

ISO 45001:2018 Migration Self-Assessment Guide

How ready are you for ISO 45001?



ISO 45001:2018

ISO 45001 Migration Self-Assessment Guide

Instructions:

1. Please complete the document as part of your preparation before your on-site assessment of your ISO 45001 based OH&S Management System (OH&SMS).
2. Use the columns for "Planned completion date" and "Responsibility" to develop your plan for upgrading your OH&SMS to the requirements of ISO 45001.

Organization name:

Organization address:

1st shift: Temp:

2nd shift: Part-time:

Number of personnel: 3rd shift: **Total Average Daily workers:**

Other sites if a corporate audit approach:

Remote support functions and activities:

Management contact:

Planned migration dates (on-site):

Scope of certification:

Question / Requirement	Level of progress 0=Not Started 5=Completed & Implemented	OH&S process related to requirement (Process Name)	Planned completion date	Responsibility	Reference document (Name /Rev. Level) and/or Records	Review comments
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<p>Verifiable information indicating understanding of the organization and its context (4.1)</p> <p>This is a clause underpins the management system and the intent is to provide a high-level conceptual understanding of the important issues that can affect, either positively or negatively the way the organization manages its occupational health and safety responsibilities. There is a requirement to identify all internal and external issues that are relevant to the purpose of your organization, and that affect, your ability to achieve the intended outcomes of your OH&S management system. You will also need to identify the needs and expectations of workers and other interested parties that are relevant to your OH&S management system.</p> <p>The identification of these areas enables the scope of the OH&S management system to be appropriately determined, finally, you will need to establish, implement, maintain, and continually improve the management system.</p>						
<p>Information indicating verification of Interested parties and their requirements (4.2)</p> <p>Consider:</p> <ul style="list-style-type: none"> Interested parties – all relevant ones including workers Their relevant needs and expectations <p>Any determined need and expectation that is or could become a legal or other requirement and the methods you have used to identify all of the above <i>continued over...</i></p>						
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Guidance is provided within the note supporting Clause 4.2 and within Annex A.4.2. You will need to be able to demonstrate that you have identified all interested parties and their needs and expectations that are relevant to the OH&S management system.

Verifiable proof of the determining the scope of the OH&S management system (4.3). Evidence of the taking into account and/or consideration of:

- How the boundaries of the OH&S management systems scope have been determined - what has been considered? **A.4.3. provides important supporting information.**
- The activities, products and services included within the scope of your OH&S management system.
- If the scope of your OH&S management system has changed, why and if so how.

The scope of the OH&S management system is needed to clarify the physical and organizational boundaries to which the OH&S management system applies, especially if the organization is a part of a larger organization. The determined scope needs to be in consideration of the outputs gained from clauses 4.1 & 4.2 above and taking into account the work-related activities performed.

Evidence that the documented OH&S management system (4.4) includes all the requirements of this standard

The final requirement in Clause 4 requires you to establish, implement, maintain, and continually improve your OH&S management system, through the adoption of the necessary processes in accordance with the requirements of the standard. Provide information on your OH&S processes and how these interact

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<p>Verifiable proof of leadership and commitment (5.1) – evidence of how top management:</p> <ul style="list-style-type: none"> • Are engaged with and demonstrate leadership and commitment to the OH&S management system including developing, leading, and promoting a positive OH&S culture, the provision of a safe and healthy workplace, the prevention of work-related injury and ill-health • Ensure that the OH&S management system processes are integrated into other business processes and ensure that the OH&S policy and related objectives align with the businesses strategic direction • Ensures active worker participation, the implementation of processes for consultation and participation in the OH&S management system (see also section 5.4 below), and supporting the establishment and functioning of health and safety committees • Ensures that the resources are needed are available • Communicate the importance of effective OH&S management • Protection of workers from reprisals when reporting incidents, hazards, risks, and opportunities • Ensures the OH&S management system achieves its intended outcomes 						

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<p>OH&S policy (5.2) – verifiable proof of:</p> <ul style="list-style-type: none"> when your policy was created or reviewed/amended and details of any changes that were needed How it is appropriate to the context of the organisation (see clause 4) <p>Top management need to establish, implement, and maintain an OH&S policy and ensure it is communicated to workers within the organization and be available to interested parties, as appropriate. Additional guidance is provided in Annex A.5.2 within the standard.</p>						
<p>Organizational roles, responsibilities, and authorities (5.3) – verifiable proof of:</p> <ul style="list-style-type: none"> Responsibilities and authorities of relevant roles assigned, and communicated at each level of the organization Top management assign responsibilities and authorities for OH&S conforms to 45001 and report on its performance <p>This clause applies to all workers at each level of the organization.</p>						

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<p>Participation and consultation (5.4) - verifiable proof that:</p> <ul style="list-style-type: none"> • the processes are in place for participation and consultation • how obstacles or barriers to participation are identified and removed or minimised • how additional emphasis is placed on the needs of non-managerial workers <p>Processes are required for participation and consultation with workers at all applicable levels and functions. Mechanisms, time, training, and resources are necessary and include the provision of timely access to clear and understandable/relevant information. The organization must also identify and remove or minimise obstacles or barriers to participation. Additional emphasis is also placed here on the needs of non-managerial workers. Check applicable OHS legislative requirements are being met with respect to consultation (e.g., provide an opportunity to form an OHS Committee if the workforce request one).</p>						
<p>Actions to address risks and opportunities General (6.1.1) - evidence of:</p> <ul style="list-style-type: none"> • the documented processes needed to meet the requirements of clauses 6.1.2 to 6.1.4 • how the clause 4 (context: interested parties; scope) outputs have been considered <p>Documented processes are needed as necessary to meet the requirements of clauses 6.1.1 to 6.1.4 with consideration as to the outputs of clauses 4.1 to 4.3 and to determine the risks and opportunities that need to be addressed to give assurance that the OH&S management system can achieve its intended outcomes, prevent, or reduce undesired effects and achieve continual improvement.</p>						

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<p>Hazard identification and assessment of OH&S risks (6.1.2) – verifiable proof of:</p> <ul style="list-style-type: none"> the processes applied to meet the requirements of this clause how the clause 4 outputs have been considered Documented methodologies and criteria applied for the assessment of OH&S risks OH&S risks and other risks to the OH&S management system OH&S opportunities & other opportunities <p>Processes are needed for hazard identification, assessment of OH&S risks and other risks to the OH&S management system and for the identification of OH&S opportunities and other opportunities. This clause contains a list of areas that need consideration with regards to hazard identification. Assessment of OH&S risks must take into account the effectiveness of existing controls and must consider the issues identified in 4.1, the needs and expectations identified in 4.2 and 4.3 the scope.</p>						
<p>Determination of legal requirements and other requirements (6.1.3) – verifiable evidence of:</p> <ul style="list-style-type: none"> the process applied to meet the requirements of this clause what documented information is maintained and retained on the legal and other requirements <p>Process required to determine how the legal requirements and other requirements to which the organization subscribe apply to the organization and what needs to be communicated. Documented information on its legal requirements and other requirements and their updates also needs to be maintained and retained.</p>						

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<p>Planning to take action (6.1.4) – evidence of:</p> <ul style="list-style-type: none"> how the actions to address risks and opportunities will be integrated, implemented, and evaluated for effectiveness how the hierarchy of controls will be taken into account <p>Explicit planning requirement to plan actions to address risks and opportunities, to integrate and implement the actions into the OH&S management system or other business processes and to evaluate the effectiveness of these actions. Requirement now also to take into account the hierarchy of controls (not just consider) when planning to take action. Consideration must also be given to best practices, technological options, financial, operational, and business requirements, and constraints.</p>						
<p>OH&S objectives (6.2.1) – evidence of how the OH&S objectives take into account OH&S opportunities and other risks & opportunities, the legal and other requirements, and how these OH&S objectives are measured or evaluated and communicated. <i>continued over</i></p>						
<p>OH&S objectives need to take into account OH&S opportunities and other risks and opportunities, they need to be measurable (if practicable) or capable of evaluation and be clearly communicated, further guidance is provided in the Annex to the standard A.6.2.1</p>						

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<p>Planning to achieve OH&S objectives (6.2.2) - evidence on how the OH&S objectives will be measured or evaluated and how the actions to achieve the OH&S objectives will be integrated into the organizations business processes.</p> <p>These requirements are explicit, e.g., what, who, when and how. OH&S objectives need to be measured through indicators (if practicable) and monitored; also, how the actions to achieve the OH&S objectives will be integrated into the organizations business processes shall be determined.</p>						
<p>Resources (7.1) – evidence on how you determine and provide the necessary resources for the OH&S MS</p> <p>Resources are needed for the effective functioning and improvement of the OH&S management system and to enhance OH&S performance.</p>						
<p>Competence (7.2) – evidence on:</p> <ul style="list-style-type: none"> How you determine the competency for workers that affect or can affect OH&S performance. – including the ability to identify hazards How you manage actions to acquire the necessary competency and how the effectiveness of these actions are evaluated <p>You will need to determine the necessary competence of workers that affect or can affect OH&S performance. <i>continued over</i></p>						
<p>Additionally, where necessary, you will need to ensure they receive the appropriate training. Within this clause you are required to retain documented information as evidence of competence.</p>						

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<p>Awareness (7.3) – the ability to remove themselves from work situations that they consider present and imminent and serious danger to their life or health, and the arrangements for protecting them from undue consequences for doing so</p> <p>No procedure is required, and "OH&S hazards and risks relevant to them" is stated explicitly. The implications and potential consequences of not conforming with OHS legislation or the organisation's own OHS management system is to be considered.</p>						
<p>Communication (7.4) – evidence of:</p> <ul style="list-style-type: none"> • The process(es) for communication (see 3.25 definition) • The communication needs to consider what, when, who and how • How the views of external interested parties are considered within the communication process(es) • How communications are ensured to be consistent with the information generated within the OH&S management system and is reliable • How you address diversity aspects and the views of relevant external interested parties • The arrangements within the OH&S management system for retaining appropriate documented evidence of its communications <i>continued over</i> 						

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<p>A requirement to define the objectives for informing and communicating and to evaluate if those objectives have been met. Diversity aspects and the views of relevant external interested parties also must be considered when appropriate. A requirement for internal and external communication is required. Additional guidance is provided in the Annex to the standard in A.7.4.</p>						
<p>Documented information (7.5) – evidence on your approach to towards documented information – including how you have determined what documentation is necessary for the effectiveness of you OH&S management system, considering complexity, type of activities, products and services, legal and other requirements, competencies of workers. Requirements include the controls of documented information and creating and updating them.</p> <p>The control of records is included in “Documented information”.</p>						
<p>Operational planning and control, General (8.1.1) – evidence of the establishing of criteria for processes and the control of processes in line with the determined criteria.</p> <p>The focus is on processes including establishing criteria for the processes, implementing control of the processes and on having documented information that demonstrates such control, a requirement with regards to multi-employer workplaces is included.</p>						
<p>Eliminating hazards and reducing OH&S risks (8.1.2) – evidence of how the hierarchy of controls is provided and applied to the associated hazards, including adequate use of PPE being the lowest level of control.</p> <p>Use of the hierarchy of controls is a requirement, not a "consideration" and there is an explicit requirement to provide and ensure use of adequate PPE as the lowest level of control acceptable.</p>						

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<p>Management of change (8.1.3) – evidence of a process for controlling changes</p> <p>A process is needed for controlling planned changes, change management should promote OH&S opportunities and consequences of unintended changes must be reviewed with actions taken as necessary to mitigate any adverse effects including addressing potential opportunities.</p>						
<p>Outsourcing (8.1.4.3) – A requirements relating to "an arrangement where an external organization performs part of the organization's function or process". Outsourced processes affecting the OH&S MS must be controlled, with the type and degree of control defined within the OH&S management system. Provide verifiable evidence of how this is provided for and achieved within the organization.</p>						
<p>Procurement (8.1.4)</p> <p>General (8.1.4.1) – evidence of a process for the control of the procurement of products and services in order to ensure their conformity with the OH&S management system.</p>						
<p>Contractors (8.1.4.2) – evidence of:</p> <ul style="list-style-type: none"> • The criteria for the selection of contractors • Identifying the risks as defined in this clause <p>The procurement process(es) is required to be coordinated, with its contractor(s), for hazard identification and to assess and control the OH&S risks.</p>						

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<p>Emergency preparedness and response (8.2) – evidence of: processes to establish, train, test, evaluate, communicate, considering the needs and capabilities of all relevant interested parties.</p> <p>This process also requires the provision of first aid, to evaluate after the occurrence of an emergency and the involvement of relevant interested parties.</p> <p>Explicit requirement to retain documented information on the process(es) and plans for responding to an emergency.</p> <p>A testing of trained responders and/or periodically test and exercise a planned response capability for the sites is to be considered.</p>						
<p>Monitoring, measurement, analysis, and performance evaluation – General (9.1.1) – evidence that all the following are planned and provided for:</p> <ul style="list-style-type: none"> • What is to be monitored and measured • The methods to be used for monitoring, measurement, analysis, and evaluation when the monitoring and measuring is to be performed • When the results shall be analysed, evaluated, and communicated • The criteria against which the organization will evaluate its OH&S performance • How the appropriate documented information has been determined <p>A Process is needed. Requirement to determine monitoring and measuring needs related to applicable legal requirements and other requirements, activities related to hazards, OH&S risks, risks, OH&S opportunities, and the criteria for evaluating OH&S performance. Explicit requirements to determine methods to ensure valid results and when the monitoring and measuring shall be performed (including analysis, evaluation, and communication), appropriate evidence in documented information is explicit.</p>						

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<p>Evaluation of compliance with legal and other requirements (9.1.2) – evidence that all the following are planned and provided for:</p> <ul style="list-style-type: none"> • The frequency and methods used for evaluating compliance • How actions will be taken, if needed • How knowledge and understanding of the compliance status will be maintained • What documented information will be retained regarding compliance evaluation results <p>A process requirement now to be detailed with regards to planning, frequency, methods, taking action and maintaining knowledge & understanding of compliance status.</p>						
<p>Internal audit process (9.2) – The internal audit programme includes a consideration of the importance of the processes concerned as well as: consultation, significant changes impacting the organization, significant OH&S risks, risks, OH&S opportunities and performance evaluation and improvement results. There are explicit requirements to ensure relevant audit findings are reported to relevant workers and relevant interested parties, to take appropriate action to address nonconformities and continually improve its OH&S performance. Documented audit process is required (see audit definition 3.32). Internal audits of the organizations own requirements and ISO 45001 are required.</p> <p>Verifiable evidence that all the above is planned and provided for.</p>						

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<p>Management Review (9.3) – At planned intervals a consideration of all the listed inputs and outputs shall be considered. Outputs includes any implications for the strategic direction of the organization.</p> <p>The review shall be documented information and relevant outputs to workers and their representatives is to be communicated.</p>						
<p>Improvement – General (10.1)</p> <p>Explicit requirement to determine opportunities for improvement (reference to clause 9) and implement necessary actions.</p>						
<p>Incident, nonconformity, and corrective action (10.2) - verifiable evidence of a process that includes participation, determining if similar incidents have occurred or could potentially occur, reviewing existing assessments of OH&S risks and other risks as appropriate, reviewing the effectiveness if action taken.</p> <p>Includes specific requirement for a process to report, investigate and act, and to determine and manage incidents and nonconformities. This process is to provide for reacting in a timely manner, taking action to control and correct and to deal with the consequences, to evaluate with the participation of workers and other relevant interested parties.</p>						
<p>Continual improvement process (10.3) – evidence on your process for continual improvement together with details regarding how you communicate the results to relevant workers and what documented information is retained of continual improvement</p> <p>Considers the outputs of the activities in the standard and states requirements including communication and documented information.</p> <p>A review of the effectiveness of any action taken including corrective action is to be included.</p>						

Approval

Name/title

Signature

Date

Client organization top management
attests readiness for migration to
ISO 45001

Additional Notes: