ISO 45001:2018

Overview of Changes

Austin Matthews
EHS Assistant Program Manager

Agenda:

- About PJR

- Benefits and Drivers

- Migration information and timeline

- Key changes

- Clause-by-clause overview

- Other related changes

- Certification Process/Requirements

- Questions

- Welcome from PJR Headquarters:

  755 W. Big Beaver Rd, Suite 1340

  Troy, MI 48084

  Phone: 1-800-800-7910

- Introduction of speaker

- Audience for today's meeting

PERRY JOHNSON REGISTRARS

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
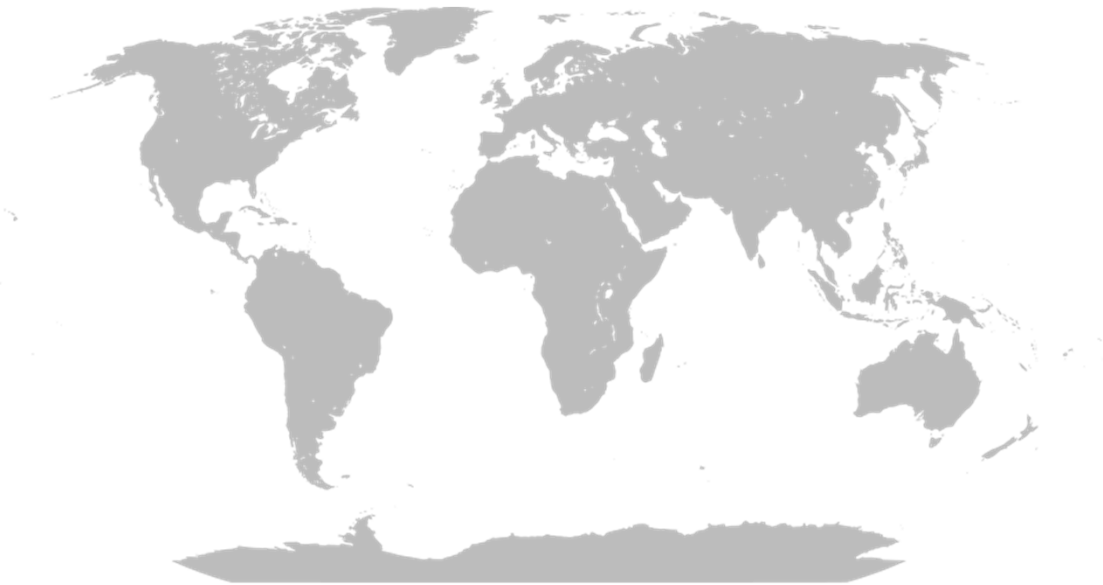
PJR is accredited to grant certification for :

- ISO 9001
- ISO 14001
- AS 9100, 9110 & 9120
- ISO/TS 16949
- Responsible Recycling (R2)
- RIOS
- ISO 13485
- SQF

- TL 9000
- **OHSAS 18001***
- ISO 27001
- ISO 22000
- HAACP Compliance
- FSSC 22000
- e-Stewards®

*CBs (such as PJR) cannot grant certifications to ISO 45001 until they have received accreditation

Benefits of getting certified

- Meeting legal requirements

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

- Management commitment and employee engagement

- Business management, notably for meeting stakeholder requirements, improving public image, achieving strategic objectives, and integrating with business management systems

- Supplier health and safety performance

- Providing a competitive advantage

- Minimizing the risks of production delays

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

PERRY JOHNSON REGISTRARS

ISO 45001:2018 Drivers

- Commitment to occupational health and safety, and prevention of injuries and ill-health

- Reduction of risks and hazards for employees, contractors, etc.

- Business management drivers, including public image

- Framework for meeting customer and/or regulatory requirements

ISO 45001:2018 Overview

- Replaces 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

PERRY JOHNSON REGISTRARS
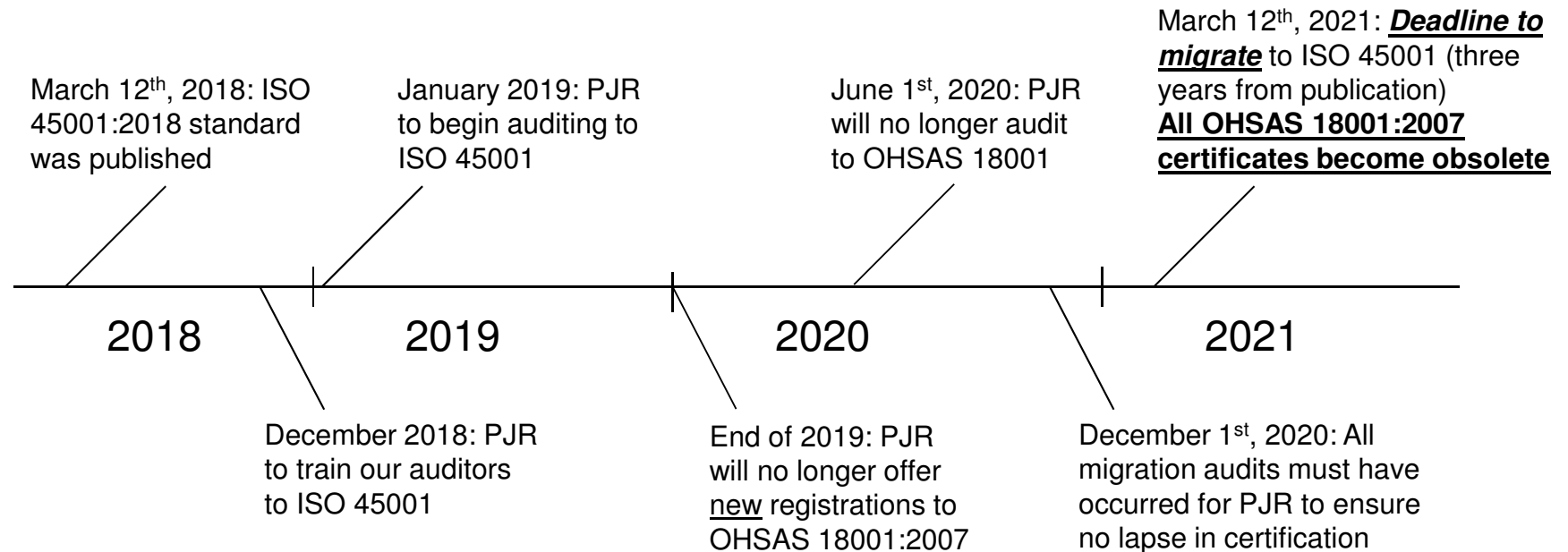
PJR

Migration to ISO 45001:2018

- There will be a <u>three year migration period</u> for existing certifications.
  → OHSAS 18001:2007 certificates will reflect this expiration date

- PJR issued a Transition Plan (found at: http://www.pjr.com/downloads/ISO-45001-Transition.pdf), with deadlines based on the standard's publication of March 2018.

  → In order to avoid a lapse in certification, PJR communicated a deadline by which migration audits must occur. This ensures sufficient time for corrective action response by the client, and certification review and decision activities by the CB.

- Migration audits can occur during surveillance or recertification audits, based on the client's preference.

  → Please note: A minimum of 1 audit day will be added for verification of the transition requirements

PERRY JOHNSON REGISTRARS

PJR's ISO 45001:2018 Timeline

- PJR hosted free ISO 45001 webinars PJR quarterly in 2018. Recordings can be found here: http://www.pjr.com/webinar/past-webinars and https://www.youtube.com/channel/UCP_sUH-jM_yxUqENlDgEp8Q

March 12th, 2021: ***Deadline to migrate*** to ISO 45001 (three years from publication) **All OHSAS 18001:2007 certificates become obsolete**

March 12th, 2018: ISO 45001:2018 standard was published

January 2019: PJR to begin auditing to ISO 45001

June 1st, 2020: PJR will no longer audit to OHSAS 18001

2018　　　　2019　　　　2020　　　　2021

December 2018: PJR to train our auditors to ISO 45001

End of 2019: PJR will no longer offer <u>new</u> registrations to OHSAS 18001:2007

December 1st, 2020: All migration audits must have occurred for PJR to ensure no lapse in certification

PERRY JOHNSON REGISTRARS

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	

PERRY JOHNSON REGISTRARS

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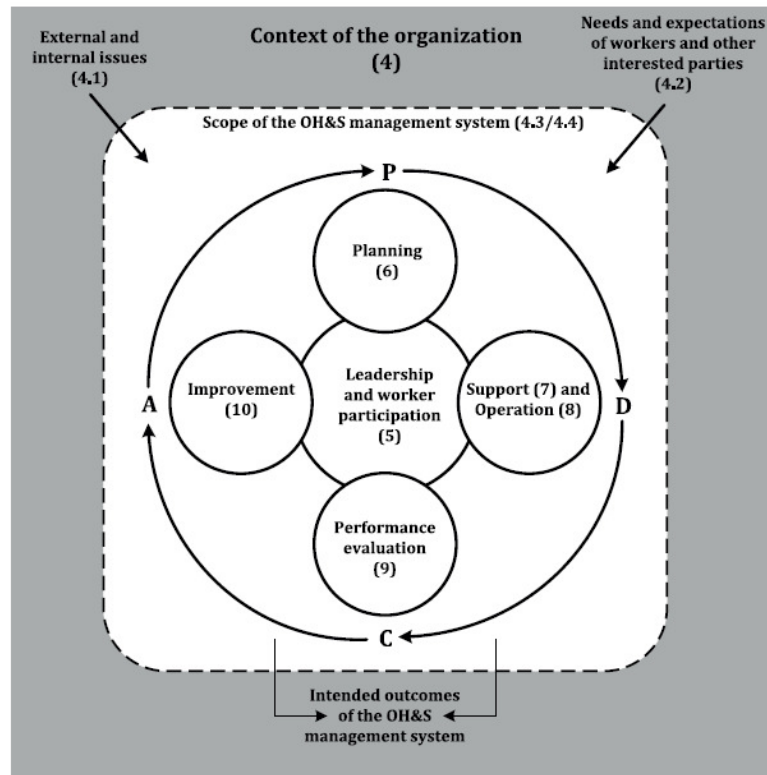
NOTE   The numbers given in brackets refer to the clause numbers in this document.

Key changes in ISO 45001

- Adoption of ISO structure

- The emphasis on leadership

- The focus on risk management

- Emphasis on objectives measurement and change

- Communication and awareness

- Fewer prescriptive requirements

PERRY JOHNSON REGISTRARS

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* (<u>3.11</u>) is retained.

  - Note 2 to entry: If the scope of the *management system* (<u>3.10</u>) 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)

PERRY JOHNSON REGISTRARS

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.

Changes to ISO 45001

- **Strategic occupational health and safety (OH&S) management** - There is an increased prominence of OHS management within the organization's <u>strategic planning processes</u>.

- **Leadership** - To ensure the success of the system, a new clause has been added that assigns specific responsibilities for those in leadership roles to promote health and safety management within the organization.

Changes to ISO 45001

- **Proactivity** - The expectation for organizations has been expanded to commit to proactive initiatives to protect the health and safety of workers and interested parties, consistent with the context of the organization. This may include:
  - Hazard identification
  - Risk assessment
  - Emergency response processes
  - Operational controls
  - Monitoring and measurements

- **Occupational health and safety performance** – There is a shift in emphasis with regard to continual improvement, from improving the management system to improving health and safety <u>performance</u>.

Changes to ISO 45001

- **Communication** – The development of a communications strategy with equal emphasis on external and internal communications has been added.

- **Documentation** – Reflecting the evolution of computer and cloud based systems for running management systems, the revision incorporates the term 'documented information', instead of 'documents' and 'records'. To align with ISO 9001, the organization will retain the flexibility to determine when 'procedures' are needed to ensure effective process control.

PERRY JOHNSON REGISTRARS

Standard changes 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 changes by clause

Clause 5 Leadership and worker participation

5.1 Leadership and commitment

- <u>Top management</u> should, among other things, take on more 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 <u>intended outcomes</u>.
- The OHS policy should include a commitment to <u>participation</u>.

Standard changes by clause

5.3 Organizational roles, responsibilities and authorities

- A management representative is no longer 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 more 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.

PERRY JOHNSON REGISTRARS
PJR

Standard changes by clause

Clause 6 Planning

- The entire planning section for OHS management has been restructured

- Planning and risk determination must take into consideration the positive and negative (via risks and opportunities), identified issues, and the needs/expectations of interested parties

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

Standard changes 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 changes 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.

PERRY JOHNSON REGISTRARS

Standard changes 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 changes 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 changes 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 changes 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 changes by clause

Clause 7 Support

- Competency and awareness requirements are separated, awareness criteria are prescribed

- The commitments to OHS protection are to be given more consideration in terms of communications as well. External representation and reporting must be controlled.

- With respect to documents and records, only the term "documented information" shall be used in the future, thus taking into account the use of modern recording media.

PERRY JOHNSON REGISTRARS

Standard changes 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 changes by clause

7.4 Communication

7.4.2 Internal communication

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 changes 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

- No significant changes to 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 inadvertent changes
  - Examples include: new products, services or processes, changed working conditions, changes to equipment, changes to legal/other requirements, etc.

Standard changes 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 changes 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

- Additions to the 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

Standard changes by clause

Clause 9 Performance evaluation

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 changes by clause

9.3 Management review

- Additions/revisions to 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 changes 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 changes

IAF Mandatory Document 22:2018—Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)

IAF Mandatory Document 21:2018—Requirements for the Migration to ISO 45001:2018 from OHSAS 18001:2007

- 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
- 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)
- Overall: raises the bar of performance expectations for the OHSMS

PERRY JOHNSON REGISTRARS

Certification Steps

- Establish OHSMS documentation to meet ISO 45001:2018 requirements
- Training to OHSMS requirements
- Implement OHSMS requirements
  - Conduct internal audits of system
  - Conduct compliance evaluation
  - Conduct review of system based on input from internal audit
- Contract with a Certification Body (CB)
- Complete Stage I and Stage II audits, and address any resulting nonconformities
  - → ☺ Certification issuance

PERRY JOHNSON REGISTRARS

Certification Process

The registration audit consists of two stages:

- Stage I:
  - On-site document review of your OHSMS (may be required to be submitted to PJR prior to Stage I)
  - Evaluates the readiness of your organization to move to Stage II

- Stage II:
  - Scheduled 30 to 60 days after the Stage I audit
  - On-site audit of your entire OHSMS
  - Any nonconformities will need to be resolved prior to certificate issuance

PERRY JOHNSON REGISTRARS

Certification Requirements

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

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

PERRY JOHNSON REGISTRARS

Multi-site Certification

- One HQ with multiple locations doing the same activity

Pros

- One corporate certificate with sites listed in appendix
- Sampling is allowed
- Reduced man-days if same Lead Auditor is available to audit most locations

Cons

- Risk of losing certification if any of the sites in the group falters

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 Stacey DeSantis or myself using the below contact information:

Stacey DeSantis

EHS Program Manager

Phone: (248) 358-3388

Email: sdesantis@pjr.com

For a quote, please contact the Sales Department at:

1-800-800-7910

Austin Matthews

EHS Assistant Program Manager

Phone: (248) 358-3388

Email: amatthews@pjr.com