



ISO 45001

The New Safety Standard

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COURSE OBJECTIVES

By the end of this course delegates will be able to:

- Generally understand ISO 45001 intent, structure and requirements;
- Understand the difference between compliance based safety program and a conformance based management system and why it matters know the difference;
- Recognize similarities between ISO 45001 and their existing safety program;
- Learn about supporting documents to understand intent of some requirements and why auditors ask questions that seem not related to requirements;



Why do we need to manage safety?

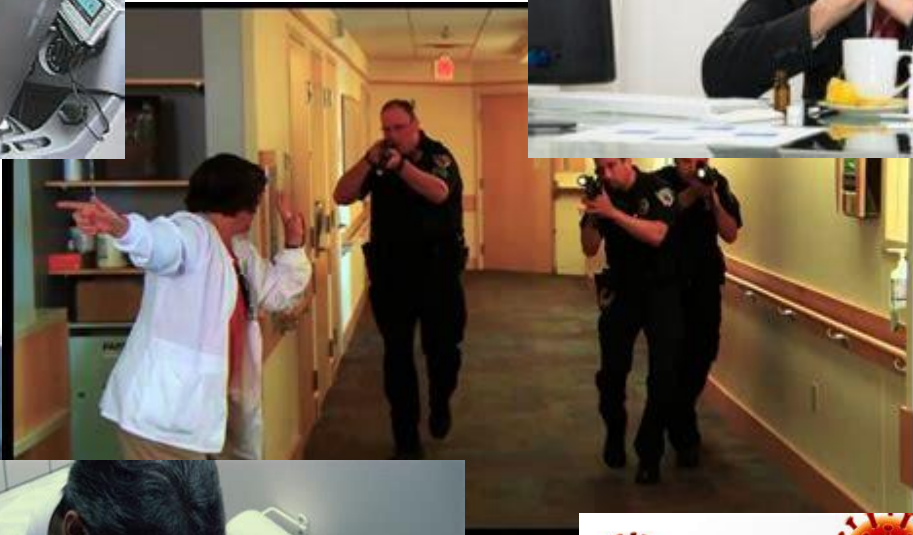


...because
humans
do silly
things...



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Modern safety considerations



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Bureau of Labor Statistics

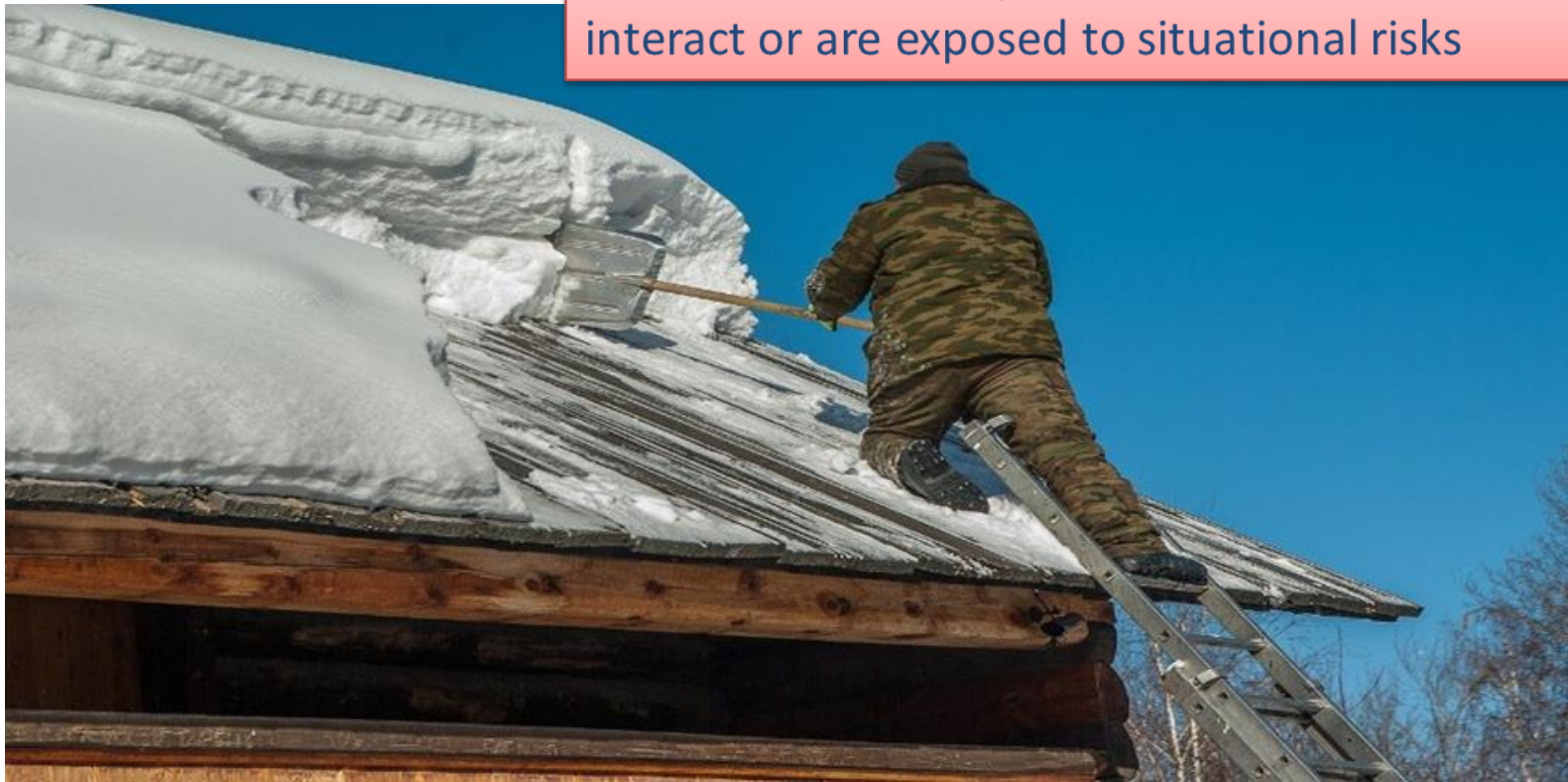
- ❑ **More workers lost their lives in transportation incidents than any other event in 2016, accounting for about one out of every four fatal injuries.**
- ❑ **Workplace violence injuries increased by 23%, making it the second-most common cause of workplace fatality. Homicides increased 19.9% now totaling 500 deaths.**
- ❑ **Overdoses from the non-medical use of drugs or alcohol while on the job increased from 165 in 2015 to 217 in 2016, a 32% increase.**



What is safety? How do we learn?

Safety habits begin at home

Safety is personal learned behavior resulting with formed habitual responses which occur when we interact or are exposed to situational risks



Why are safety programs important?

Physical and emotional stability of the human workforce

- Employees respond positively, when they feel safe and secure.

A Safe and Happy Worker is a Productive Worker!

- ⌘ Studies show greater productivity in a clean, safe environment
- ⌘ Workers are the key to an effective production process
- ⌘ Worker health is a key indicator of environmental, social and economic sustainability

Productivity

- Workers are more productive when they aren't distracted by danger.
- Workers are more productive when they are healthy.
- Workers are more productive when they feel safe.

Workplace Wellness

Keeping Your Employees
Safe, Happy & Healthy



Why are safety programs important?

❑ Reputation

- Employees talk outside the workplace about their work environment.
- Suppliers and customers are impacted by the safety performance of those whom they choose to have business relationships with. They talk too...



Bendix Commercial Vehicle Systems Continues to Drive Safety Excellence

FEB 13, 2020

Company was recently named as one of EHS Today's America's Safest Companies.

Safety

Following IAWV exposure at Texas warehouse

More Amazon workers speak out against atrocious working conditions

By Evan Cohen
3 August 2018

Following the *International Amazon Worker's Voice* exposure of working conditions at Amazon's DFW-7 warehouse in Haslet, Texas, many more Amazon workers have come forward to confirm widespread resentment against the outrageous working conditions described by whistleblower Shannon Allen.



Why are safety programs important?

❑ Bottom Line

- Companies benefit financially, and employees enjoy a quality of life.



DOLLAR\$ AND SEN\$E



The financial benefits of safety programs



+ \$32,000
possible savings

for each avoided
medically consulted injury



+ \$1 million
possible savings

for each avoided
occupational fatality



+ 4:1
save an additional
\$4 of indirect costs
for every \$1 in direct costs



Saving money



Iceberg ahead!!!!



COMPLIANCE V.S. CONFORMANCE



Compliance V.S. Conformance

Considering the topic of this presentation:

Compliance typically is associated with a legal foundation and compels an action initiated due to a demand, mandate, or threat of penalty, in order to become compliant.

Conformance on the other hand, is typically a voluntary action to align and become in harmony with a standard, or method; therefore choosing to conform.

An organization must comply with safety regulations in order to avoid fines penalties and even imprisonment. It may choose to conform to a standard or methodology to assist with achieving and/or maintain that compliance.

➤ Subtle differences, but very different meanings in application and significance.



Compliance V.S. Conformance

OSHA administers regulations that an organization must comply to, and compliance safety and health officers enforce those regulations.



ISO 45001 (ISO)
Z10 (ANSI)
VPP (OSHA)

Management systems and programs state requirements intended to help achieve compliance, while also improving overall safety performance utilizing a management process and assessment.



International
Organization for
Standardization

In spite of all the regulations imposed on workplace, people are still getting hurt. Regulations alone do not work unless they are properly managed.



What is ISO 45001

ISO 45001 is an International Conformance Standard that specifies requirements for an occupational health and safety OH&S management system, enabling a organization to proactively improve its OH&S performance in preventing injury and ill-health.



STRUCTURE AND CONCEPTS



Total Worker Health- *Well Being*

NIOSH *Total Worker Health*[®] Program

The program is defined as: Policies, Programs, and practices that integrate protecting from work-related and health hazards with promotion of injury and illness-prevention efforts to advance worker well-being. The total Worker health (TWH) approach seeks to improve the well being of the U.S workforce by protecting safety and enhancing their health and productivity.

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Centers for Disease Control and Prevention
National Institute for Occupational Safety and Health



THE SCOPE / PURPOSE OF ISO 45001

The purpose of an OH&S management system is to provide a structure for organizations to provide safe and healthy workplaces, preventing work-related injury and ill health as well as proactively improving its OHS performance.

Conformity to the standard can only be claimed when all requirements are met without exclusion.

When these requirements are applied by the organization through its OH &S management system (supported by the use of appropriate controls, methods and tools, at all levels in the organization) they can improve its OH&S performance.

Intended outcomes include:

- ***Continual improvement of OHS performance***
- ***Fulfilment of legal and other requirements***
- ***Achievement of OHS objectives***



Structure



In future all new or revised ISO Management System Standards (MSS) should be consistent and compatible - they will all have the same look and feel.

- Annex SL defines the content for a generic management system – a template for the writers of management system standards;
- Annex SL provides a unifying high-level structure, with identical core text and common core terms and definitions in section 3 of the standard, with guidance set out in Annex A (informative).

It is now very easy to apply ISO 45001 requirements to your business.

...and Even easier and when integrating with other standards such as 9001 & 14001 because of this Annex SL structure



Structure



- 1. Scope (of the standard)
- 2. Normative References (of the standard)
- 3. Terms and Definitions (of the standard)
- 4. Context of the Organization
- 5. Leadership
- 6. Planning
- 7. Support
- 8. Operation
- 9. Performance Evaluation
- 10. Improvement

Requirements of the
management system

These are the
sections that contain
auditable
requirements

- Internal audit
- Management review
- Incident & Corrective Action
- Improvement objectives
- Improvement process

- External issues
- Internal issues
- Activities & purpose of the org.

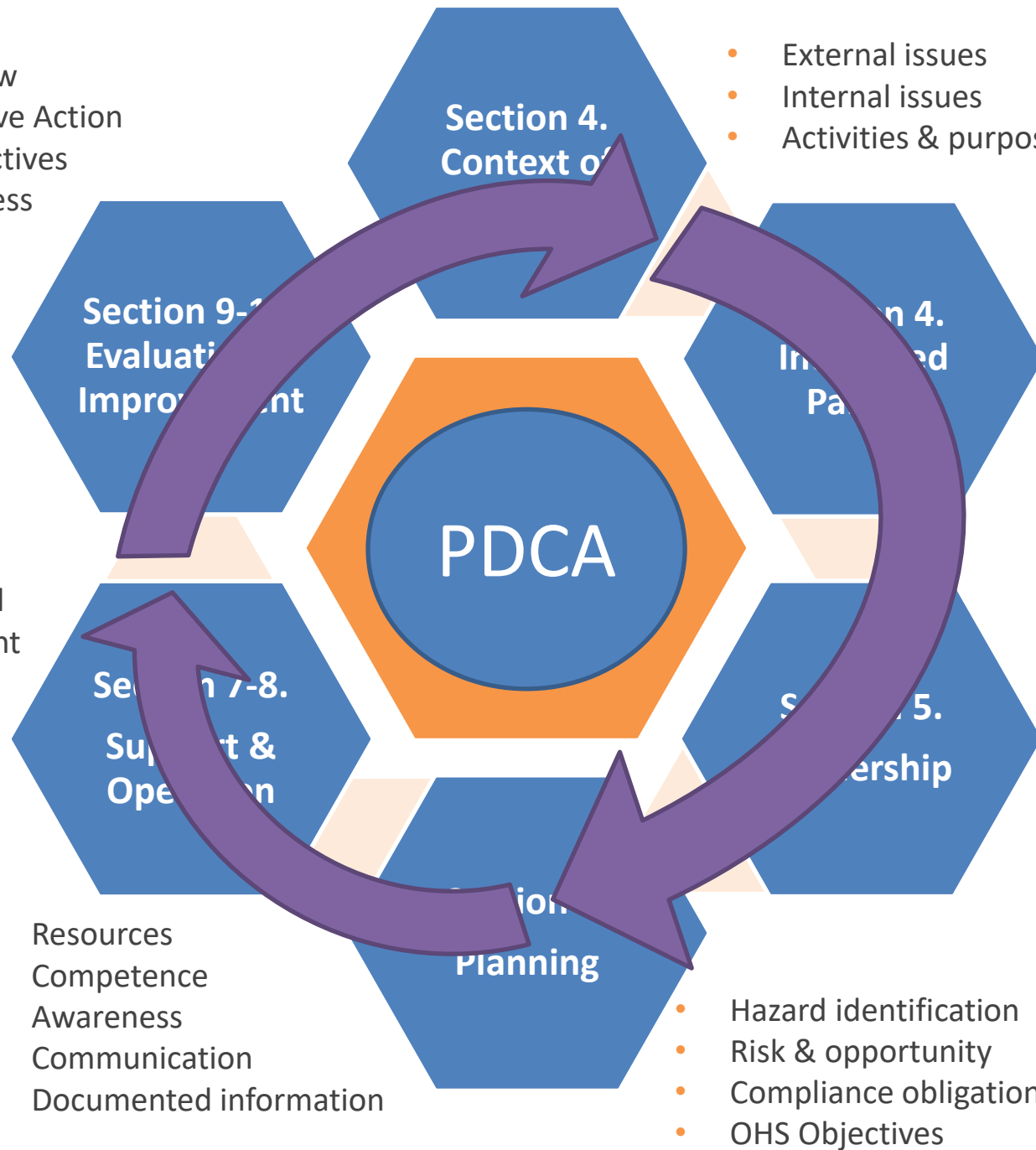
- Workers
- Legal
- Regulatory
- Commercial

- Strategy
- Policy
- Roles
- Responsibilities
- Participation

- Hierarchy of Control
- Change management
- Procurement
- Contractor control
- Emergency preparedness

- Resources
- Competence
- Awareness
- Communication
- Documented information

- Hazard identification
- Risk & opportunity
- Compliance obligations
- OHS Objectives





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Important Definitions

ISO45001

Clause
3.3

Worker: person performing work or work-related activities that are under the control of the organization (3.1)

Note 1 to entry: Persons perform work or work-related activities under various arrangements, paid or unpaid, such as regularly or temporarily, intermittently or seasonally, casually or on a part-time basis.

Note 2 to entry: Workers include top management (3.12), managerial and non-managerial persons.

Note 3 to entry: The work or work-related activities performed under the control of the organization may be performed by workers employed by the organization, workers of external providers, contractors, individuals, agency workers, and by other persons to the extent the organization shares control over their work or work-related activities, according to the context of the organization.



Important Definitions

ISO45001

Clause
3.4

Participation: Involvement in decision-making

Note 1 to entry: Participation includes engaging health and safety committees and workers' representatives, where they exist.



Consultation: Seeking views before making a decision

ISO45001

Clause
3.5

Note 1 to entry: Consultation includes engaging health and safety committees and workers' representatives, where they exist.

Important Definitions

ISO45001

Clause
3.22

OH&S Opportunity: Occupational health and safety opportunity circumstance or set of circumstances that can lead to improvement of *OH&S performance* ([3.28](#))

Competence: Ability to apply knowledge and skills to achieve intended results

ISO45001

Clause
3.23



ISO45001

Clause
3.23

Outsource, (verb): Make an arrangement where the external organization is outside the scope of the management system (3.10), although the outsourced function or process is within scope.



Important Words- Clearly clarified

ISO 45001 ANNEX A.3

Consider: Used 10 times.

Take into account: 5 times as a requirement.

Appropriate: Used 16 times.

Applicable: 11 times as a potential requirement.
done, it shall be done.

When determining this scope, the organization shall:

a) **consider** the external and internal issues referred to in 4.1;

6.1.2.1 Hazard identification

The organization shall establish, implement and maintain a process(es) for hazard identification that is ongoing and proactive. The process(es) shall **take into account**, but not be limited to:

7.4.2 Internal Communication

The organization shall:

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**

10.2 Incident, nonconformity and corrective action

When an incident or nonconformity occurs, the organization shall: a) react in a timely manner to the incident or nonconformity **as applicable**:

- 1) take action to control and correct it;
- 2) deal with the consequences



Important Words- Clearly clarified

ISO 45001 ANNEX A.3

Ensure:

7.2 Competence

The organization shall:

- b) **Ensure** that workers are competent (including the ability to identify hazards) on the basis of appropriate education, training or experience

Retain documented information: record is required

Maintain:

Documents, including procedures

8.1.1 General

The organization shall plan, implement, control and maintain the processes needed to meet requirement of the OH&S management system, and to implement the actions determined in clause 6 by:

- c) **Maintaining** and **retaining** documented information to the extent necessary to have confidence that the processes have been carried out as planned



ISO 45001 - Section 4



4.1 Context of the organization

4.2 Understanding the needs and expectations of interested parties

4.3 Determining the scope of the OH&S management system

4.4 OH&S Management System

4.2 c) is an important concept and must be carefully understood and applied

Section 5 – Leadership and Worker Participation

5.1 states: Top management shall demonstrate leadership and commitment with respect to the OH&S management system by:

a) taking overall responsibility and accountability for the prevention of work-related injury and ill health, as well as the provision of safe and healthy workplaces and activities;

Question: How do you assess conformance to this requirement?

- There are 12 more requirements in this clause, 5.1.
- Auditing the top management is an integral part of this management system success. Top management is directly responsible for conformance to Sections: 5.1, 5.2, 5.3, and 9.3.



5.4 Consultation & Participation

Activity requirements for participation and consultation appears directly in clauses:

- 5.1 Leadership and Commitment
- 5.2 Policy
- 5.4 Consultation and Participation
- 9.3 Management Review.



Linked directly to these other clauses.

4.2, 6.1.1, 6.1.2, 6.1.3, 6.1.4, 6.2, 7.2, 7.4, 8.1, 8.1.3, 8.1.4, 8.2, 9.1, 9.2.2, 10.3 & 10.4

..... AND indirectly linked to: 4.1, 6.1.2.1, 6.1.2.2, 6.1.2.3, 8.1.2

Section 6 – Planning

6.1 General – this establishes the framework for planning to include:

- ✓ **Hazard identification and assessment of risks and opportunities – 6.1.2**
- ✓ **Legal of legal and other requirements 6.1.3**
- ✓ **Planning action – 6.1.4**
- ✓ **6.2 Objectives and actions plan to achieve them**

Section 6 – Planning



6.1.2.1 Hazard identification:

- a) How work is organized, social factors (including workload, work hours, victimization, harassment and bullying), leadership and the culture in the organization;
- b) Routine and non-routine activities and situations, including consideration of:
 - 1) Infrastructure, equipment, materials, substances and the physical conditions of the workplace;
 - 2) Product and service design, research, development, testing, production, assembly, construction, service delivery, maintenance or disposal; 3) human factors; 4) how the work is actually done;
- c) Past relevant incidents, internal or external to the organization, including emergencies, and their causes;
- d) Potential emergency situations;
- e) People, including consideration of:
 - 1) Those with access to the workplace and their activities, including workers, contractors, visitors and other persons;
 - 2) Those in the vicinity of the workplace who can be affected by the activities of the organization;
 - 3) Workers at a location not under the direct control of the organization;

The organization shall establish, implement and maintain a process(es) for hazard identification that is on-going and proactive. The process(es) shall take into account but not be limited to;

Section 6 - Planning



6.1.2.1 Hazard identification (continued):

- f) other issues, including consideration of:
 - 1) 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;
 - 2) situations occurring in the vicinity of the workplace caused by work-related activities under the control of the organization;
 - 3) situations not controlled by the organization and occurring in the vicinity of the workplace that can cause injury and/or ill health to persons in the workplace;
- g) actual or proposed changes in the organization, operations, processes, activities and OH & S management system (see 8.1.3)
- h) changes in knowledge of, and information about hazards.

The organization shall establish, implement and maintain a process(es) for hazard identification that is on-going and proactive. The process(es) shall take into account but not be limited to;

Section 6 - Planning



6.1.4

The organization shall plan:

b) how to:

1) integrate and implement the actions into its OH&S management system processes or other business processes;

A.6.1.4 Planning action

The actions planned should primarily be managed through the OH&S management system and should involve integration with other business processes, such as those established for the management of the environment, quality, business continuity, risk, financial or human resources. The implementation of the actions taken is expected to achieve the intended outcomes of the OH&S management system.

Section 7 – Support

This section is very closely aligned with other standards like ISO 14001 & 9001

- ✓ 7.1 Provision of resources
- ✓ 7.2 competency
- ✓ 7.3 Awareness
- ✓ 7.4 communication
- ✓ 7.5 documented information

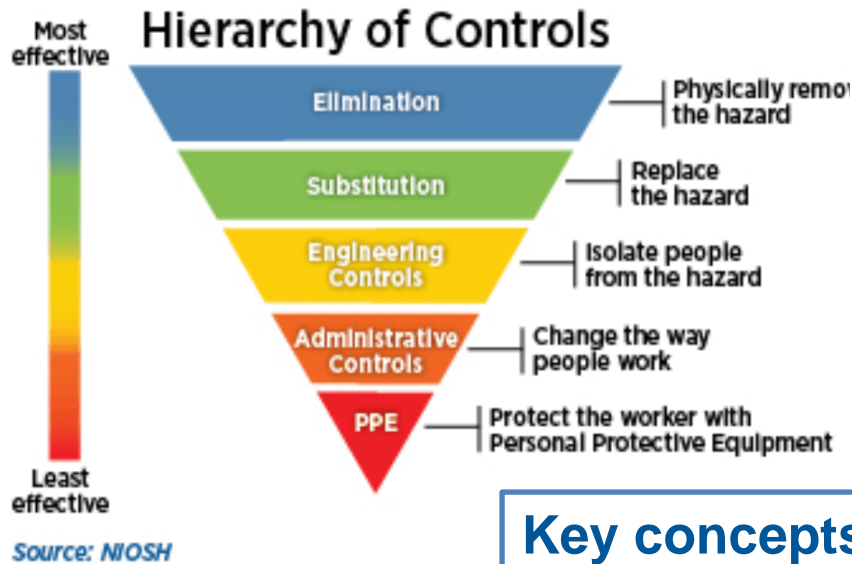


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Safety Training

Section 8 - Operation



© Can Stock Photo

Key concepts:

- 8.1.1 - Adapt work to workers
- 8.1.2 - Hierarchy of control implementation
- 8.1.3 - Management of change
- 8.1.4 - Procurement controls; including outsourcing and contractors
- 8.2 - Emergency response



Section 9 – Performance Evaluation



9.1 Monitoring measurement, analysis and performance evaluation; this also includes evaluation of compliance 9.1.2

9.2 Internal audit; don't over look the expectation of including consultation as influencing input to the audit program (9.2.2).

9.3 Top Management responsibility;
9.3(d); it is important to have trend data not static data as evidence to effectively demonstrate conformance to this requirement.



Section 10 - Improvement

10.2 Incident, nonconformity and corrective action

The organization shall establish, implement and maintain a process(es), including reporting, investigating and taking action, to determine and manage incidents and nonconformities.

Key areas to pay attention to:

10.2 b) evaluate with the participation of workers and other relevant interested parties, “the need for corrective action”

The last requirements after 10.2 g)

The organization shall retain documented information as evidence of: ...And communicate this documented information to relevant workers....

10.3 continual improvement



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Additional Support Documentation

- **ISO 19011:2018** - Guidelines for auditing Management Systems
- **BS 45002:2018** — General Guidelines for the application of ISO 45001
- **IAF MD22** -APPLICATION OF ISO/IEC 17021-1 FOR THE CERTIFICATION OF OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS
- **EA -7/04 M:2017** - legal Compliance as part of Accredited ISO 14001:2015 certification

Thank You
and
Questions



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