities meet the requirements of the OHSMS

Standard clause by clause

8.1.4.3 Outsourcing

- Must identify controls to ensure procured materials and/or services meet the relevant OHSMS requirements and intended outcomes

8.2 Emergency preparedness and response

- Items to be considered or included in an emergency response process(es), including:
    - Review (and revise, if needed) procedures after drills or emergency occurrences
    - Relevant training, including first aid
    - The needs/capabilities of all relevant interested parties involved

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Standard clause by clause

9.1 Monitoring, measurement, analysis and performance evaluation

9.1.1 General

- Must determine the OHSMS's relevant monitoring and measurement requirements (Who/When/How, etc.) to evaluate the OH&S performance and the effectiveness of the OHSMS

9.2 Internal audit

9.2.2 Internal audit programme

- Identifies specific factors to be determined within the audit program(s)
- Requires results be reported to "relevant managers," workers (and/or representatives), and other interested parties as relevant

Standard clause by clause

9.3 Management review

- Lists the inputs and outputs required for OHSMS reviews performed by <u>Top Management</u>

Clause 10 Improvement

10.1 General

- Requires identification of opportunities for improvement (clause 9)

10.2 Incident, nonconformity and corrective action

- Requires timely actions to address/correct incidents and nonconformities
- Corrective actions must be reviewed for effectiveness and have evidence (documented information)
- Requires results be reported to relevant workers (and/or representatives), and other interested parties (as relevant)

Standard clause by clause

10.3 Continual improvement

- Requires continual improvement of the OHSMS by:
  - Improving OH&S performance
  - Creating and maintaining a culture that supports the OHSMS
  - Participation of workers in implementing controls that drive improvements
  - Communication of results to relevant individuals
  - Maintaining evidence of actions and improvements (through documented information)

Guidance References

- Annex A – Guidance on the use of this document

- Bibliography

Other related requirements

IAF Mandatory Document 21:2018—Requirements for the Migration to ISO 45001:2018 from OHSAS 18001:2007 and IAF Mandatory Document 22:2018—Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS) <u>Overall: raise the bar of performance expectations for the OHSMS</u>

- Notifications of significant change cannot wait until the next audit; must notify PJR's Program Management in writing ASAP

- Prescribed audit time table, calculated by risk level and employee count

- If Top Management does not attend the Closing Meeting, a reasonable excuse for their absence should be provided to (and documented by) the auditor

- Personnel responsible for monitoring employee health (example: doctors/nurses) are to be available for interview during audit(s)

- CB may conduct special audits in response to compliance issues, incidents, etc. and may even suspend or withdraw certification (Terms & Conditions)

- Legal compliance violations or gaps may prevent or impede initial certification (objective evidence of capabilities will be required)

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Certification Steps

- Obtain a copy of the standard
- Establish OHSMS documentation to meet ISO 45001:2018 requirements
- Training to OHSMS requirements
- Implement OHSMS requirements
  - Conduct an internal audit(s) of the system
  - Conduct a compliance evaluation
  - Conduct a system review (including the outputs of the internal audit as inputs)
- Contract with a Certification Body (CB), such as PJR
- Complete Stage 1 and Stage 2 audits, and address any resulting nonconformances (NCRs)
  - → Certification issuance

Certification Process

The registration audit consists of two stages:

- Stage 1:
  - Documented information review of the OHSMS
  - Assesses the adequacy of the framework/how the organization plans to meet the standard requirements
  - Evaluates the readiness of your organization to move to Stage 2

- Stage 2:
  - Usually scheduled 30 to 60 days after the Stage 1 audit
  - Full-system audit of your entire OHSMS
  - Assesses the implementation of documented information reviewed at Stage 1, and confirms whether or not the system is effectively meeting the requirements of the standard
  - Any nonconformities will need to be resolved prior to certificate issuance

Certification Requirements

- Surveillance audits
  - Scheduled at either six or twelve month intervals depending on the contract
  - Partial system audits

- Re-certification audit
  - Full-system audit conducted prior to the third anniversary of the initial certification
  - Surveillance visits will then continue, as before, on a 3-year cycle

Integrated (vs. simultaneous) audits

- Can easily integrate an OHSMS with other standards, such as ISO 14001

- Audit time can be discounted up to 20% for each standard to be integrated, provided there is proof of full integration. Examples include:
  - Integrated audits by internal auditors qualified for all standards being integrated
  - One corrective action system to manage system nonconformities
  - A single management review addressing all standards' inputs and outputs
  - Integrated policy, procedures, and manual
  - Competency/training records handled in one system
  - Subcontract/supplier management handled in one program
  - For EMS/OHSMS integration – a single compliance audit

- Systems that are found <u>not</u> to be integrated will result in increased audit times

Please type any questions you may have.

For additional technical information, please contact PJR using the below contact information:

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For a quote, please contact

the Sales Department at:

1-800-800-7910

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