ISO 45001 to replace OHSAS 18001

opportunities to improve occupational health and safety
Outline

– Background.

– Timeline for transition

– Annex SL

– Context, Risk, Opportunities and Planning

– Leadership

– Operation
Background

- OHSAS 18001 First Published in 1999.

- The first Health and Safety Management System Standard implemented globally.

- Revised and re-issued in July 2007

- Later adopted as a British Standard
With globalisation, more-and-more organisations are starting to trade and integrate across country boarders, resulting in organisations tackling new health and safety challenges. Many organisations tend to use generic or national health and safety standards and none are promoting global conformity.

The ISO Project Committee, ISO PC 283, was setup by the International Organisation of Standardization (ISO) to develop an international standard for OH&S management, ISO 45001.

Within ISO/DIS 45001, greater emphasis is placed on the context of the organisation. Organisations must identify all external and internal aspects which have a significant impact on achievement of their occupational health and safety management objectives.
The 45001:2016 migration time-line

October 2013/July 2014
First working draft completed. CD1 produced for comment and ballot

October 2014
Project Committee failed to reach a consensus on CD1

March 2015
CD2 for comment and ballot

Quarter 1 2016
ISO/DIS 45001:2016 published for comment (3 months)

Quarter 3 2016
FDIS to be published

October 2016 - March 2017
ISO 45001:2016 proposed to be published

Transition Period
3 years from standard publication

Please note that these timescales are subject to change.
Annex SL - implications

- Annex SL is the structure for all new and revised ISO Standards.

- Annex SL (previously ISO Guide 83) defines the framework for a generic management system.

- All new ISO management systems standards (MSS) will adhere to this framework and all current MSS will migrate at their next revision.

- Whilst the structure and terminology has changed, there is no requirement to use these terms or to follow the numbering or structure within your management system.
Overview of Annex SL

Annex SL - a framework for a generic management system. However, it requires the addition of discipline-specific requirements to make a fully functional standard.
Annex SL – High-level structure

The major clause numbers and titles of all management system standards will be identical. They are:

Introduction
1. Scope
2. Normative references
3. Terms and definitions
4. Context of the organization
5. Leadership
6. Planning
7. Support
8. Operation
9. Performance evaluation
10. Improvement.
Management system standards

Common structure for management system standards
The High Level Structure for OH&S Management

**PLAN**
- 4. CONTEXT OF THE ORGANIZATION
  - 4.1 Understanding the organization and its context
  - 4.2 Understanding the needs and expectations of workers and other interested parties
  - 4.3 Determining the scope of the OH&S management system
  - 4.4 OH&S management system
- 5. LEADERSHIP
  - 5.1 Leadership and commitment
  - 5.2 Policy
  - 5.3 Organizational roles, responsibilities and authorities
  - 5.4 Participation, consultation and representation
- 6. PLANNING
  - 6.1 Actions to address risks and opportunities
  - 6.2 OH&S objectives and planning to achieve them
- 7. SUPPORT
  - 7.1 Resources
  - 7.2 Competence
  - 7.3 Awareness
  - 7.4 Information and communication
  - 7.5 Documented Information

**DO**
- 8. OPERATIONS
  - 8.1 Operational planning and control
  - 8.2 Management of change
  - 8.3 Outsourcing
  - 8.4 Procurement
  - 8.5 Contractors
  - 8.6 Emergency preparedness and response

**CHECK**
- 9. PERFORMANACE EVALUATION
  - 9.1 Monitoring, measurement, analysis and evaluation
  - 9.2 Internal audit
  - 9.3 Management review

**ACT**
- 10. IMPROVEMENT
  - 10.1 Incident, nonconformity and corrective action
  - 10.2 Continual improvement

**PDCA Cycle**
- PLAN
- DO
- CHECK
- ACT
New requirement

4. CONTEXT OF THE ORGANIZATION
- Understanding of the organization and its context
- Needs and expectations of interested parties
- Scope of management system
- OHS Management System

5. LEADERSHIP
- Leadership and commitment
- Policy
- Roles, responsibilities and authorities

6. PLANNING
- Actions to address risk and opportunities
- OHS objectives and planning to achieve them
- Planning of changes

7. SUPPORT
- Resources
- Competence
- Awareness
- Communication
- Documented information

Improving performance, reducing risk
Context of the Organisation

Improving performance, reducing risk
PESTLE

Example:

<table>
<thead>
<tr>
<th>Political</th>
<th>Economic</th>
<th>Social</th>
<th>Technology</th>
<th>Legal</th>
<th>Environment</th>
</tr>
</thead>
<tbody>
<tr>
<td>New tax rules</td>
<td>Economic growth rates</td>
<td>Changing population demographics</td>
<td>Process automation</td>
<td>Labour laws</td>
<td>Changes in weather and climate</td>
</tr>
<tr>
<td>Government funding</td>
<td>Unemployment rates</td>
<td>Changing social attitudes</td>
<td>Rate of innovation</td>
<td>Discrimination laws</td>
<td>Waste management</td>
</tr>
<tr>
<td>Pending elections</td>
<td></td>
<td></td>
<td>New materials</td>
<td>H&amp;S Regulatory requirements</td>
<td></td>
</tr>
</tbody>
</table>

- Used to assess the external factors in relation to the organization’s business environment.
Interested Parties – stakeholder map

Providers

Governance

Influencers

Users/Beneficiaries

Consumers

Staff

Customers

Local interest groups

Media

Trades union

Suppliers

Partners

Audit

Steering groups

Regulatory

Boards

Pressure groups
Risks and opportunities – New requirement

4. CONTEXT OF THE ORGANIZATION
   - Understanding of the organization and its context
   - Needs and expectations of interested parties
   - Scope of management system
   - QMS and its processes

5. LEADERSHIP
   - Leadership and commitment
   - Policy
   - Roles, responsibilities and authorities

6. PLANNING
   - Actions to address risk and opportunities
   - Quality objectives and planning to achieve them
   - Planning of changes

7. SUPPORT
   - Resources
   - Competence
   - Awareness
   - Communication
   - Documented information
ISO 45001:2016

- Determine external and internal issues (4.1)
- Determine relevant interested parties and their requirements (4.2)

- Consider the issues and requirements and determine the risks and opportunities that need to be addressed (6.1.1)

- Plan actions to address these risks and opportunities and integrate and implement the actions into the SMS processes (6.1.2) (8.1)
- Plan how to evaluate the effectiveness of these actions (6.1.2)

- Evaluate performance (9.1)
- Review information, including trends and indicators on the effectiveness of actions taken to address risks and opportunities (9.3)
### Terms and Definitions - New definitions

<table>
<thead>
<tr>
<th>3.3 Worker</th>
<th>“person performing work or work related activities under the control of the organization”. Gives further clarification that “paid, or unpaid; regular or temporary; workers from external providers, contractors, individuals and situations where the organization has some degree of control over the workers such as agency workers”.</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.4 Workplace</td>
<td>“place under the control of the organization where a person needs to be or to go by reason of work”.</td>
</tr>
<tr>
<td>3.5 Contractor</td>
<td>“external organization providing services to the organization at a workplace in accordance with agreed specifications, terms and conditions”. There is also a note that “services may include construction activities”.</td>
</tr>
</tbody>
</table>
6.1 Actions to address risks and opportunities including:

6.1.2 Hazard Identification  
New - process rather than procedure  
New - consideration of “workers at a location not under the direct control of the organization”  
New - consideration of “those in the vicinity of the workplace who can be affected by the activities of the organization”.  
New - Other issues including “situations not controlled by the organization and occurring in the vicinity of the workplace that can cause “work-related” injury or ill health…”
Some changes to the role of top management
Worth noting that they are required to…

- Demonstrate leadership and commitment
- Ensure policy and objectives organizational are compatible with the strategic direction of the organization.
- Integration of OH&S MS processes and requirements into business processes
- Developing, leading and promoting the organizations OH&S culture that supports the OH&S Management System.
- Be accountable for the effectiveness of the OH&S MS and ensure it achieves its intended results

**NB: A Management Representative is no longer explicitly mentioned**
Clause 8.1 Requirements - Operation

- Establishing a process and determining controls…..using the hierarchy – elimination, substitution, engineering controls, administration, PPE.

- Process required for change management
Implications - Summary

- Annex SL will help to facilitate management systems standards (MSS) integration, thereby delivering increased benefits and efficiencies while providing a more complete view of an organization - often spanning multiple sites, geographies and suppliers.

- Organizations will need to determine the external and internal factors that are relevant to their purpose and that affect their ability to achieve the intended results of the management system.

- This may have implications for the design of the management system and the alignment of strategy and structure within organizations.
Implications - Summary

- There are now more areas where top management need to demonstrate their direct involvement and engagement with the OH&S management system.
Implications - Changes

• As the organization implements the changes necessary to align with the new requirements of the standard it will need to ensure that it also maintains the system in order for the transition to be as seamless as possible.

• ISO 45001:2016 recognises the importance of managing change and has dedicated a new clause (8.2) to the subject.

• Note that the requirements of the new standard are not a ‘super-set’ of the current one. This means that a system that just meets the basic requirements of the new standard may not pass an audit against the current standard.

• E.g. if you do away with the OH&S Manual (because it is no longer required in the new standard) you will invalidate your current certification to OHSAS (18001:2007)
What should I do next?

As a starting point, organisations using OHSAS 18001:2007 are recommended to take the following actions:

- Obtain a copy of ISO 45001 (or a copy of the earlier DIS if early planning and adoption is preferred)
- Identify the gaps in the OHSMS which need to be addressed to meet any new requirements.
- Develop an implementation plan.
- Ensure that any new competency needs are met and create awareness for all parties that have an impact on the effectiveness of the OHSMS.
- Update the existing OHSMS to meet the new requirements and provide verification of its effectiveness.
- Liaise with their certification body for migration arrangements including any training needs and gap analysis.