

Auditing ISO 45001

WOSHA Presentation

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Auditing ISO 45001

- The presentation is to provide an auditor's view to OH & S
- Certification Body for 20 Years auditing
- Quality, Environment and Health & Safety. Audited H&S in construction, dairy, office, chemical, electronic, electrical, waste treatment, water treatment, engineering, Print etc.
- Completed NEBOSH
- Experience in Auditing not as a Quality, Environment or Health & Safety Expert
- Presentation today is not in representation of any Certification Body

Auditing ISO 45001

What is auditing

- Surely it is common sense way to see how you are doing
- Audits can be used to identify Opportunities for Improvement
- The aim of an audit must be to seek knowledge about what is being audited and to encourage continual positive progress
- Egyptian Pharaohs used “Overseers”
- Greeks and Romans used “Auditors” to monitor progress of their armies
- Auditing has been around a long time

ISO 45001 Occupational Health & Safety Management Systems

Can be used for benchmarking against your system

Either in full or specific sections

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Audit Definition

Systematic, independent and documented **process** for obtaining **audit evidence** and evaluating it objectively to determine the extent to which agreed **criteria** are fulfilled (ISO 19011:2011)

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What is an 45001

- This is the latest Business Version of an OHSMS system – Occupational Health and Safety Management System
- ISO 45001:2018 was issued in March 2018
- One of the ISO Standard Series written to the Annex SL format
- This format has 10 standard chapter headings and is structured and numbered to assist the integration / alignment of all ISO standards

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The Chapters

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

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What is ISO 45001

- Requirements that can be used by an organization to implement an OH&S management system and to assess conformity. An organization that wishes to demonstrate conformity to this document can do so by:
 - — making a self determination and self declaration, or
 - — seeking confirmation of its conformity by parties having an interest in the organization, such as customers, or
 - — seeking confirmation of its self-declaration by a party external to the organization, or
 - — seeking certification/registration of its OH&S management system by an external organization

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What is ISO 45001

Purpose of an OH&S management system

provide a framework for managing OH&S risks.

Intended outcomes of the OH&S management system are to prevent work-related injury and ill health to workers to provide safe and healthy workplaces. (ISO 45001)

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What is ISO 45001

Implementing an OH&S management system conforming to this document enables an organization

- to manage its OH&S risks
- improve its OH&S performance

OH&S management system can assist an organization to fulfil its legal requirements and other requirements. (ISO 45001)

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What are the reasons for not implementing a system based on ISO 45001

None – Cannot think of any good reasons

Bad reasons include -

Cost, Inconvenience, lack of knowledge, lack of time

Lack of Management Support / Commitment

Employee Reluctance

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The Benefits of 45001

- Provides confidence to customers
- Provides confidence to an organisation's management
- Reduction in avoidable costs
- Lower Insurance Premiums
- Increase the Health and Wellbeing of Employees
- Helps to demonstrate legal commitment

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- Benefits can include:
- reduced costs;
- reduced risks;
- lower employee absence and turnover rates;
- fewer accidents;
- lessened threat of legal action;
- improved standing among suppliers and partners;
- better reputation for corporate responsibility among investors, customers and communities;
- increased productivity, because employees are healthier, happier and better motivated.

(HSE)

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The general registration process

Pre-audit – this is an introduction process. it is there to ensure the audited company is ready. It is also there to ensure the audit scope is accurate and the audit team and time can meet the UKAS requirements. Corrective Actions are not raised. Any obvious weakness will be identified.

Stage 2 Audit – this is the Main Audit. All chapters / clauses of the standard will be audited. Checklists are usually completed. Evidence is recorded mainly to support the issue of the certificate.

Surveillance Audit – this is the audit body checking that the system is being maintained and improved. Not all clauses are audited. The history of events will guide where and what is audited.

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Requirements for effective OHSMS Audit

- management commitment
- competent, independent auditors
- documented audit process/procedures
- access to information
- effective corrective action on audit findings

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ISO 45001 system will have

- A Documented Structure / Possibly a Manual
- Strategic Planning
- OH&S Policy
- Objectives
- Critical processes risks and opportunities will be identified and planned improvements
- OH & S systems will be realised

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The audit

- Opening Meeting (Introductions, confirm scope, plan for difficulties such as absenteeism, sensitivities and timings such as breaks)
- Conducting the audit
- Reviewing the findings
- Preparing the report
- Closing Meeting (Giving the news / findings and setting further actions)

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Audit evidence is required for anything that is recorded as part of an audit

- Audit Evidence (ISO 9000:2015)
 - **Records**, statement of fact or other **information** which are relevant to the **audit criteria** and verifiable
- Audit Findings (ISO 9000:2015)
 - Results of the evaluation of the collected audit evidence against audit criteria

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- Findings are where:-
 - The process does or does not conform to the requirements of the applicable procedure / Standard
 - A finding may identify improvements (Observations)
 - A finding may identify a need for “Corrective Action”
 - It is not a requirement to report only negative findings

A Corrective Action will identify details of

- What was found
- Why it is a Corrective Action

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OHSAS 18001	ISO 45001	Comments / Differences
This is not an ISO Standard	ISO Standard	ISO Std has greater international status
Not based on Annex SL	Annex SL	Can be easily integrated with other systems
No Organisation Overview	Context of the Organisation is new	
Limited Application -	Risks to Interested Parties from products and services and wellbeing should be considered. Not to overlap with standards on Product Safety, Environment etc.	This OHSAS Standard is not intended to address other health and safety areas such as employee wellbeing /wellness programmes.
Risk considered	Considers Opportunities more widely	The new system should identify and act on opportunities not just risk controls.
Requires a Top Management Appointee.	The shift in the new standard is towards wider top management ownership and full business integration	New is the need for Managers to demonstrate leadership and links the OH&S system to the business strategy and business processes
	Requirements have been extended for Participation, consultation and participation of workers (5.4) Communication (7.4): More prescriptive in respect of the “mechanics” of communication, including Procurement, including outsourced processes, and contractors (8.1.4)	New is - determination of what, when and how to communicate.
Will not be used from March 2021	New Standard from 2018	Three year transition period

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External issues

- Cultural, social, political, legal, financial, technological, economic and natural surroundings including the environment in which the organization operates (identify current and future drivers)
- Who the competitors are and any contractors, subcontractors, suppliers, partners and providers
- National and international law
- Industry drivers and trends which have influence on the organization
- The organization Industry, products and services and their complexity and influence on occupational health and safety

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Internal issues

- Governance, organizational structure, roles and accountabilities
- Policies, objectives and the strategies in place to achieve them
- Resources (including human), knowledge and competence
- OH&S culture within the organization and the relationship with workers
- Process for the introduction of new products, materials, services, tools, software, premises and equipment
- Working conditions

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Interested Parties and their Needs

- Management and Policy Makers (Parent Company, Executives)
- Staff / workers
- Staff / Work Representatives / Trade Unions
- Contractors, Sub-Contractors, Suppliers and Visitors
- Customers, End Users and Charities
- Legislators, Shareholders, Insurers
- Emergency Services, Neighbours, General Public
- Media, Academics, Business Associations
- Shareholders and Banks

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Other Differences

<p>5.2 OH&S policy</p> <p>New commitments</p>	<ul style="list-style-type: none"> - commitment to provide safe and healthy working conditions - commitment to eliminate hazards - commitment to consultation and participation of workers
<p>6.1.2.1 Hazard identification</p> <p>Additional Considerations</p>	<ul style="list-style-type: none"> - how work is organized, social factors (including workload, work hours, victimization, harassment and bullying), leadership and the culture in the organization - past relevant incidents, internal or external to the organization, including emergencies, and their causes - workers at a location not under the direct control of the organization
<p>6.2.2 Planning to achieve OH&S objectives</p>	<ul style="list-style-type: none"> - Planning now need to consider <ol style="list-style-type: none"> 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.
<p>7.3 Awareness</p> <p>New requirements</p>	<ul style="list-style-type: none"> - incidents and the outcomes of investigations that are relevant to them - hazards, OH&S risks and actions determined that are relevant to them – Note some hazards may be from other external sources - the ability to remove themselves from work situations that they consider present an imminent and serious danger
<p>7.5.3 documented information</p>	<ul style="list-style-type: none"> - NOTE 2 Access to relevant documented information includes access by workers, and, where they exist, workers’ representatives
<p>8.1.4 Procurement</p> <p>New Section</p>	<ul style="list-style-type: none"> - The organization shall establish, implement and maintain a process(es) to control the procurement of products and services in order to ensure their conformity to its OH&S management system

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5 Leadership and worker participation	
5.1 Leadership and commitment Top management shall demonstrate leadership and commitment with respect to the OH&S management system	Management involved in setting Policy, Detailing the Organisation Context. Setting Objectives, Providing training, integration of H&S with processes. Managers involved in the audit
5.2 OH&S policy Top management shall establish, implement and maintain an OH&S policy	Policy approved by Top Management – most senior person on site. Policy to be available to interested parties and commits to consultation and participation of workers
5.3 Organizational roles, responsibilities and authorities Top management shall ensure that the responsibilities and authorities for relevant roles within the OH&S management system are assigned and communicated at all levels	Organisation Chart. Roles to be documented. Responsibility to report on H&S performance should be known
5.4 Consultation and participation of workers maintain a process(es) for consultation and participation of workers at all applicable levels and functions	The system should be able to identify any worker representatives. Participation could be seen in detailing the organization context, identifying hazards and assessing risks and opportunities, identifying training needs, reviewing actions to eliminate risk and involved in communications.

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6 Planning	
6.1 Actions to address risks and opportunities 6.1.3 – Determine legal and Other Requirements	<ul style="list-style-type: none">- Plan to meet Legal Requirements- Risks and opportunities should be documented- Consideration to include workload, work hours, victimization, harassment and bullying <p>Expected risks include chemical use, machine risks, transportation, risk, use of Visual Display, entrapment, manual handling, working or storage at height.</p> <p>Risks from Fire and violence, young employees</p> <p>Timing of Risk Assessments must be proactive.</p> <p>Consider effectiveness of existing control (not just that they are existing controls).</p> <p>Legal Requirements must be known with access to up to date information</p>
6.2 OH&S objectives and planning to achieve them	<p>Objectives must compare with the H&S Policy and should be appropriate to the context, size and specific nature of the company.</p> <p>Objectives should be documented and planned including resource</p>

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7.1 **Resources** – objectives and management of risks should be resourced / funds in place or planned, prioritised. Resource include knowledge.

7.2 **Competence** – Evidence of training, successful process completion documented. Documentation as evidence of competence could be training certificate, attendance record, training matrix or observation / job assessment report.

7.3 **Awareness** – works should be aware of the process involved, the associated hazards and any history. Evidence can be gained by talking to workers, risk assessment reviews and from posted notices

7.4 **Communications**- Who when and what is communicated is the requirement. Communication should be tailored to consider gender, language, literacy, disability and culture. Evidence could include translated messages, clear messages and absence of demeaning words.

7.5 **Documented Information** – This includes the Policy, Scope, Risk Assessments, identified risks and Opportunities, , Objectives. Investigations, Corrective Actions and H&S performance data. Information including Computer held information should be secured / restricted where necessary for confidentiality.

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8.1 Operational Planning and Control - multi-employer workplaces, the organization shall coordinate the relevant parts of the OH&S management system with the other organizations.

Work should be adapted to the worker. This can mean using lifting aids, job rotation, having adjustable chairs and benches. Increased breaks if working in heat or cold.

Use if Risk Hierarchy with best outcome to eliminate the Hazards.

The organization shall establish a process(es) for the implementation and control of planned temporary and permanent changes that impact OH&S performance – changes should be risks assessed.

Procurement – requires the risks to be considered along the supply chain. Co-ordinate purchases with contractors. Outsourced work / programs are conducted to meet legal requirements.

8.2 Emergency Preparedness – Established planned responses can be seen in emergency drill reports, emergency plans, emergency training records, inspections of safety equipment such as shower, eye-wash, first aid kits.

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9.1 Monitoring, measurement, analysis and performance evaluation – Monitor the extent to which legal requirements are met. The identification of hazard, risks and Opportunities should be monitored.

9.1.2 – The method and frequency for evaluating compliance should be known and the evaluation result documented.

9.2 Internal Audits – Audits should be planned and documented.

9.3 Management Reviews - to be held at planned intervals and include top management. Relevant output to be communicated to workers and worker representatives.

10 – Improvements – this is the Incident, nonconformity and corrective action system – Reaction should be timely and included worker participation. Once contained, incidents should be investigated and nonconformce reviewed.

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To Implement Use PDCA		
Plan	<ul style="list-style-type: none"> - Get Management Commitment - Train the Management and Workers that will lead the implementation - Carry out the Gap Analysis / Review - Establish and check resource include timescales and who will be involved 	Hold awareness meeting with Seniors Managers, Get Policy commitment. Identify existing business strategies and contingency plans
Do	Implement new OH & S System and make declaration or get registered	Write policy, write procedures, document as appropriate context, interested parties, processes. Document Hazards, objectives, review legislation, set up monitoring system to demonstrate legal compliance Make staff aware of hazards, risks and opportunities Train and increase competencies
Check	Periodically Audit and question interested parties	Audit, run emergency drills
Act	Review the process and fix or improve	Hold Management Review, Review OH & S Policy