

*Due to the release of the new Occupational health and safety standard ISO 45001 which has replaced OHSAS 18001 – the following information replaces the section within Element 2 of the above study book - ‘With reference to OHSAS 18001: Occupational Health and Safety Management Systems’ – page 29.*

# ISO 45001:2018 Occupational health and safety standard

ISO 45001 is the world’s first international occupational health and safety standard. It represents an incredible landmark and the culmination of a long journey that, for the UK, started in the 1980s when it was felt that following some major workplace disasters a new way of managing health and safety was called for. This grew into a number of approaches, including approaches shaped by the International Safety Rating System, which was devised by Frank Bird and his colleagues. ISRS became one of the building blocks that helped establish the British Standards specification and eventually the BS OHSAS 18001:2007 standard, which has served to guide many organisations in the UK in their management of occupational health and safety (OH&S) risks.

This new, international standard has drawn on experience from BS OHSAS 18001 and other approaches from around the world. This has led to an enhanced and more comprehensive standard that will correspond with the values of some of the more enlightened UK organisations and their strategies for managing health and safety risks.

## POTENTIAL BENEFITS OF ISO 45001

It will help organisations provide a safe and healthy workplace for workers and other people, as well as continually improve their OH&S performance. Organisations who conform to ISO 45001 will also improve their resilience by ensuring they can anticipate, assess and prepare responses to risks, allowing them to adapt to changes so they continue to survive and prosper.

ISO 45001 brings occupational health and safety management and continual improvement into the heart of an organisation. This new standard is an opportunity for organisations to align their OH&S management system with their strategic direction. In line with good practice expectations, top management leadership of health and safety is a significant aspect of ISO 45001. Reflecting the goals of many organisations, there is an increased focus on continually improving occupational health and safety performance in the standard.

By implementing the standard you could:

- Demonstrate corporate responsibility and meet supply chain requirements.
- Ensure your OH&S management is aligned with the strategic direction of the organisation.
- Improve integration with other management systems.
- Improve occupational health and safety performance.
- Eliminate hazards or minimise OH&S risks.
- Reduce work related injuries, ill health and death.
- Increase involvement of the leadership team.
- Motivate and engage workers through consultation and participation.
- Establish (or improve) a positive the health and safety culture.

A principle requirement of ISO 45001 is for managers to take a more active and personal involvement in the management of OH&S in their organisation. Depending on the present level of management engagement and the prevailing culture of the organisation, occupational health and safety managers may need to get more ‘buy-in’ from managers, including top management if implementation of ISO 45001 is to be successful. Without such ownership and commitment from top management the necessary culture for ongoing improvement is unlikely to be achieved.

When conforming to ISO 45001 requirements management needs to take a bigger role in managing occupational health and safety issues. The focus of ISO 45001, is all about prevention, not cure – taking a proactive approach. Managers need to recognise the potential occupational health and safety issues in the work that they manage, long before they cause significant harm and the organisation is forced to deal with them retrospectively.

### SUMMARY

ISO 45001 utilises the Plan-Do-Check-Act (PDCA) cycle (see Figure 1), which shapes the OH&S management system and can be applied to all processes within the system to achieve continual improvement.

The PDCA cycle can be applied to the OH&S management system and to each of its individual elements, as follows:

- Plan - determine and assess OH&S risks, OH&S opportunities and other risks and other opportunities taking into account issues identified in clause 4, establish OH&S objectives and processes necessary to deliver results in accordance with the organisation's OH&S policy;
- Do - implement the processes as planned;
- Check - monitor and measure activities and processes with regard to the OH&S policy and objectives, and report the results;
- Act - take actions to continually improve OH&S performance to achieve the intended outcomes of the OH&S management system.

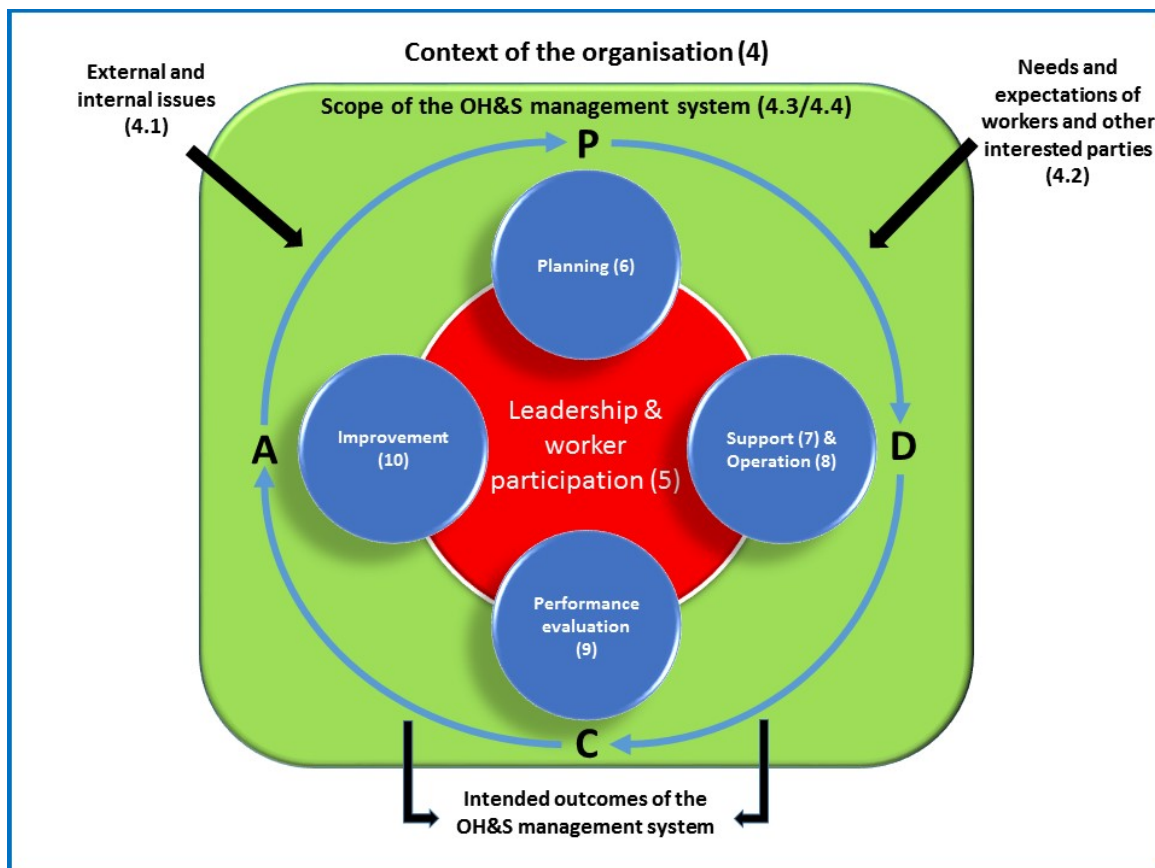


Figure 1 – Relationship between PDCA and ISO 45001.

### CLAUSE 4: CONTEXT OF THE ORGANISATION.

This clause establishes the context of the OH&S management system and underpins the rest of standard. It gives an organisation the opportunity to identify and understand the external & internal factors and interested parties that affect the intended outcome(s) of the OH&S management system. It also, in part, addresses the concept of preventive action.

Firstly, the organisation will need to identify external and internal issues that are relevant to its purpose i.e. what the relevant issues are, both inside and are out, that have an impact on or affect its ability to achieve the intended outcome(s) of the OH&S management system. It should be noted that the term 'issue' covers not only problems or potential problems, but also important topics for the system to address, such as changing circumstances, legal requirements and other obligations.

Secondly, an organisation will need to identify and take into account the needs and expectations of the 'interested parties' relevant to their OH&S management system. This is far more prominent than in OHSAS 18001:2007, the requirements of ISO 45001 explicitly refers to workers as interested parties to be taken into account, other interested parties include customers, owners, clients and visitors.

Next, the scope of the OH&S management system has to be determined taking the above into account. The scope is intended to clarify the boundaries to which the system will apply, especially if the organisation is part of a larger organisation. Finally, the last requirement of Clause 4 is to establish, implement, maintain and continually improve the OH&S management system in accordance with the requirements of the standard.

## CLAUSE 5: LEADERSHIP AND WORKER PARTICIPATION

It is worth noting that leadership and worker participation have been placed together in the same clause, reflecting the fact that creating an effective OH&S management system requires the combined efforts of a range of people in the organisation, not just a health and safety specialist. This represents a significant movement forward from OHSAS 18001, in which more reliance was placed on the efforts of middle management and the OH&S specialist.

This clause places requirements on 'top management' which is the person or group of people who directs and controls the organisation at the highest level. Note that if the organisation that is the subject of the OH&S management system is part of a larger organisation, then the term 'top management' refers to the smaller organisation.

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*There is an increased focus on improving occupational health and safety performance and culture.*

*David Smith, Chair of ISO 45001 Development Committee*

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Top management must take overall responsibility and accountability for the protection of workers' work-related health and safety and need to develop, lead and promote a culture that supports the OH&S management system. They must ensure that the requirements are integrated into the organisation's processes and that the policy and objectives are compatible with the strategic direction of the organisation. They

also need to establish the OH&S policy and the standard defines the characteristics and properties that the policy is to include. In ISO 45001 there is a significant focus on top management being able to demonstrate leadership and commitment to the management system and ensure active participation of workers in the development, planning, implementation and continual improvement of the OH&S management system. This includes using consultation and the identification and removal of obstacles or barriers to worker participation.

Top management need to ensure that the importance of effective OH&S management is communicated and understood by all parties and that the OH&S management system achieves its intended outcomes. Also contained within this clause is the requirement to establish, implement and maintain an OH&S policy in consultation with workers at all levels. This must include commitments to provide safe and healthy working conditions, fulfilling legal requirements, setting OH&S objectives and continual improvement.

Finally top management need to assign and communicate responsibilities, accountabilities and authorities for relevant roles within the system, including workers at each level within the organisation assuming responsibility for those aspects of the OH&S management system over which they have control.

## CLAUSE 6: PLANNING

Planning was a specific requirement within OHSAS 18001 and is similar to the new 'Planning' clause in ISO 45001. However, ISO 45001 extends this with a requirement that the planning part of the OH&S management system established to conform with ISO 45001 takes full account of the issues determined when meeting Clause 4 'context of the organisation' and includes consideration of opportunities as well as risks.

It is also important that planning is seen as an on-going, proactive process that anticipates changing circumstances, continually determining risks and opportunities for improvement. The initial part of this process will be familiar as it involves the identification of hazards, including at the conceptual design stage of workplaces, facilities, products or the way activities are organised. This will include consideration of routine and non-routine activities as well as the range of people that may be affected, for example, workers, contractors, visitors and others not under the direct control of the organisation. A particularly discernible difference is that the ISO 45001 standard sets out comprehensive aspects that the process must fulfil, including consideration of human factors and social factors like workload, work hours, victimisation and bullying. This marks a significant shift from consideration of traditional safety hazards and will lead organisations to consider the causes of wider harm, such as stress.

This clause recognises the importance of legal requirements that might affect obligations to assess and control risk or to manage health and safety in a particular way, also an aspect of OHSAS 18001. Organisations are required to establish a process to determine and update legal and other requirements (e.g. customer, client or contracted requirements) which are applicable to its hazards, OH&S risks and OH&S management system.

A separate and specific requirement is to plan actions to address risks/opportunities and legal/other requirements as well as plans to prepare for and respond to emergency situations. There is also an expectation to plan how to integrate these actions into OH&S processes and, importantly, evaluate their effectiveness. Another important requirement of this clause is the need to establish and plan to achieve OH&S objectives which are measurable or capable of evaluation. The purpose of effective OH&S objectives is to demonstrate maintenance and continual improvement to the OH&S management system. The objectives will need to be set at relevant levels of the organisation and can be strategic, tactical or operational in nature.

## CLAUSE 7: SUPPORT

It is important that objectives do not just remain good intentions. The requirements of clause 7 – Support, details what actions the organisation will need to take to support the delivery of the OHS system. As those who have experience of managing health and safety will know, objectives meet many barriers if they are not resourced. Clause 7 requires the organisation to determine and provide resources to support the establishment, implementation, maintenance, and continual improvement of the OH&S management system. This critical requirement covers all OH&S resource need, including human resources, infrastructure and financial resources.

Other important support requirements relate to competence, awareness and communication. Organisations will need to formally determine the necessary competence of workers (at all levels) that affect or can affect OH&S performance and ensure they receive the appropriate education and training to meet these needs. Within this clause there is a requirement to retain documented information as evidence of competence.

Organisations also need to ensure that all workers (at all levels) are aware of the OH&S policy, OH&S objectives, the OH&S hazards and risks that are relevant to them and their contribution to the effectiveness of the system, as well as the implications of not conforming to system requirements. This is an important extension to those requirements for awareness set out in OHSAS 18001. As would be expected when establishing effective management of health and safety, organisations also need to have a communication process to determine internal and external communications relevant to the OH&S management system.

Finally, this clause refers to requirements for 'documented information', which is a new term that replaces the references in OHSAS 18001 to 'documents' and 'records'. This includes the creation, updating and control of documented information. The requirements are similar to those in OHSAS 18001 for the control of documents and records.

## CLAUSE 8: OPERATION

This clause focuses on the 'do' part of PDCA cycle, the implementation of the actions identified in previous clauses. Operational planning and control of processes need to be established as necessary to enhance health and safety, by the elimination of hazards and reduction of OH&S risks. Operational control of processes can include a variety of methods, for example, procedures, method statements, systems of work, preventative maintenance regimes, inspection programmes and engineering or administrative controls, such as a permit to work.

Clause 8 specifies a hierarchy of controls for a systematic approach to the elimination of hazards and reduction of risks. This will be familiar to those who have received basic health and safety education – eliminate, substitute, engineering controls, administrative controls and finally, personal protective equipment.

This clause also sets out a required approach to the management of change. Change needs to be planned for in a systematic manner, to prevent the introduction of new hazards or risks. Importantly, at times of proposed changes to processes organisations will need to identify opportunities to reduce OH&S risks or create improvements to the effectiveness of the OH&S management system.

Procurement and outsourcing feature as specific issues in ISO 45001, requiring the organisation to establish processes to ensure that procured goods/services and outsourced functions/processes are controlled and they conform to the requirements of the OH&S management system. As part of procurement controls, contractors will need to be specifically considered as their activities can involve different types of hazard and levels of OH&S risks. The organisation must ensure that the requirements of its OH&S management system are met by its contractors and their workers. Procurement and contractors are considered in more detail in ISO 45001 than in OHSAS 18001 and outsourcing has been brought within scope of the OH&S management system.

Processes relating to the control of emergency preparedness and response also feature in significant detail in this clause.

## CLAUSE 9: PERFORMANCE EVALUATION

Performance evaluation covers many of the areas previously featured in Clauses 4.5 and 4.6 in OHSAS 18001, although requirements for incidents, nonconformity and corrective action have been moved to Clause 10 of ISO 45001.

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*With the new standard in place, organizations will find it easier to incorporate their OH&S management system into core business processes and get more involvement from senior management.*

*David Smith, Chair of ISO 45001 Development Committee*

This clause requires the organisation to be active in various aspects of performance evaluation:

- Monitoring, measurement, analysis
- Evaluation of compliance
- Internal audit
- Management review.

This establishes a comprehensive range of performance evaluation. Organisations will need to determine what information they need in order to evaluate OH&S performance and effectiveness. This will help them to identify

what specifically needs to be measured and monitored, who is going to do it, when and how it will be done.

As in OHSAS 18001 requirements for internal audit and management review are specified. One notable inclusion in the inputs for the management review is the adequacy of resources for maintaining the effectiveness of the OH&S management system. The frequency of monitoring and measuring will need to be appropriate to the risk and its performance, as well as the size and nature of the organisation. It is worth noting that documented information that provides evidence of this must be retained.

## CLAUSE 10: IMPROVEMENT

The first requirement in this clause is a general one to determine opportunities for improvement and implement actions. This is a proactive requirement to make improvements. Notwithstanding this, if incidents or nonconformities occur there is a requirement in Clause 10 to react to them and take action in a timely manner.

Health and safety professionals will be pleased to note that consideration of corrective action to eliminate root causes is referred to specifically. This will need to be done with the participation of workers and involvement of other relevant parties, which might challenge the approach taken by some organisations where investigations have been led by health and safety professionals to the exclusion of workers and managers. An additional requirement is to determine whether similar incidents or nonconformities exist, or

could potentially occur, and the implications to existing risk assessments, potentially leading to appropriate corrective actions across the whole organisation if necessary.

Due to the revised approach of the standard, there are no preventive action requirements in this clause, unlike in OHSAS 18001. However, the current perspective is that corrective actions to the management system will be preventive in nature, as would the current requirement to determine similar incidents or nonconformities that could potentially occur.

The requirement for continual improvement has been extended to continually improve the suitability, adequacy and effectiveness the OH&S management system through:

- Enhancing performance.
- Promoting a culture that is supportive of the OH&S management system.
- Promoting worker participation.
- Communicating the results of continual improvement.