



THE ULTIMATE GUIDE TO ACHIEVING ISO 45001:2018

A 20-Part eBook, covering clauses 4-10
If you have an IMS or QHSE System, ISO 45001 Should slot in easily

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INTRODUCTION

For the last twenty years, Phil has specialized in the streamlining of Environmental, WHS/OHS, food Safety and Quality Management systems. Benchmarking in business best practice, OHS and business risk management.



Commencing his career as a trainee chemist in the steel industry, he has maintained a diverse range of roles that have included; Quality Supervisor then Production Manager in the Food Industry, Director of a Charity-Camp Breakaway, and Food Safety training in Venezuela and Argentina.

He has worked both in Australia & internationally with over 1000 organizations assisting them to achieve certification to the relevant environmental and/or WHS/OHS and/or food safety requirements and/or international quality standards such as ISO 9001, providing both training and consulting services.

This e-book is a compilation of his blogs on ISO 45001 where he explains the requirements of the standard and gives examples of how it could be addressed.

If you would like to contact Phil, his e-mail is phil@pkp.com.au. He also has a YouTube channel dedicated to creating videos explaining Integrated Management Systems – Check it out by searching ‘PKP & Associates’.

PART 1: The top 10 Differences between ISO 45001, AS/NZS 4801 and OHSAS 18001

If you have a quality system or an environmental system, you will notice that the structure is the same across both of these. If you have an IMS or QHSE System, ISO 45001 should slot in easily.

What are the TOP 10 differences in the new ISO 45001?

1. The OH&S management system processes now have to be integrated into the Organization's business processes.

It should just be part of the everyday routine.

2. Top management now takes overall responsibility and accountability for the protection of workers' work-related health and safety.

Top management in both AS/NZS 4801 and OHSAS 18001 were responsible, but they could delegate the accountability.

Now the buck goes all the way to the top before it stops. This is how it is under the National WHS Laws in Australia anyway.

3. Targets are no longer required as they used to be in AS/NZS 4801.

Interestingly OHSAS 18001 never required them.

They are however still mentioned in ISO 45001 in the definition of an objective, where it explains that an objective may be called something else, such as an aim, goal, or target.

I am hoping that some of those ridiculous safety targets now disappear. They should be proactive not reactive.

4. The active participation of workers is now required along with the identification and removal of any obstacles or barriers to consultation.

Suggested possible obstacles and barriers are mentioned, such as, failure to respond to worker input or suggestions, language or literacy barriers, reprisals, threats of reprisals and policies or practices that discourage or penalize worker participation.

Also, there is another requirement in the participation and inclusion of non-managerial workers. **All workers now have to be involved** – these are the people that do the work, and they are the people that are most likely to get injured.

How do you really know that all your employees know the key risks and the controls?

5. “Adapting work to workers” has been included as a way of controlling processes.

It is now clearer that “things have always been done like this” is not an acceptable control measure.

6. Multi-employer workplaces are now included along with the coordination of the (relevant parts of the) OH&S management system with other Organizations.

This is applicable for building and construction sites, where many tradespeople are working, each possibly with a different employer, and a different system of management.

7. The hierarchy of control is in the requirements of ISO 45001

(similar to OHSAS 18001), whereas AS/NZS 4801 have it only in the guidance.

Isolation is not included which is a bit disappointing.

The hierarchy of control is an important methodology for controlling hazards and whilst quite straightforward rarely seems to be used in practice with most hazards

being controlled through signage, documentation and training (administration), and hard hats, safety boots and protective eyewear (PPE).

8. The management of change is strengthened in ISO 45001 and requires that an Organization is aware of any new risks that arise from changes.

This can include changes from new products, processes, services, changes to plant and equipment, or applicable legal and other requirement changes.

This should ensure a more structured and thoughtful approach to change management, by making people stop and think before they leap into change without thinking of the new risks that the change itself may introduce.

9. Continual improvement (which is a recurring activity to enhance performance) does not take place in all areas simultaneously and go on forever.

This means that it needs to be tailored to suit different situations, and may stop and start.

10. The incident definition now includes a note that an incident can occur where there is no nonconformity

This means that things can be working as they should and an incident can still happen.

PART 2: Clause 4

Context of the Organization

This is a new clause but lines up nicely with your 2015 versions of Quality and Environmental Standards systems or your IMS/QHSE systems.

This clause is broken up into the following four sections:

4.1 Understanding the Organization and its context

What do you do and what are the issues you face in conducting your business?

These can be positive or negative and can include conditions, characteristics or changing circumstances that can affect your Safety System. Some examples can be seen below...

EXTERNAL ISSUES:	INTERNAL ISSUES:
Financial	The existing safety culture in the organization
Legal	The perceptions and values of workers
Cultural	Information and documentation
Political	Working conditions
Technological	

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

Do you understand the needs and expectations of your workers, clients, suppliers, subcontractors and what regulatory and statutory requirements that you have to meet?



4.3 Determining the scope of your OHS management system

How do you determine your scope? What do you do? This may take into consideration things like transport companies, architects, and manufacturers.

The scope should take into account everything your organization has control of or things that could affect the OHS performance.

You need to define the boundaries and applicability of the Safety System.

4.4 OHS Management System

You need to commit to establishing, implementing, maintaining and continually improving your OHS Management System.

The key to this requirement is to what level you will integrate your safety system into the business processes. Safety isn't just a job for the Safety person or team, it should be the responsibility of everybody.

PART 3: Clause 5

Leadership and Worker Participation

This clause is broken up into four sections.

5.1 Leadership and commitment

The points below outline how top management demonstrate leadership and commitment to Safety and the Safety Management Systems within the Organization:

Ensuring that integrated policies and objectives are established for the integrated management system and are compatible with the strategic direction.

The director reviews the OHSMS Policy and the integrated objectives in line with the strategic plan and presents these to the management team for implementation.

Ensuring the integrated policy is understood and followed. The OHSMS Policy is displayed (signed and dated by the Director) and staff are made aware through OHSMS training and a copy is in the Staff Handbook.

Ensuring the IMS requirements are incorporated into the organization's business processes. Senior management team ensures that documented information maps the processes used for the OHSMS and accurately reflects your business practices.

Promoting awareness of the process approach. The management team has implemented lean program to improve the process approach and provision of lean training.

Ensuring that the resources needed for the OH&S management system are available. Director has provided sufficient resources, such as staff, equipment and financial.

Communicating the importance of having an effective OH&S management system, as well as the benefits of conforming to the requirements of the OH&S management system and the goods and services. All staff have been trained in the OHSMS and records are maintained of this training.

Ensuring that the OH&S management system achieves its intended outputs. Internal and external audits are undertaken to ensure compliance with the OHSMS.

Engaging, directing and supporting persons to contribute to the effectiveness of the OH&S management system. All staff are trained in the OHSMS.

Promoting improvement and innovation through the ICAR system

Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility. This may be through the provision of training, professional development and weekly and monthly meetings.

5.2 OH&S policy

Top management has to establish an OH&S policy that:

1. Includes a commitment to provide safe and healthy working conditions for the prevention of work-related injury and ill-health (which is appropriate to the purpose, size and context of the Organization and to the specific nature of its OH&S risks and OH&S opportunities)
2. Provides a framework for setting the OH&S objectives
3. Includes a commitment to fulfil legal requirements and other requirements
4. Includes a commitment to eliminate hazards and reduce OH&S risks
5. Includes a commitment to the continual improvement of the OH&S management system
6. Includes a commitment to consultation and participation of workers and where they exist, workers' representatives

This OH&S policy has to be:

1. Available as documented information, displayed in the office and warehouse.
2. Communicated within the organization, part of OHSMS training and is in the staff handbook.
3. Available to interested parties, as appropriate, (provided when requested)
4. Reviewed for continuing suitability (normally annually by the Director)

5.3 Organizational Roles, Responsibilities and Authorities

Top management is accountable for the effectiveness of the safety management system and has assigned the responsibility and authority for:

1. Ensuring that the safety management system conforms to the requirements of the International Standard ISO 45001
2. Reporting on the performance of the integrated management system to top management.

Top management has to ensure that the responsibilities and authorities for relevant roles are assigned and communicated within its organization. These can be detailed in Position Descriptions or in procedures, SWMS and JSAs.

5.4 - Consultation and Participation of Workers

I consider this requirement to be a key factor in the success of your OH&S/WHS system.

Before we get started, it is important to note that there are three important definitions in this standard that are pertinent to this clause:

Worker – A person performing work or work-related activities that are under the control of the Organization (3.1). This could occur under various arrangements; paid or unpaid, regularly or temporarily, intermittently or seasonally, casually or on a part-time basis. Workers also include top management (3.12), managerial and non-managerial persons. Workers may be employed by the Organization, of external providers, contractors, individuals, or agency workers.

Participation - Involvement in decision-making. Participation includes engaging health and safety committees and workers' representatives, where they exist.

Consultation - seeking views before making a decision. Consultation includes engaging health and safety committees and workers' representatives

The requirements of this standard demand the following:

Your Organization has to establish, implement and maintain a process for consultation and participation of workers at all applicable levels and functions and, where they exist, workers' representatives, in the development, planning, implementation, performance evaluation and actions for improvement of the OH&S management system.

Your Organization has to:

1. Provide mechanisms, time, training and resources necessary for consultation and participation. Such as safety meetings, toolbox talks, and safety committee meetings.

Worker representation can be a mechanism for consultation and participation

2. Provide timely access to clear, understandable and relevant information about the OH&S management system.

3. Determine and remove obstacles or barriers to participation and minimize those that cannot be removed.

*** Obstacles and barriers can include failure to respond to worker inputs or suggestions, language or literacy barriers, reprisals or threats of reprisals and policies or practices that discourage or penalize worker participation***

4. Emphasize the consultation of non-managerial workers on the following:

- Determining the needs and expectations of interested parties ([see 4.2](#) of ISO 45001)
- Establishing the OH&S policy ([see 5.2](#) of ISO 45001)

- Assigning Organizational roles, responsibilities and authorities, as applicable ([see 5.3](#) of ISO 45001)
- Determining how to fulfill legal requirements and other requirements ([see 6.1.3](#) of ISO 45001)
- Establishing OH&S objectives and planning to achieve them ([see 6.2](#) of ISO 45001)
- Determining applicable controls for outsourcing, procurement and contractors ([see 8.1.4](#) of ISO 45001)
- Determining what needs to be monitored, measured and evaluated ([see 9.1](#))
- Planning, establishing, implementing and maintaining an audit programme(s) ([see 9.2.2](#) of ISO 45001)
- Ensuring continual improvement (see 10.3 of ISO 45001)

5. Emphasize the participation of non-managerial workers in the following:

- Determining the mechanisms for their consultation and participation.
- Identifying hazards and assessing risks and opportunities (see 6.1.1 and 6.1.2 of ISO 45001)
- Determining actions to eliminate hazards and reduce OH&S risks (see 6.1.4 of ISO 45001)
- Determining competence requirements, training needs, training and evaluating training ([see 7.2](#) of ISO 45001)
- Determining what needs to be communicated and how this will be done ([see 7.4](#) of ISO 4500)
- Determining control measures and their effective implementation and use ([see 8.1](#), [8.1.3](#) and [8.2](#) of ISO 45001)
- Investigating incidents and nonconformities and determining corrective actions (see 10.2 of ISO 45001)

PART 4: Clause 6

Actions to Address Risks and Opportunities

6.1 - Actions to address Risks and Opportunities

I consider this requirement a key factor in the success of your OH&S/WHS system. If you get this right you should reduce the number of injuries and incidents.

Spend more time ensuring that all workers are **involved** in assessing hazards and risks. This includes communicating with them about the risks and hazards (especially younger and newer workers), as well as encouraging them to come up with opportunities, ideas and improvements that will reduce the hazards and risks.

Definitions for OH&S Hazards, Risks & Opportunists:

1. Hazard – a source with a potential to cause injury and ill-health

For example: driving, using an angle grinder and improperly erecting scaffold.

2. Risk – A combination of the likelihood of occurrence of a work-related hazardous event or exposure and the severity of injury or ill-health that can be caused by the event or exposure.

For example: A car collision resulting in injury or death, an angle grinder kicking resulting in severe cuts/grazes or lacerated artery that may lead to death, or a scaffold collapsing crushing people.

3. Opportunity – A circumstance or set of circumstances that can lead to improvement of OH&S performance.

For example: Engineering out certain requirements, substituting a process or activity that reduces hazards and risks (such as a warehouse where there is no interaction between workers on foot and forklift traffic).

This section is about how to **meet the requirements** of this section of the standard.

When planning for your OH&S Management System your Organization must consider the context of your organization, you're interested parties and the scope of your OH&S management system. You must determine the risks and opportunities that need to be addressed in order to;

1. Give assurance that your OH&S management system can achieve its intended outcomes.
2. Prevent, or reduce, undesired effects;
3. Achieve continual improvement.

When determining the risks and opportunities for your OH&S management system and its intended outcomes that need to be addressed, the Organization shall take into account:

- Hazards ([see 6.1.2.1](#))
- OH&S risks and other risks ([see 6.1.2.2](#))
- OH&S opportunities and other opportunities ([see 6.1.2.3](#))
- Legal requirements and other requirements ([see 6.1.3](#))

During the planning process, your organization must determine and assess the risks and opportunities that are relevant to the intended outcomes of the OH&S management system associated with changes in the Organization, its processes or the OH&S management system.

In the case of planned changes, permanent or temporary, this assessment must be undertaken before the change is implemented.

Your Organization must maintain documented information on risks and opportunities, and the processes and actions needed to determine and address its risks and opportunities to the extent necessary to have confidence that they are carried out as planned.

6.1.2.1 Hazard identification

Your Organization has to establish, implement and maintain processes for hazard identification that are ongoing and proactive. The processes must take into account, but not be limited to:

1. How work is organized

Social factors (workload, work hours, victimization, harassment and bullying), leadership and the culture in the Organization;

2. Routine and non-routine activities and situations

- Infrastructure, equipment, materials, substances and the physical conditions of the workplace
- Product and service design, research, development, testing, production, assembly, construction, service delivery, maintenance and disposal
- Human factors
- How the work is performed

3. Past Relevant Incidents

- Internal or external to the organization
- Can include emergencies and their clauses

4. Potential Emergency Situations

5. People including consideration of:

- Those with access to the workplace and their activities, including workers, contractors, visitors and other persons
- Those in the vicinity of the workplace who can be affected by the activities of the Organization
- Workers at a location not under the direct control of the Organization

6. Other issues:

- The design of work areas, processes, installations, machinery/equipment, operating procedures and work Organization, including their adaptation to the needs and capabilities of the workers involved;
- Situations occurring in the vicinity of the workplace caused by work-related activities under the control of the Organization;
- Situations not controlled by the Organization and occurring in the vicinity of the workplace that can cause injury and ill health to persons in the workplace

7. Actual or proposed changes in organization, operations, processes, activities and the OH&S management system ([see 8.1.3](#))

8. Changes in knowledge of, and information about, hazards.

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

Your Organization has to establish, implement and maintain process to:

1. Assess OH&S risks from the identified hazards, while taking into account the effectiveness of existing controls
2. Determine and assess the other risks related to the establishment, implementation, operation and maintenance of the OH&S management system.

The Organization's methodologies and criteria for the assessment of OH&S risks shall be defined with respect to their scope, nature and timing to ensure they are proactive rather than reactive and are used in a systematic way. Documented information needs to be maintained and retained on the methodologies and criteria.

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

Your Organization has to establish, implement and maintain processes to assess:

1. OH&S opportunities to enhance OH&S performance, while taking into account planned changes to the Organization, its policies, its processes or its activities and:

- Opportunities to adapt work, work Organization and work environment to workers
- Opportunities to eliminate hazards and reduce OH&S risks

2. Other opportunities for improving the OH&S management system.

NOTE: OH&S risks and OHS opportunities can result in other risks and other opportunities for your Organization and these have to be taken into account.

6.1.3 Determination of legal and other requirements

I consider this requirement a key factor in the success of your OH&S/WHS system. In fact, all the requirements of this standard are a key factor.

Definitions for legal requirements and other requirements:

- Legal requirements that an Organization (3.1) has to comply with and other requirements (3.8) that an Organization has to or chooses to comply with. This includes the provisions in collective agreements.
- For the purposes of this document, legal requirements and other requirements are those relevant to the OH&S management system (3.11).
- Legal requirements and other requirements include those that determine the persons who are workers representatives in accordance with laws, regulations, collective agreements and practices.

This section is about how to **meet** the requirements of this section of the standard.

6.1.3 Determination of legal requirements and other requirements.

Your Organization must establish, implement and maintain processes to:

1. Determine and have access to up-to-date legal requirements and other requirements that are applicable to its hazards, OH&S risks and OH&S management system;
2. Determine how these legal requirements and other requirements apply to the Organization and what needs to be communicated;
3. Take these legal requirements and other requirements into account when establishing, implementing, maintaining and continually improving its OH&S management system.

Your Organization must maintain and retain documented information on its legal requirements and other requirements and shall ensure that it is updated to reflect any changes.

Legal requirements and other requirements can result in risks and opportunities for the Organization.

This section requires more than a list of legislation and regulations, you have to determine if they are applicable to your Organization.

6.2 OH&S Objectives and planning to achieve them.

Firstly, before I get started, let me stress that this clause of the standard is where you can apply SMART objectives or stupid objectives.

Stupid objectives will only be given in this paragraph then I am not going to talk about them ever again as they are a waste of time...

Lag (after the fact) objectives are not what you want, they are like having the ambulance parked at the bottom of the cliff. It's too late. You need **lead (pro-active)** objectives.

For example, if the objective is to reduce injuries but there are no preventive measures, controls, systems or processes to do this... you can measure these statistics till you're blue in the face, however your system will not ensure a safe environment for you workers.

Also knowing and reporting on injury rates never saved an Organization from prosecution.

Ok, now we can focus on SMART objectives...

Having a good system for ensuring a safe system of work and monitoring its performance (including management safety inspections) is one of the ways to go.

How do we ensure a safe workplace? What objectives ensure that we can achieve or strive towards this outcome? I would value some ideas and I'm sure others would as well.

What is the definition for safety objectives?

Occupational health and safety objective (OH&S objective) - objective (3.16) set by the Organization (3.1) to achieve specific results consistent with the OH&S Policy.

6.2.1 OH&S objectives.

Your Organization must establish OH&S objectives at relevant functions and levels in order to **maintain** and **continuously improve** the OH&S management system and OH&S performance ([see 10.3](#) Continuous improvement).

The OH&S objectives must:

1. Be consistent with the OH&S policy
2. Be measurable (if practicable) or capable of performance evaluation
3. Take into account:
 - Applicable requirements
 - The results of the assessment of risks and opportunities ([see 6.1.2.2](#) and [6.1.2.3](#))

- The results of consultation with workers ([see 5.4](#)) and, where they exist, workers' representatives

4. Be monitored

5. Be communicated (displayed on noticeboards – some of my clients even have them on their website)

6. Be updated as appropriate

6.2.2 Planning to achieve OH&S objectives

When planning how to achieve its OH&S objectives, your Organization must determine:

a) **What** will be done

b) **What** resources will be required

c) **Who** will be responsible

d) **When** it will be completed

e) **How** the results will be evaluated, including indicators for monitoring

f) **How** the actions to achieve OH&S objectives will be integrated into the Organization's business processes

*Your Organization must **maintain** and **retain** documented information on the OH&S objectives and plans.*

PART 5: Clause 7

Support

7.1 Resources

Your organization needs to determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of its OH&S management system.

Does that mean you get the Office Manager who is very experienced in Office and Administration to manage the OH&S system without giving them any training? Of course not, but how many do exactly that?

7.2 Competence

The Organization shall:

1. Determine the necessary competence of workers that affects or can affect its OH&S performance; how do you determine this?
2. Ensure that workers are competent (including the ability to identify hazards) on the basis of appropriate education, training or experience; does that mean you get staff to just sign off on SWMS or do you train them in identifying hazards and evaluate their competencies.
3. Where applicable, take actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken;
4. Retain appropriate documented information as evidence of competence. What documentation do you retain, quals, evidence of inhouse training?

Applicable actions can include; the provision of training to, the mentoring of, or the reassignment of currently employed persons, or the hiring or contracting of competent persons.



7.3 Awareness

Workers must be made aware of:

1. The OH&S policy and OH&S objectives; training and listed in their position description and discussed at performance reviews.
2. Their contribution to the effectiveness of the OH&S management system, including the benefits of improved OH&S performance; detailed in a position description and discussed at the performance review.
3. The implications and potential consequences of not conforming to the OH&S management system requirements; detailed in a position description and discussed at their performance review.
4. Incidents and the outcomes of investigations that are relevant to them; discussed at the time and recorded on their employee file and discussed at their performance review
5. Hazards, OH&S risks and actions determined that are relevant to them; discussed in training, at the time and discussed as part of their performance review.
6. The ability to remove themselves from work situations that they consider present an imminent and serious danger to their life or health, as well as the arrangements for protecting them from undue consequences for doing so. This should be detailed in their position description, be part of ongoing training and discussed as part of their performance review.

I consider the [position description/duty statement](#) and the [performance review](#) are ideal for meeting this requirement but more so are most effective in ensuring staff are aware of the above requirements and have this requirements re-iterated regularly, yearly as a minimum.

7.4 Communication

This clause addresses internal and external communication and what the requirements are of this clause.

7.4.1 General

Your Organization will establish, implement and maintain the process(es) needed for the internal and external communications relevant to the OH&S management system, including determining:

a) on what it will communicate; safety alerts, hazards, industry safety information, newsletters.

b) when to communicate; at least monthly or when alerts are required

c) with whom to communicate: all staff.

1) internally among the various levels and functions of the Organization;

2) among contractors and visitors to the workplace;

3) among other interested parties;

d) how to communicate.

Your Organization shall take into account diversity aspects (e.g. gender, language, culture, literacy, disability) when considering its communication needs. Don't assume everybody in your Organization can read and write. Include pictures and diagrams in your OHS communications.

Your Organization will ensure that the views of external interested parties are considered in establishing its communication process(es). When establishing its communication process(es), the Organization shall:

— take into account its legal requirements and other requirements;

— ensure that OH&S information to be communicated is consistent with information generated within the OH&S management system, and is reliable.

Your Organization will respond to relevant communications on its OH&S management system. The Organization will retain documented information as evidence of its communications, as appropriate. Eg Safety Bulletins - Safety Bulletins identify areas of concern, share information and identify positive steps to enhance safety.

7.4.2 Internal Communication

Your Organization will:

- a) internally communicate information relevant to the OH&S management system among the various levels and functions of the Organization, including changes to the OH&S management system, as appropriate; how do you ensure that all staff are made aware of changes to the safety system and sign off on them?
- b) ensure its communication process(es) enables workers to contribute to continual improvement. What is your improvement process and how is it communicated?

7.4.3 External Communication

Your Organization will externally communicate information relevant to the OH&S management system, as established by the Organization's communication process(es) and taking into account its legal requirements.

How do you do this? Some display their safety objectives and results on their websites.

7.5 Documented Information

This clause addresses what is still widely known as Document Control and Records Control.

Remember it is your system, so describe how you manage your documentation - whether this be electronic, paper-based or inscribed stone tablets.

7.5.1 General

Your Organization's OH&S management system will include:

1. Documented information required by ISO 45001:2018; so, wherever the standard states documented information is required.
2. Documented information determined by the Organization as being necessary for the effectiveness of the OH&S management system.

The extent of documented information for an OH&S management system can differ from one Organization to another due to:

- The size of Organization and its type of activities, processes, products and services;
- The need to demonstrate fulfillment of legal requirements and other requirements;
- The complexity of processes and their interactions;
- The competence of workers. (you cannot assume that all your staff can read and write, use diagrams, pictures video etc. to convey your message).

7.5.2 Creating and updating

When creating and updating documented information, your Organization will ensure appropriate:

1. Identification and description (e.g. a title, date, author or reference number); how do you identify your documentation.
2. Format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
3. Review and approval for suitability and adequacy. Which positions in your Organization can approve and review your documentation?

7.5.3 Control of documented information

Documented information required by the OH&S management system and by this document will be controlled to ensure:

1. It is available and suitable for use, where and when it is needed;
2. It is adequately protected (e.g. from loss of confidentiality, improper use or loss of integrity). For the control of documented information, your Organization will need to address the following activities, as applicable:
 - distribution, access, retrieval and use;
 - storage and preservation, including preservation of legibility;
 - control of changes (e.g. version control);
 - retention and disposition.

Documented information of external origin determined by your Organization to be necessary for the planning and operation of the OH&S management system will be identified, as appropriate, and controlled.

* Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information. Some software systems have restrictions that can be set up to ensure employees have read access only and others have access to allow for change of the documentation.

** Access to relevant documented information includes access by workers, and, where they exist, workers representatives.

PART 6: Clause 8

Operational Planning and Control

8.1 (Operational Planning and Control)

8 of ISO 45001: 2018 is where you detail in your system how you undertake your operations.

There are four sections in clause 8.1 (Operational Planning and Control) and I will deal with each section, the first one starting

8.1.1 General Aspects of Operational Planning and Control

Your Organization will plan, implement, control and maintain the processes needed to meet requirements of the OH&S management system, and to implement the actions determined in clause 6, Planning.

You will do this by:

1. **Establishing criteria for the processes;** define your safety outcomes, what information does your team need to ensure safe operations? You could link these to your objectives.
2. **Implementing control of the processes in accordance with the criteria;** how do you check that these controls have been implemented? Using inspections and audits.
3. **Maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned;** this can include SWMS, safety procedures, safety bulletins, and site-specific plans.
4. **Adapting work to workers.** It is key to determine the literacy levels of workers, and looking at how work can be modified to suit skill levels.

At multi-employer workplaces, your Organization will coordinate the relevant parts of the OH&S management system with others. In Australia, the head contractor or principal contractor is ultimately responsible for safety on the site.

Key questions you have to ask yourself regarding your operational safety system:

- Do you have two-way communication with your workers about safety?
- How often does management undertake safety walk arounds?
- Are there any new work methods or equipment that has become available that has the potential to make your operations safer?
- Are procedures for identifying hazards in the workplace effective?
- Are safety procedures followed?
- Do you encourage your workers to report hazards?
- Is there a feedback mechanism in your system to ensure that hazards are controlled, eliminated, and reduced and that all workers are made aware of the hazard?
- Do you regularly inspect and maintain your equipment to identify safety problems?
- Do you fix or rectify identified hazards in a timely manner?
- Are there hidden safety hazards lurking in your workplace?
- How often do you undertake inspections or audits of your high-risk operational activities?

Your system does not have stand-alone elements in it, they are all interlinked, especially, training, communication, inspections and audits and of course follow up and close out of hazards.



8.1.2 Eliminating Hazards and Reducing Risks

Your Organization will establish, implement and maintain a process(es) for the elimination of hazards and reduction of OH&S risks using the following hierarchy of controls:

Eliminate the hazard;

- Substitute with less hazardous processes, operations, materials or equipment;
- Use engineering controls and reorganization of work;
- Use administrative controls, including training;
- Use adequate personal protective equipment.

What processes do you have for reviewing and assessing your hazards and trying to eliminate them and/or follow the hierarchy of controls? Can this be at toolbox meetings tapping into the knowledge of the people doing the work?

As part of your safety training process do you encourage staff to think of smarter and safer ways to undertake work? Do you provide them with forums for discussing these potentially safer methods?

You have to ask yourself some key questions regarding your operational safety system.

Your system does not have stand-alone elements in it, they are all interlinked, especially, training, communication, inspections and audits and of course follow up and close out of reported hazards and risks.

8.1.3 Management of change

This is one of the key new requirements of this standard compared to previous safety standards such as 18001 and 4801.

Your Organization has to establish a process(es) for the implementation and control of planned temporary and permanent changes that impact OH&S performance, including:

- New products, services and processes, or changes to existing products, services and processes, including:
 1. Workplace locations and surroundings;
 2. Work organization;
 3. Working conditions;
 4. Equipment;
 5. Work force.

- Changes to legal requirements and other requirements; - how do you keep up to date with these changes – are you linked with national and state safety bodies?

- Changes in knowledge or information about hazards and OH&S risks; - where do you get your knowledge and information from - industry associations, your networks, linked in groups

- Developments in knowledge and technology; - how do you tap into these developments?

Your Organization will review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

NOTE: Changes can result in risks and opportunities, so you need to update your risk and opportunities register.

What is your change management process and does it address these requirements?

8.1.4 Procurement

8.1.4.1 General

Your Organization will establish, implement and maintain processes to control the procurement of products and services in order to ensure their conformity to its OH&S management system.

Whether you are dealing with dodgy subcontractors, or sub-standard equipment, you do not want to buy in safety problems.

8.1.4.2 Contractors

Your Organization will coordinate its procurement processes with its contractors, in order to identify hazards and to assess and control the OH&S risks arising from:

1. Your contractors' activities and operations that impact the Organization;
2. Your Organization's activities and operations that impact the contractors' workers;
3. Your contractors' activities and operations that impact other interested parties in the workplace.

Your Organization will ensure that the requirements of its OH&S management system are met by contractors and their workers.

Your Organization's procurement processes will define and apply occupational health and safety criteria for the selection of contractors.

NOTE: It can be helpful to include the occupational health and safety criteria for the selection of contractors in the contractual documents.

8.1.4.3 Outsourcing

Your Organization will ensure that outsourced functions and processes are controlled.

These outsourcing arrangements must be consistent with legal and other requirements, and achieve the intended outcomes of the OH&S management system.

The type and degree of control to be applied to these functions and processes shall be defined within the OH&S management system.

NOTE: Coordination with external providers can assist your Organization to address any impact that outsourcing may have on its OH&S performance.

Some of the key points to consider in relation to the above requirements are ensuring you have the basics covered.

What is your process for ensuring that you ensure that an external Organization that you use has the proper and current insurances and that you have evidence of these insurances?

Do you have a checklist of requirements for subcontractors and is it based on risk?

Is there a SWMS (Safe Work Method Statements) review process/form you use when checking subcontractor SWMS and related documentation?

Do you undertake performance reviews of your subcontractors?

8.2 Emergency Preparedness and Response.

Your Organization will establish, implement and maintain a process(es) needed to prepare for and respond to potential emergency situations, as identified in [6.1.2.1](#), including:

Establishing a planned response to emergency situations

This includes the provision of first aid; ensure you have used the correct first aid kits and that you inspect them at least quarterly.

Providing training for the planned response

Such as warden training

Periodically testing and exercising the planned response capability

This needs to happen *at least* yearly.

Evaluating performance and, as necessary, revising the planned response

This includes after testing and, in particular, after the occurrence of emergency situations; you need to document lessons learned.

Communicating and providing relevant information to all workers on their duties and responsibilities

This can be completed at their induction and during planned training, maybe at the emergency exercise.

In relation to your emergency exercise try using different scenarios each time eg, fire, medical emergency, lock down procedure.

Communicating relevant information

You need to give appropriate information to contractors, visitors, emergency response services, government authorities and, as appropriate, the local community.

How do you do this is up to you, get creative.

Taking into account the needs and capabilities of all relevant interested parties

This includes ensuring their involvement, as appropriate, in the development of the planned response.

For example, people with disabilities and language obstacles, can everyone in your Organization read, use pictures?

Your Organization will maintain and retain documented information on the process(es) and on the plans for responding to potential emergency situations.

PART 7: Clause 9

Performance Evaluation

This clause is all about monitoring, measuring and analysing the performance of your organization.

9.1.1 General

Your Organization will establish, implement and maintain a process for monitoring, measurement, analysis and performance evaluation. Your Organization will determine:

a) What needs to be monitored and measured, including:

1) The extent to which legal requirements and other requirements are fulfilled.

How do you assess the requirements and have you fulfilled them? You can do this through an audit.

2) Your activities and operations related to identified hazards, risks and opportunities.

How do you monitor these activities? Do you audit or inspect your controls?

3) Progress towards achievement of your Organization's OH&S objectives

How often do you assess your progress, who does it and how is it documented?

4) Effectiveness of operational and other controls

Do you audit or inspect to assess their effectiveness and how do you record effectiveness and in effectiveness?

b) The methods for monitoring, measurement, analysis and performance evaluation, as applicable, to ensure valid results.

c) The criteria against which your Organization will evaluate its OH&S performance.

d) When the monitoring and measuring shall be performed.

e) When the results from monitoring and measurement will be analysed, evaluated and communicated.

Do you issue an OHS status report for publication/display for the entire company?

Your Organization will evaluate the OH&S performance and determine the **effectiveness** of the OH&S management system.

Your Organization will ensure that monitoring and measuring equipment is calibrated or verified as applicable, and is used and maintained as appropriate.

There can be legal requirements or other requirements, such as national or international standards concerning the calibration or verification of monitoring and measuring equipment.

Your Organization will retain appropriate documented information:

- As evidence of the results of monitoring, measurement, analysis and performance evaluation;
- On the maintenance, calibration or verification of measuring equipment.

9.2 Internal Auditing

9.2.1 General

Your Organization will conduct internal audits at planned intervals to provide information on whether the OH&S management system conforms to:

1. Your Organization's own requirements for its OH&S management system (including the OH&S policy and OH&S objectives)
2. The requirements of the ISO 45001:2018 standard

These audits will also be carried out to ensure the OH&S management system is effectively implemented and maintained.

9.2.2 Internal audit program:

Your Organization will:

1. Plan, establish, implement and maintain an audit programme

This includes documenting the;

- frequency
- methods
- responsibilities
- consultation
- planning requirements
- reporting

This shall take into consideration the importance of the processes concerned and the results of previous audits.

You can have a program that spans say 3 years with the higher risk and compliance areas of your system looked at more regularly.

2. Define the audit criteria and scope for each audit

This includes outlining what you are looking at in your audit and what you need to carry it out.

3. Select auditors and conduct audits

When doing this, you must ensure objectivity and the impartiality of the audit process. Auditors should have some form of training external with on the job training as well.

4. Ensure results of the audits are reported to relevant managers

Ensure that relevant audit results are reported to workers, and, where they exist, workers' representatives, and other relevant interested parties.

Results should be presented at Management Meetings, your consultation meetings and at your Safety Management System Review Meetings.

5. Take action to address nonconformities and continually improve its OH&S performance

I will go into more detail on this in [clause 10](#), where we will look at how you raise nonconformances, corrective actions and opportunities for improvement.

6. Retain documented information

It is important that you keep documented information as a source of evidence of the implementation of the audit program and the audit results.

You need to maintain an audit program, record/document your audit findings and maintain records of nonconformances, corrective actions and improvement opportunities.

You also need evidence of how the results of audits are communicated to workers and other relevant parties.

9.3 Management Review

It is requirement for your top management to review the OH&S management system at planned intervals.

I would recommend doing this at least monthly, as things in the safety space can change very quickly within 3-6 months, let alone annually. This will ensure the OH&S management system is continuing suitability, adequacy and effectiveness.

The management review will consider:

1. The status of actions from previous management reviews

2. Changes in external and internal issues that are relevant to the OH&S management system, including:

- The needs and expectations of interested parties;
- Legal requirements and other requirements;
- Risks and opportunities;

3. The extent to which the OH&S policy and the OH&S objectives have been met

4. Information on the OH&S performance, including trends in:

- incidents, nonconformities, corrective actions and continual improvement;
- monitoring and measurement results;
- results of evaluation of compliance with legal requirements and other requirements;
- audit results;
- consultation and participation of workers;
- risks and opportunities;

5. Adequacy of resources for maintaining an effective OH&S management system

6. Relevant communication(s) with interested parties

7. Opportunities for continual improvement.

The outputs of the management review shall include decisions related to:

- The continuing suitability, adequacy and effectiveness of the OH&S management system in achieving its intended outcomes;
- Continual improvement opportunities;
- Any need for changes to the OH&S management system;
- Resources needed;

- Actions, if needed;
- Opportunities to improve integration of the OH&S management system with other business processes;
- Any implications for the strategic direction of the Organization.

Top management will communicate the relevant outputs of management reviews to workers, and, where they exist, workers' representatives [\(see 7.4\)](#).

Your Organization will retain [documented information](#) as evidence of the results of management.

PART 8: Clause 10

Improvement

10.1 General

Your Organization will determine [opportunities for improvement](#) and implement necessary actions to achieve the intended outcomes of its OH&S management system.

For example, if the evaluation of your objectives shows you are not achieving the desired results you may wish to set up an improvement project to:

1. Determine if it is a useful objective or whether you need to develop some more useful and relevant ones, and then:
2. Develop your improvement program.

Perhaps even have an objective to have a certain number of effective projects per year.

The goal is to raise awareness of hazards and risks and to reduce injuries by having a well-documented and communicated system.

10.2 Incident, Nonconformity and Corrective Action

Your Organization will establish, implement and maintain a process, including reporting, investigating and taking action, to determine and manage incidents and nonconformities.

When an incident or a nonconformity occurs, the Organization shall:

1) React in a timely manner to the incident or nonconformity and, as applicable:

- Take action to control and correct it
- Deal with the consequences

2) Evaluate (with the [participation of workers](#) and the involvement of other relevant interested parties) the need for corrective action to eliminate the root cause of the incident or nonconformity. This is so that it does not recur or occur elsewhere, by:

- Investigating the incident or reviewing the nonconformity;

- Determining the cause(s) of the incident or nonconformity;
- Determining if similar incidents have occurred, if nonconformities exist, or if they could potentially occur;

3) Review existing assessments of OH&S risks and other risks, as appropriate.

4) Determine and implement any action needed, including corrective action, in accordance with the hierarchy of controls and the management of change.

5) Assess OH&S risks that relate to new or changed hazards, prior to taking action.

6) Review the effectiveness of any action taken, including corrective action.

7) Make changes to the OH&S management system, if necessary.

Corrective actions shall be appropriate to the effects (or potential effects) of the incidents or nonconformities encountered.

Your Organization must retain documented information as evidence of:

- The nature of the incidents or nonconformities and any subsequent actions taken;
- The results of any action and corrective action, including their effectiveness.

Your Organization must communicate this documented information to relevant workers, and, where they exist, workers' representatives, and other relevant interested parties.

Reporting and investigating incidents **without** delay can enable hazards to be eliminated and associated OH&S risks to be minimized as soon as possible.

Because of this, I recommend that your incident reporting and investigation is completed as soon as practicable.

Once completed, all staff should be notified of the incident as this may be preventive knowledge for other departments, branches or sites.

10.3 Continual Improvement

This is a new requirement compared to AS 4801:2001, where continual improvement was only referenced in Section 4.6 Management Review.

Your Organization will continually improve the suitability, adequacy and effectiveness of the OH&S management system, by:

1) Enhancing OH&S performance

For example, improvement projects implemented to improve employee awareness of hazards

2) Promoting a culture that supports an OH&S management system

Including management walk-arounds and safety meetings for all workers

3) Promoting the participation of workers in implementing actions for the continual improvement of the OH&S management system;

Including employees in improvement projects, setting up teams of workers to develop their own improvement projects after they have been in a team.

4) Communicating the relevant results of continual improvement to workers, and, where they exist, workers' representatives

This includes safety meeting and/or safety committee and the safety noticeboard.

5) Maintaining and retaining documented information as evidence of continual improvement.

For example, the improvement projects documentation, Change Improvement Corrective Action Reports that have been completed.

PART 9: 10 Steps to Getting ISO45001 Certified

You're now ready to implement ISO 45001:2018 into your organization? This can sometimes cause businesses pain if rushed or not done efficiently. Follow these 10 steps for some insights into how you can implement the ISO 45001 system as smoothly as possible.

1. Commitment

The very first thing you need to do is get commitment and support from senior management. Without this, your ISO 45001 system will not be able to work to its full potential.

2. Engagement

Ensure the whole business is engaged, through using good internal communication. Implementing an OH&S management system will be a lot simpler if the whole organization is on board.

3. Compare

It is important that you **compare** existing OH&S management practices with ISO 45001 requirements. This will ensure there are no clashes with existing practices, and may help reduce costs of implementation.

4. Feedback

Get staff and supplier feedback on current OH&S management so that you know what areas have room for improvement and which are already excelling.

5. Team

Establish and select a team that will help with the implementation process. This team should help you get the best results, so think about the skills and competencies that particular employees may have.

6. Map-Out

Create a map that outlines the **roles, responsibilities** and **timescales**. This will ensure everyone is on the same page about the implementation, and will verify if the implementation time frame is realistic and achievable.

7. Adapt

OH&S Management has basic principles that can be adapted to fit the standards of your organization.

8. Staff Involvement

Get staff more motivated to be involved using training and incentives. This training involves educating staff members on the importance of having an OH&S Management System. Make them feel excited about the implementation so that they view it in a positive light.

9. Internal Auditors

Encourage staff to train as OH&S management internal auditors by sharing ISO 45001 knowledge with them.

10. Review

Regularly review your ISO 45001 management system to make sure you are continually improving it.

These steps will be beneficial for businesses of any size (small or large), and if followed correctly, should help the implementation of an ISO 45001 system run smoothly and effectively. Try not to skip to the next step before the prior one has been completed.

This may be a timely process for your organization, but attempting it properly the first time around will save you money, time and resources in the future.