ISO 45001

Clauses

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Clause 1: Scope – This clause relates to the scope or coverage of the standard to help organizations achieve the intended outcomes of its Health and Safety Management System.

Clause 2: Normative reference – There are no normative references, for example other additional requirements in other standards, which have to be considered. The clause is retained in order to maintain the same numbering scheme as all the other management system standards.

Clause 3: Terms and definitions – at first sight, the listing of terms and definitions seems confusing as they are not in alphabetical order. Instead, the approach stipulated by ISO is that terms and definitions are in the order that they appear in the standard. It may be easier to use this listing in conjunction with the alphabetical listing in Annex C.

An organization will also need to identify the 'interested parties' relevant to their Health and Safety Management System and their needs. These could include workers, contractors, customers, communities, suppliers and non-government organizations and may change over time. Finally, the last requirement is to establish, implement, maintain and continually improve the Health and Safety Management System in accordance with the requirements of the standard.

High-Level Structure (HLS)

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

The ten-clause Annex SL structure shared by ISO 45001 and other ISO management system standards

Clause 4: Context of the organization

This clause 'sets the scene' for the organization and the scope and boundaries for the occupational health and safety management system. Importantly ISO 45001 should be aligned to the strategic direction of the organization, embedding health and safety management into the core business functions, rather than as a stand-alone discipline.

Within this clause the organization has to determine the internal and external factors that may affect its ability to achieve the intended outcomes of its Health and Safety Management System. Externally these may be issues such as socio-economic and political instability; internally, it may be issues such as restructuring, acquisitions or new products.

The organization is also required to determine the needs and expectations of 'interested parties' with regard to the Health and Safety Management System. This means that the system cannot operate in isolation – those who have an interest in the outcomes of the Health and Safety Management System – workers, shareholders, legal authorities, contractors etc. have to be considered.

Most organizations will have worked through these two aspects as part as their overall risk and opportunity management (and/or if they have other ISO standards) but it is important for ISO 45001 that these issues are expressly considered against the intended outcomes of the Health and Safety Management System. How could political insecurity or an organizational restructure put workers health and safety at risk? Or provide an opportunity to improve the workplace?

The final scope for the Health and Safety Management System must be documented; this helps to evidence the integrity of the MS. It would be unacceptable to exclude a particular part of the business or site due to poor health and safety performance. Remember the aim for the Health and Safety Management System – to prevent injury and ill-health and provide a safe and healthy workplace. Excluding a particular part of the business

Clause 4	Clause number
Understanding the organization and its contents	4.1
Understanding the needs and expectations of workers and other interested parties	4.2
Determining the scope of the health and safety management system	4.3
Health and Safety Management System	4.4

Clause 5: Leadership and worker participation

This clause is the cornerstone for the success of the Health and Safety Management System. Top management in ISO 45001 are responsible and accountable for the prevention of work-related injury and ill health as well as the provision of safe and healthy workplaces (not simply providing support for a management system). This requires top management to be personally involved in order to develop, lead and promote a culture that supports health and safety. It should also be noted that leadership and culture is identified as a potential hazard later in the standard (6.1.2.1a).

It is also top management that has to ensure that a process for consultation and participation with workers is established. This may include establishing a health and safety committee.

It is also top management's responsibility to establish, implement and maintain the health and safety policy. The required contents for the policy include elements such as a commitment to consultation and participation of workers. Importantly consultation with workers on the health and safety policy is included later in this clause.

In ISO 45001 consultations involve seeking views before making a decision with clear two-way communication, whilst participation is involvement in decision-making. This must include non-managerial workers.

The organization is now required to provide the mechanisms, time, training and resources for

consultation and participation of workers. This includes removing any obstacles or barriers such as language, literacy or fear of reprisals.

Clause 5	Clause number
Leadership (title only)	5
Leadership and commitment	5.1
Health and Safety policy	5.2
Organizational roles, responsibilities and authorities	5.3
Consultation and Participation of Workers	5.4

Clause 6: Planning

Alignment to the High Level Structure has seen planning split in a slightly unusual way. There are still the elements that you would expect such as hazard identification, assessment, control, legal requirements and objective setting but the High Level Structure requirements of risk and opportunities introduced a challenge for the expert committee that developed ISO 45001.

- In order to incorporate the High Level Structure and the aim of the Health and Safety Management System, risk and opportunities has been broken into two elements:
- Assessment of health and safety risks and other risks to the management system
- Health and safety risks being the 'traditional' likelihood x severity
- Risks to the management system are those more traditionally related to business risk (effect of uncertainty) such as peaks in workflow, restructuring as well as external issues such as economic change
- Assessment of health and safety opportunities and other opportunities to the Health and Safety Management System
- Health and safety opportunities are circumstance(s) that can lead to improvement of health and safety performance

This includes adapting work to workers, eliminating hazards and other opportunities for improving the Health and Safety Management System such as implementing ISO 45001. Importantly risks and opportunities shall be determined before planned change.

There is also increased emphasis on identifying hazards associated with mental ill-health (adverse mental or cognitive conditions) such as workload, bullying and the leadership and culture of the organization. Additionally, the identification of hazards has to start at conceptual design stage as well as the on-going lifecycle of workplace, facility, equipment, processes, activity etc. The principles of horizon scanning are also introduced within this clause. New knowledge of, and information about, hazards has to be taken into account.

Clause 6	Clause number
Planning (title only)	6
Actions to address risks and opportunities (title only) General Hazard Identification and the assessment of risks and opportunities Determination of legal requirements and other requirements Planning action	6.1 6.1.1 6.1.2 6.1.3 6.1.4
Health and Safety objectives and planning to achieve them (title only) Health and Safety Objectives Planning actions to achieve health and safety objectives	6.2 6.2.1 6.2.2

Clause 7: Support

This clause begins with a requirement that organizations shall determine and provide the necessary resources to establish, implement, maintain and continually improve the Health and Safety Management System. These cover human resources, natural resources, infrastructure and financial resources. Simply expressed, this is a very powerful requirement covering all health and safety resource needs.

The competency element of this clause is in place, but communication is split out in ISO 45001 into awareness, communication, internal and external communication.

ISO 45001 uses the term ‘documented information’, instead of ‘documents’ and ‘records’. This reflects modern types and use of information – cloud based, multi-media etc. However, one of the biggest drivers for this change was the recognition that the implementation of Health and Safety Management Systems had led to an over reliance on documented procedures, creating unnecessary and bureaucratic paper trails, which did not actually improve health and safety performance.

Clause 7	Clause number
Support (title only)	7
Resources	7.1

Clause 7	Clause number
Competence	7.2
Awareness	7.3
Communication (title only) General Internal communication External communication	7.4 7.4.1 7.4.2 7.4.3
Documented information (title only)	7.5
General	7.5.1
Creating and updating	7.5.2
Control of documented information	7.5.3

Clause 8: Operation

One of the real strengths ISO 45001 is the explicit recognition that change needed to be taken into account during hazard identification and risk assessment. However, taking into account' and proactively managing change are very different things. Change presents real risks and opportunities to organizations. ISO 45001 acknowledges this and has a dedicated clause now on the management of change.

Organization will need to plan how to implement change in a manner that does not introduce new (unforeseen) hazards or increase the health and safety risks, whilst also identifying the opportunities for improving health and safety performance that the change may enable.

The new sub-clause on procurement provides recognition that the risks related to the supply chain are most effectively managed when they are taken into account at the very first stages of procurement – pre-tender and tender. Experience has shown that trying to manage the risks introduced by the supply chain once its operational are extremely expensive and limited in effectiveness.

With ISO 45001, organizations have to establish procurement processes that conform to the Health and Safety Management System, including defining health and safety criteria for the selection of contractors. These procurement activities have to be coordinated with those contractors.

New within this section is outsourcing. Relating back to the 'context' of an organization and its credibility, there was concern by the expert panel that certain activities or processes with high health and safety risks were being outsourced, without due consideration of the implications for health and safety this had.

A responsible organization will establish control of those outsourced functions to achieve the intended outcomes of the Health and Safety Management System. Controls can include things such as procurement and contractual requirements, training and inspections.

Clause 8	Clause number
Operational planning and control (title only)	8.1
General	8.1.1
Eliminating hazards and reducing health and safety risks	8.1.2
Management of change	8.1.3
Procurement	8.1.4
Emergency preparedness and response	8.2

Clause 9: Performance evaluation

Whilst the introduction of 'processes' is a reflection of the alignment to the High Level Structure; it also reflects that an effective Health and Safety Management System is a continually improving one. A process is a cycle, it should reflect a PDCA (plan, do, check, act) cycle and not be static. Therefore ISO 45001 requires processes for consultation and participation, planning, hazard identification, assessment of risk and operational control.

Management reviews have to consider risks and opportunities and trends in aspects such consultation and participation of workers to ensure it is happening effectively, which is part of their leadership responsibility.

Clause 9	Clause number
Performance and evaluation (title only)	9
Monitoring measuring, analysis and evaluation (title only) General Evaluation of compliance	9.1 9.1.1 9.1.2
Internal Audit (title only) General Internal audit program	9.2 9.2.1 9.2.2
Management review	9.3

Clause 10: Improvement

Gone from ISO 45001 is the requirement related to 'preventative action'. This is because the whole of ISO 45001 is about prevention. Also, in this clause is the requirement to eliminate the root cause(s) of incidents and non-conformities reflecting the overall aim of the standard to prevent injury and ill-health and provide safe and healthy workplaces.

The standard concludes by underlining the fact that effective health and safety management is not static and should continually improve and be supported by a proactive culture

Clause 10	Clause number
Improvements	10
General	10.1
Incident, non-conformity and corrective action	10.2
Continual improvement	10.3