

# ISO 45001 Playbook

A Management  
Systems Approach



This playbook explains the requirements of the ISO 45001 occupational health and safety management system (OH&SMS) standard across the seven key components of its framework



## CONTEXT

Pages 5–9

Understanding the organisation's context ensures that factors which can affect its ability to meet occupational health and safety objectives are identified and managed.

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## LEADERSHIP

Pages 10–15

Leadership is about demonstrating commitment and being accountable for health and safety whilst supporting workers at all levels to contribute to its success.

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## PLANNING

Pages 16–19

Planning involves hazard identification and the assessment of risks and opportunities, establishing legal and other requirements and setting occupational health and safety objectives.

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## SUPPORT

Pages 20–26

Support requires that adequate resource is allocated, workers are competent and aware of the requirements of the occupational health and safety management system, and effective communication is established.

## OPERATION

Pages 27–32

Operation is all about putting the planning into action. Eliminating the hazards and reducing operational risks, effectively managing change, applying controls to outsourced risks, and planning for emergency situations.

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## PERFORMANCE EVALUATION

Pages 33–38

Performance should be assessed against an organisation's legal and other requirements and the intended outcomes of its OH&SMS. This requires an audit schedule and periodic management reviews to be established.

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## IMPROVEMENT

Pages 39–42

Demonstrate lessons learned through the outcome of incidents, nonconformities and corrective actions to drive the continual improvement of the organisation's OH&SMS.

# Introduction

Implementing and maintaining an occupational health and safety (OH&S) management system can support organisations who are looking to manage and improve workplace health and safety for their employees and others affected by their activities.

ISO 45001 provides a framework for organisations to manage OH&S risk and opportunities through a process led approach which aims to prevent work-related injury and ill-health, provide safe and healthy workplaces, and drive the continual improvement of an organisation's health and safety management system.

This guide will break down the requirements of ISO 45001 into the seven key areas of its framework to provide practical guidance on the clause-by-clause requirements of the standard, and how the Assure system can support organisations in the implementation, maintenance, and third-party certification of an occupational health and safety management system aligned to ISO 45001.

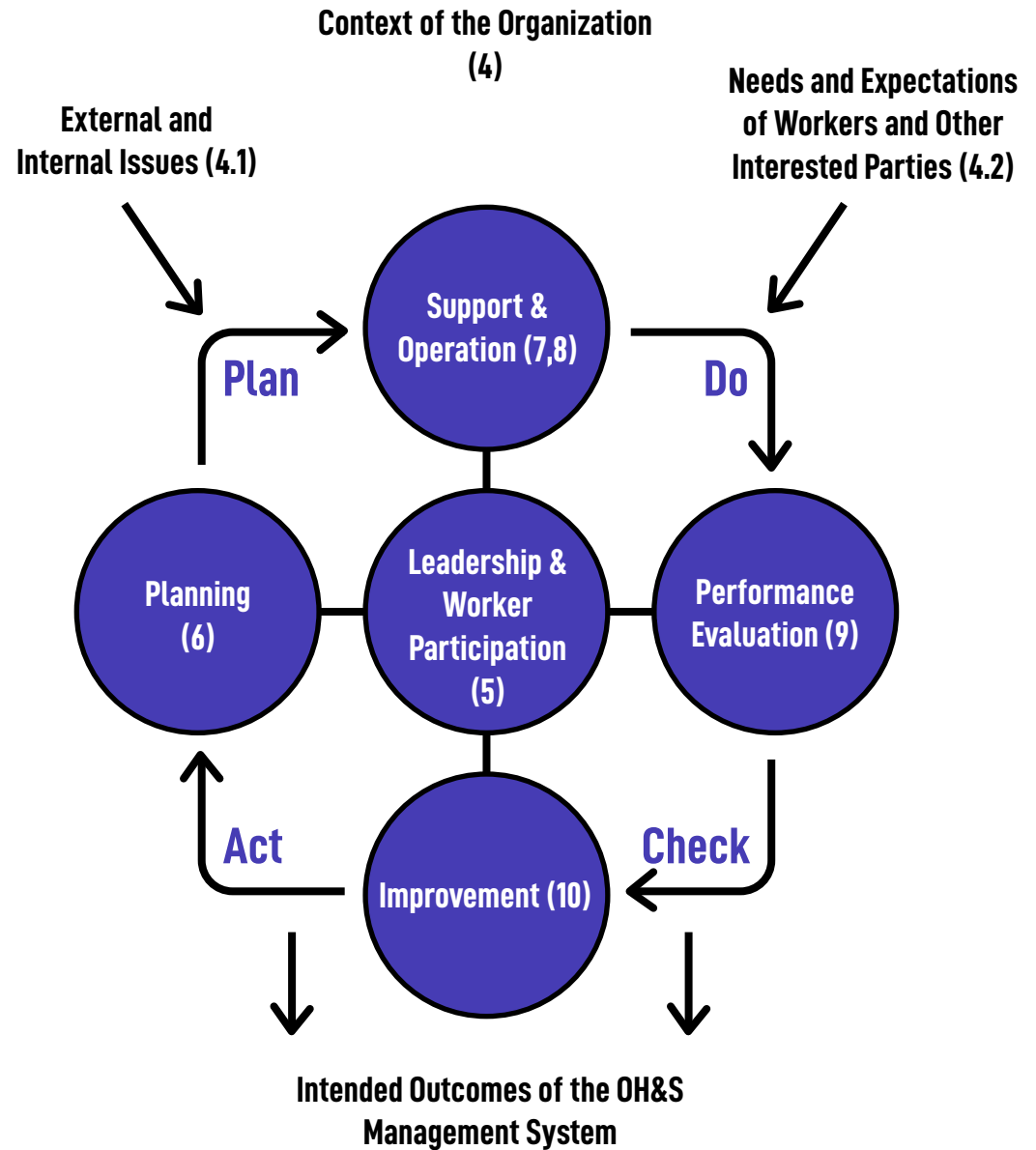
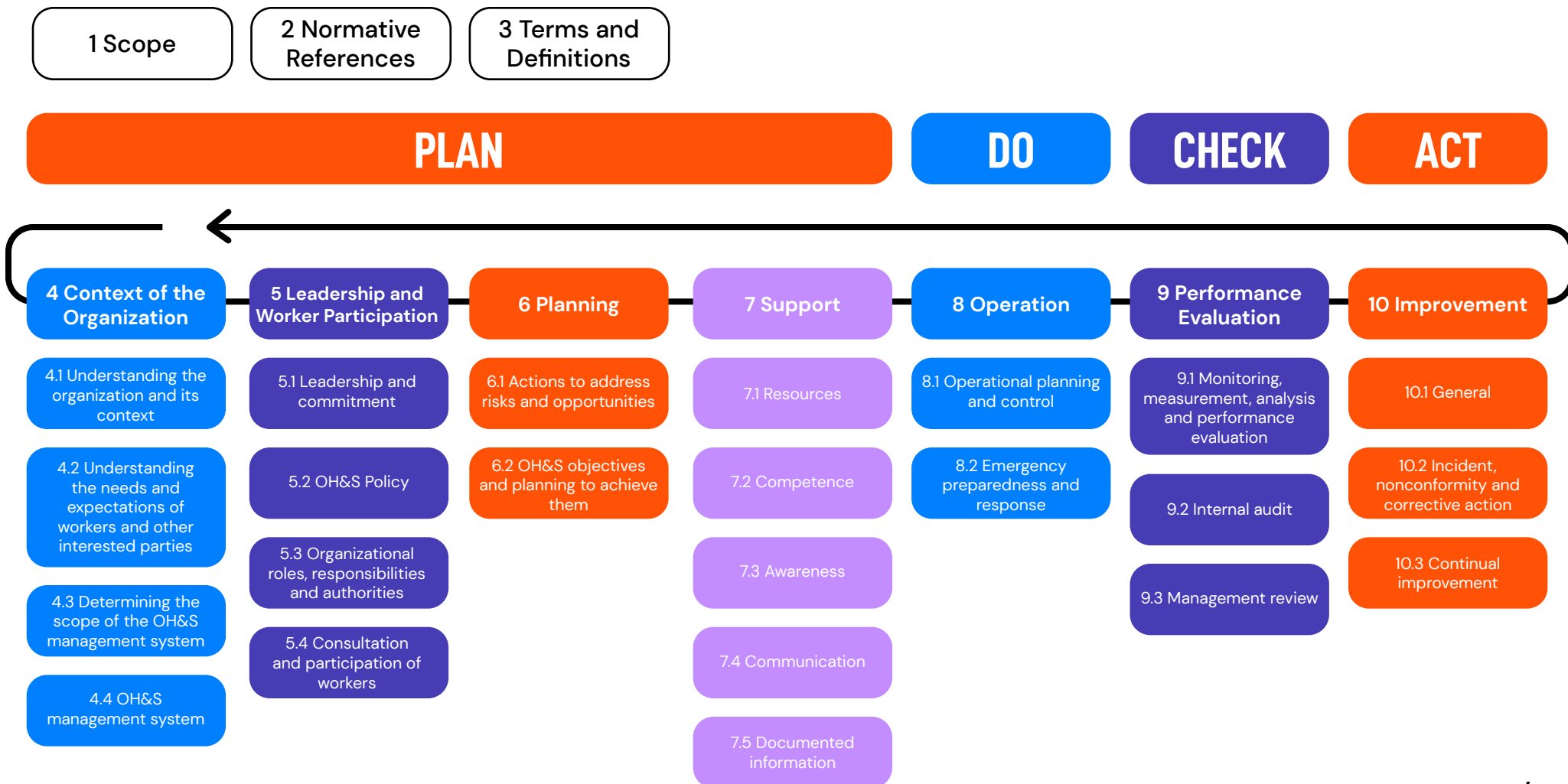


Figure 1: Relationship between PDCA and ISO 45001

# ISO 45001 OH&S management system schematic

ISO 45001 follows the Annex SL framework, which is intended to support the integration of multiple management system standards such as quality (ISO 9001) and environmental (ISO 14001). Clause 1 of the standard provides detail around the scope of the management

system, its applicability and limitations. Clause 2 is intended to identify reference to any other documents which are necessary for the application of the standard, in ISO 45001 there are none. Clause 3 provides an index of terms and their definitions as they are applied within the standard.



# 4. Context

In order to manage occupational risks and opportunities effectively, an organisation needs to fully understand what it is, what it does and what can affect its ability to achieve the intended outcomes of its occupational health and safety management system.

This should include the identification of internal and external issues as well as the needs and expectations of interested parties.

## Note:

A number of external issues may be driven by internal issues. For example, the type of work undertaken by the organisation will influence the health and safety legislation an organisation needs to comply with.

## 4.1 Understanding the Organisation and its Context

Organisations need to determine the internal and external issues relevant to its purpose which could affect its ability to achieve the intended outcomes of its occupational health and safety management system. Issues can be positive or negative, highlighting risks or presenting opportunities to the organisation.

There are a number of tools which can be used to determine internal and external issues relevant to an organisation's context:



### Internal Context

Internal issues within the organisation include the types of products or services provided, work design and practices, characteristics of the workforce, operating locations, and working environments. Whilst the standard does not state how an organisation should

determine its context, SWOT Analysis (Strengths, Weaknesses, Opportunities, Threats) can support the critical analysis of internal issues and can be applied at multiple levels within an organisation.

### External Context

External issues surrounding the context of the organisation include legislative and statutory requirements, industry specific requirements and any voluntary initiatives which the organisation has chosen to comply with.

PESTLE Analysis (Political, Economic, Social, Technological, Legal, and Environmental) can be used to identify the external issues surrounding the organisation.



## How Evtix Assure Can Support

Assure supports a process for undertaking **PESTLE** and **SWOT** analysis. Utilising the Risk module of Assure, information captured within completed assessments can be monitored and reviewed to ensure the continual understanding of an organisation's context. Issues that influence the context of the organisation can then be reviewed and any actions recorded within **Management Review Meeting Minutes**.

### Assure Module



Risk



Audit

### Module Form/Function

General Risk Assessment

Audit/Inspection/Checklist

### IQ Template

SWOT Analysis  
PESTLE Analysis

Management Review  
Meeting Minutes

## 4.2 Understanding The Needs And Expectations Of Workers And Other Interested Parties

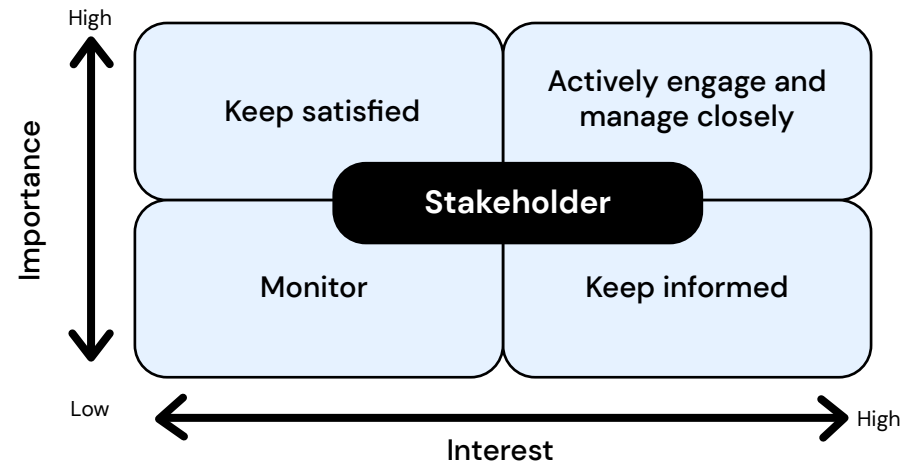
Organisations need to identify relevant interested parties, that being those who can affect or be affected by the organisation's occupational health and safety management system. Relevant interested parties will differ from organisation to organisation however they will always include all workers within the organisation.

Other interested parties which may be relevant to the organisation's occupational health and safety management system could include:

- Customers
- Owners, shareholders, clients, and visitors
- Suppliers, contractors, and subcontractors
- Local authorities and governmental bodies
- Trade unions and non-governmental organisations
- Insurers
- The general public and local communities
- The media

Once all interested parties, their needs, and expectations, relevant to the organisation's occupational health and safety management system, have been identified it is important to review these holistically. This will help to identify any common ground between interested parties so that these can be considered together.

Stakeholder reviews can provide a useful tool in identifying the level of importance and influence an interested party has on the organisation. Reviews can be used to support communications and action strategies to address the needs and expectations of interested parties.



### How Evtix Assure Can Support

Assure supports a process for undertaking **Stakeholder Reviews**. Utilising the Risk module of Assure, information captured within completed reviews can be monitored and assessed to ensure that strategies for communicating and managing the needs and expectations of interested parties is maintained.

Assure Module



Risk

Module Form/Function

General Risk Assessment

IQ Template

Stakeholder Review

## 4.3 Determining The Scope Of The OH&S Management System

### \*Documented Information Requirement

The organisation needs to determine the scope of its occupational health and safety management system considering the internal and external issues and the needs of relevant interested parties identified within 4.1 and 4.2 of the standard.

This should clearly set the boundaries of the OH&S management system. It is important to ensure that all activities, products, and services under the organisation's control or influence that can affect the organisation's occupational health and safety performance are included within its scope.



It is also important to note that where the scope of the organisation's occupational health and safety management system is confined to a single site or specific function or service, those areas of the organisation that sit outside of that scope must be considered as an external provider or interested party for the purpose of the OH&S management system.

The scope of the OH&S management system should be kept as documented information. The standard does not specify the format in which this needs to be kept, only that it should be relevant to the organisation.

### How Evotix Assure Can Support

The scope of the OH&S management system can be stored within the document library of Assure. Using core functionality within Assure:

- Approval of the scope can be demonstrated
- Maintenance of the scope can be managed
- Availability of the scope can be maintained

Assure Module	Module Form/Function	IQ Template
 Assure Core	Approvals, Reviews, Notifications, AssureGO+	X
 Assure Core	Document Library	X





## 4.4 OH&S Management System

The organisation needs to establish, implement, maintain, and continually improve an OH&S management system which is aligned with the context and scope established in 4.1, 4.2, and 4.3 and is integrated with other business processes and objectives to prevent the pursuit of wider business objectives impacting on the organisation's OH&S performance.

The management system should detail the processes required for the continual improvement of occupational health and safety performance within the organisation and meet the requirements of ISO 45001, adopting a PDCA approach towards its OH&S management system as outlined within figure 1 of this document.

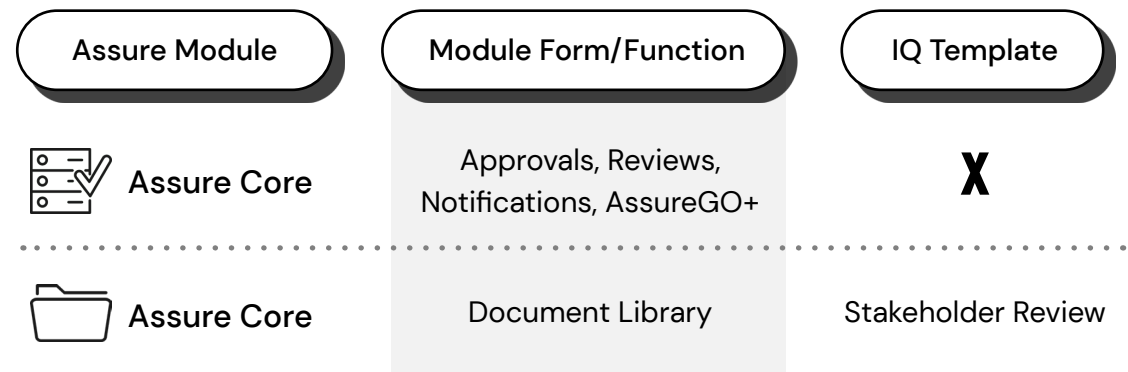


### How Evtix Assure Can Support

Processes and procedures relevant to the OH&S management system can be stored and shared within the document library of Assure and published to AssureGO+ to ensure accessibility.

Processes within the OH&S management system which will be managed through Assure, e.g., risk assessment, incident management,

contractor management etc. should be developed with the core functionality of Assure in mind. This will ensure that the process remains aligned with how it is managed in practice and can be easily demonstrated.



# 5. Leadership

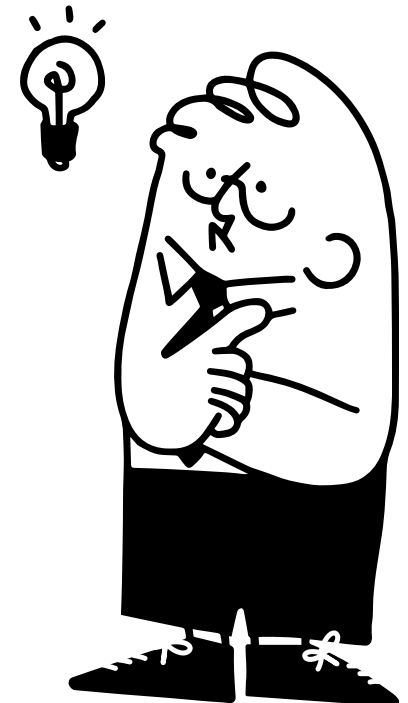
Leadership commitment is critical to the success of an OH&S management system. ISO 45001 places emphasis on the importance of 'Top Management' taking overall responsibility and accountability for the success of the organisation's health and safety performance as well as facilitating worker consultation and participation in the development, implementation, and improvement of the OH&S management system.

Unlike other areas within ISO 45001, leadership does not fall into any single stage of the PDCA management cycle but instead is central to supporting success across all other areas of the OH&S management system cycle.

## 5.1 Understanding the Organisation and Its Context

Leadership within the organisation need to demonstrate commitment and provide active support towards the success of the OH&S management system. This can be demonstrated in a number of ways and includes:

- 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.
- Providing clear and consistent leadership across all levels of the organisation.
- Applying a risk-based approach in response to incidents and in the development and implementation of rules, safeguards, and processes to ensure they remain proportionate, practical, and achievable.
- Ensuring the OH&S management system and its objectives are aligned with the organisation's wider business objectives.
- Ensuring the requirements of the OH&S management system are integrated into wider business processes.
- Providing adequate resource necessary for the success of the OH&S management system.
- Encouraging participation of workers and interested parties in the improvement of health and safety performance.
- Promoting open and honest communication around health and safety and including all those affected by OH&S decisions in the decision-making process.
- Protection of workers from reprisals when reporting incidents, hazards, risks, and opportunities.
- Provision and support for functioning health and safety committees.









## How Evotix Assure Can Support

There are many ways in which Assure can demonstrate leadership and commitment towards an organisation's OH&S management system.

Assure core functionality provides the ability to share information with workers and interested parties through the application of AssureGO+. Here you can publish relevant health and safety information, policies, processes, guidance and risk assessments in an easily accessible location.

AssureGO+ also drives worker engagement, allowing workers to easily report hazards, near miss incidents and accidents as well as provide a platform for leadership to conduct site safety tours across their areas of responsibility.

Assure can also support in the functioning of health and safety committees, providing the ability to formally appoint committee members and record committee meeting minutes, along with any actions raised to improve OH&S performance.

Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 Assure Core	AssureGO+	<b>X</b>	Records
 Assure Core	Document Library	<b>X</b>	Health and Safety Notice Board Document Library
 Risk	Hazard Spotting	<b>X</b>	Report a Hazard
 Incident	Incident Record	Incident Investigation	Report An Incident Report A Near Miss
 People	Health and Safety Appointments	Appointment Acceptance	Health and Safety Appointments
 Audit	Audit/Inspection/ Checklist	Site Safety Tours Health & Safety Committee Meeting Minutes	Complete A Site Safety Tour <b>X</b>

## 5.2 OH&S Policy

### \*Documented Information Requirement

Top management are responsible for establishing, implementing, and maintaining the organisation's OH&S policy. The policy is effectively a statement of intent which sets out the framework for the OH&S management system and outlines a set of commitments or key principles for achieving positive OH&S outcomes.

The standard places specific requirements for the inclusion of the following within the OH&S policy:

- Commitment to provide safe and healthy working conditions for the prevention of work-related injury and ill health.
- Framework for setting OH&S objectives.
- Commitment to fulfil legal and other requirements.
- Commitment to eliminate hazards and reduce OH&S risks.
- Commitment to the continual improvement of the OH&S management system.
- Commitment to consultation and participation of workers.

The OH&S policy must be relevant and appropriate to the organisation, be available as documented information, communicated within the organisation and be available to interested parties where appropriate.

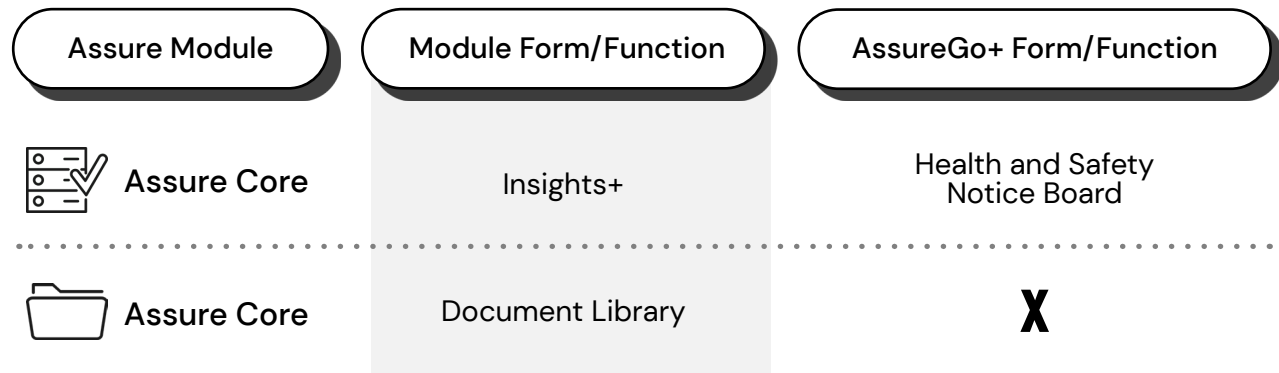
The OH&S policy must also be reviewed periodically by top management to ensure it remains relevant to the organisation's context.

### How Evotix Assure Can Support

Assure can support in the management of an organisation's OH&S policy, although the policy would be created outside of the system and the system used as a repository for workers and interested parties to access through AssureGO+.

Some key benefits Assure can offer here is embedded within its core functionality and the ability to demonstrate approval of the policy by top management and to schedule periodic reviews.

Many of the commitments stated within the OH&S policy can also be demonstrated throughout Assure and particularly within Insights+. For example, hazard reporting, risk reduction, incident root cause analysis, actions raised/closed etc.



## 5.3 Organisational Roles, Responsibilities and Authorities

### \*Documented Information Requirement

Whilst top management hold overall accountability and responsibility for the OH&S management system, it will need to assign responsibilities to workers at each level of the organisation for the aspects of the organisation which they have control.

Roles, responsibilities, and authorities should be clearly documented within processes, communicated, and integrated within job descriptions and designed with clear boundaries, considering areas of potential overlap, conflicting interests, or confusion. Roles, responsibilities, and authorities may also be represented visually within organisational charts.

Competence requirements should also be factored when establishing roles for supporting the OH&S management system to ensure workers with delegated responsibilities have the capacity and ability to fulfil their responsibilities.

The standard identifies two specific responsibilities and authorities which top management must delegate within the organisation:

- Ensuring the OH&S management system conforms to the requirements of ISO 45001.
- Reporting on the performance of the OH&S management system to top management.

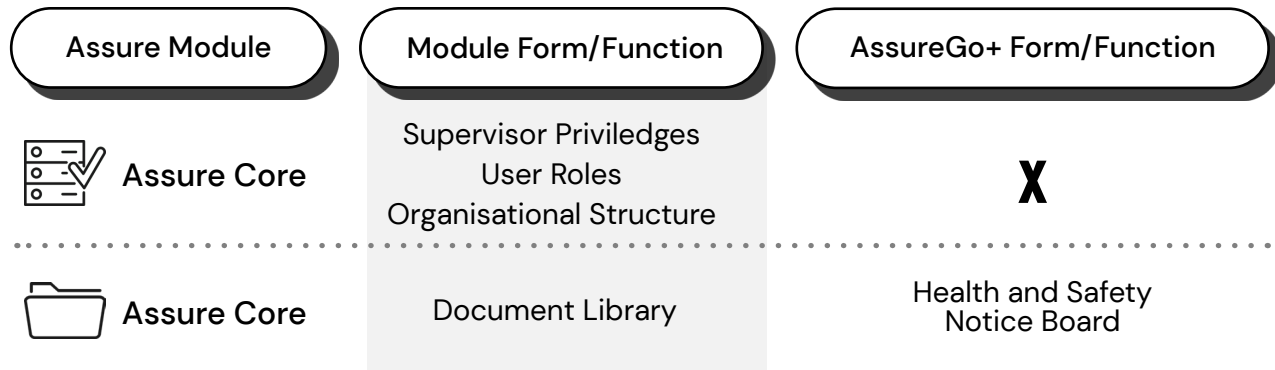
### How Evtix Assure Can Support

Core functionality within Assure provides an organisational structure whereby roles and responsibilities can be assigned against the different processes managed throughout the system. This can support workflows to ensure those with key responsibilities within the organisation are assigned actions, e.g., incident investigations, and those with the correct level of authority are engaged in the approval of OH&S processes.

Documented OH&S management processes can also be stored within Assure's document library, providing the same benefits as previously discussed with the OH&S policy.

#### Top Tip:

Consider the workflows within Assure when developing OH&S processes to ensure they are fully aligned with the system. It may be useful to visualise the process within a process map to highlight the automated workflow stages within the process.



## 5.4 Consultation and Participation of Workers

The consultation and participation of workers across all levels of the organisation is vital to the success of the OH&S management system. It involves ensuring clear lines of communication and processes for consultation and participation of workers are established, implemented, and maintained, supported by adequate time, training, and resources.

How an organisation determines the best approach to ensuring effective consultation and participation will depend largely on the context of the organisation. Where formal mechanisms such as health and safety committees are established, it is important that they receive the full support of top management.

Other mechanisms for establishing effective consultation and participation include:

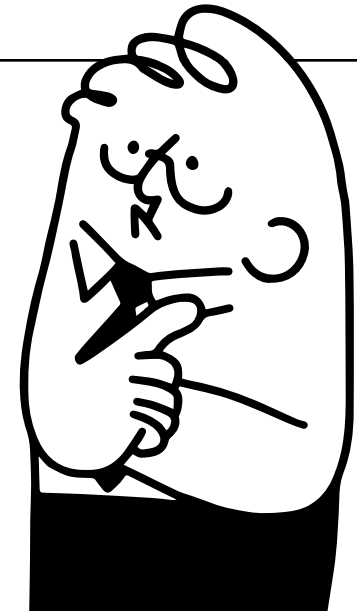
- Adding OH&S issues to the agenda of periodic management meetings
- Involving workers within the risk assessment process
- Providing workers with the ability to report hazards, near miss incidents, and hazards without fear of reprisals
- Providing effective channels of feedback to workers on OH&S issues raised
- Provision of training (e.g., health and safety induction) including workers outside of the organisation such as contractors and site visitors
- Encouraging suggestions from workers on the improvement of OH&S performance (e.g. you said, we did)
- Workshops, learning teams, focused team meetings, etc
- Provision of regular information and communications considering the needs of the workers (e.g. notice boards, newsletters, bulletins, safety alerts, etc)

### How Evotix Assure Can Support







There are many ways in which Assure can support in the consultation and participation of workers and whilst this list is not exhaustive it is intended to provide some useful suggestions on how effective consultation and participation may be evidenced.

AssureGO+ provides a means of establishing two-way communication with employees and relevant workers outside of the organisation. It can be used for accessing relevant OH&S documentation such as policies, procedures, risk assessments, work instructions, and safe systems of work, etc., and also for workers to report hazards, near miss incidents, and accidents as well as submit suggestions for OH&S improvements or accept responsibility for health and safety appointments, such as first aiders, fire marshals, health and safety committee members.

Assure can also be used to evidence the output of consultation and participation activities undertaken by the organisation (e.g., health and safety committee meetings) and manage any actions raised as a result of those activities.



# Leadership

Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 Assure Core	AssureGO+	<b>X</b>	Records
 Assure Core	Document Library	<b>X</b>	Health and Safety Notice Board
 Risk	Hazard Spotting	<b>X</b>	Report a Hazard
	Toolbox Talks	Dependent on Organisation	Dependent on Organisation
 Incident	Incident Record	Incident Investigation	Report An Incident Report A Near Miss
 People	Health and Safety Appointments	Appointment Acceptance	Health and Safety Appointments
	Person Register TNA – Course Library TNA – Job Roles Training Needs Analysis Training Records	<b>X</b>	<b>X</b>
 Audit		Site Safety Tours	Complete A Site Safety Tour
	Audit/Inspection/ Checklist	Health & Safety Committee Meeting Minutes	<b>X</b>
		Health and Safety Suggestions	Health and Safety Suggestions

# 6. Planning

Planning should not be a one-off event, but rather a continual process designed to anticipate and adapt to changing circumstances, risks and opportunities associated with the organisation's OH&S management system. It sets out the requirement for organisations to establish processes for:

- Hazard identification
- Assessment of risks and opportunities
- Determining legal requirements and other requirements
- Planning for the achievement of OH&S objectives



## 6.1 Actions To Address Risks and Opportunities

### \*Documented Information Requirement

This area of the standard is all about identifying hazards and planning action to address risks and opportunities which are relevant to the success of the OH&S management system so that they can be managed.

OH&S risks are associated with adverse events such as incidents or accidents and are calculated by multiplying the likelihood of the occurrence of an adverse event by the severity of injury or ill-health that could be caused.

OH&S opportunities, on the other hand, are a circumstance, or a set of circumstances which can lead to

improvement of OH&S performance. It is important that organisations consider both the risks that can affect OH&S performance and the management system as well as the opportunities which may improve them.

Organisations need to consider the risks and opportunities which arise from the internal and external issues identified in clause 4.1, the needs and expectations of workers and interested parties (clause 4.2), the scope of the OH&S management system (clause 4.3), and from legal obligations and other requirements (clause 6.1.3).

### Hazard Identification

The standard makes requirements for hazard identification processes to be established within the organisation which are ongoing and proactive, taking into account:

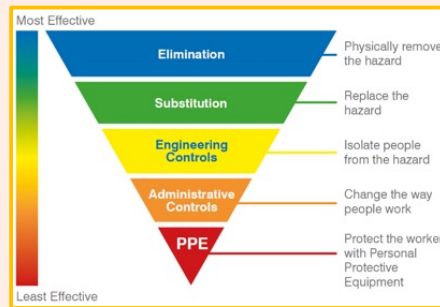
- Organisational factors
- Routine and non-routine activities
- Relevant historical data e.g., past incidents
- Potential emergency situations
- People potentially affected by the hazard
- Work design (workplaces, processes, machinery/equipment)
- Interaction of people and processes operating within close proximity of one another
- Situations not under the organisations control which may cause injury or ill-health to workers



## Assessment of Risks and Opportunities

The organisation will need to establish processes for the assessment of risks and opportunities from the identified hazards. Processes should identify risk assessment methodologies and criteria appropriate to the different types of hazards present within the organisation and include input from those workers exposed to the risk in the workplace.

Organisations need to apply the hierarchy of controls within their risk assessment approach to ensure the most effective measures are identified and implemented and that controls are proportionate to the level of risk present. They should also consider what the organisation's risk tolerance is and how this is documented and communicated to workers and other interested parties.



Risk matrices based on a simple calculation of the likelihood of the event and its severity of harm or success can provide a consistent and visual representation of the overall risk/opportunity level and provide guidance on what action needs to be taken depending on the outcome of the assessment.

		Severity (S)				
		1 No Injury	2 Minor Injury	3 Lost Time Injury	4 Severe Injury	5 Fatality
Likelihood (L)	1 Very Unlikely	1 Minimum Risk	2 Minimum Risk	3 Minimum Risk	4 Low Risk	5 Low Risk
	2 Unlikely	2 Minimum Risk	3 Low Risk	4 Low Risk	5 Moderate Risk	6 Moderate Risk
	3 Fairly Likely	3 Minimum Risk	4 Low Risk	5 Moderate Risk	6 Substantial Risk	7 Substantial Risk
	4 Likely	4 Low Risk	5 Moderate Risk	6 Substantial Risk	7 Substantial Risk	8 Moderate Risk
	5 Very Likely	5 Low Risk	6 Moderate Risk	7 Substantial Risk	8 Moderate Risk	9 Moderate Risk

## Determining Legal and Other Requirements

Many of the organisations legal and other requirements will depend on its context and the requirements can change over time so it is important that these are reviewed regularly.

### Legal requirements include:

- Regulations
- HSE approved codes of practice
- Permits or licences
- Enforcement action issued by the HSE or local authority

### Other requirements include:

- Requirements of customers, insurers, or parent organisations
- Voluntary adherence to sector or trade body guidance
- Agreements with workers and other interested parties
- Public commitments of the organisation

### The organisation needs to establish processes for:




- Determining its legal and other requirements
- Maintaining access to up-to-date information on the legal and other requirements that are applicable to its hazards, OH&S risks, and OH&S management system
- Determining the applicability of legal and other requirements and how these will be managed, including any actions needed
- Maintaining a documented register of the legal and other requirements applicable to the OH&S management system

## How Evotix Assure Can Support

Assure provides a complete risk management solution which includes processes for hazard identification, risk assessment, and recording and evaluating compliance obligations.

Incorporating core functionality, Assure can automate periodic legal reviews, support approval workflows for risk assessment and drive engagement through AssureGO+ to increase the awareness and visibility of hazards across the organisation.

Actions can be planned, raised, managed, and tracked through to completion to ensure control measures identified to reduce OH&S risks or required to comply with the organisation's legal and other requirements are implemented and reviewed for effectiveness.

Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 Assure Core	Task Manager Approval Manager Review Manager	<b>X</b>	<b>X</b>
 Incident	Incident Record	Incident Investigation	Report An Incident Report A Near Miss
	Hazard Spotting	<b>X</b>	Report a Hazard
	Compliance Review	Evaluation of Compliance	<b>X</b>
	Activity Risk Assessment	Method Statement	<b>X</b>
	Manual Handling Assessment	HSE MAC/RAPP/ARC	<b>X</b>
	Fire Risk Assessment	FRA 2020	<b>X</b>
 Risk	Legal and Other Requirements Register	<b>X</b>	<b>X</b>
	Compliance Breach	<b>X</b>	<b>X</b>
	COSHH Risk Assessment	<b>X</b>	<b>X</b>
	Job Hazard Analysis	<b>X</b>	<b>X</b>
	DSE Assessment	DSE Self-Assessment	DSE Self-Assessment
	General Risk	Dependent on Organisation	Dependent on Organisation



## 6.2 OH&S Objectives and Planning to Achieve Them

### \*Documented Information Requirement

Objectives should be established across relevant functions of the organisation and should support the continual improvement of the OH&S management system and OH&S performance. Objectives should take into account all applicable legal and other requirements, outcomes from the assessment of risks and opportunities, and the results of consultation with workers.

Objectives within the organisation need to be:

- Consistent with the OH&S policy
- Measurable where possible or evaluable
- Monitored, communicated, and updated where appropriate

Objectives should be SMART (specific, measurable, achievable, relevant, time-bound) and detail what will be done, the resources required, who is responsible, when it will be completed, how the results will be evaluated, and how the actions to achieve OH&S objectives will be integrated into business processes.

For example, where an objective is set to increase hazard reporting across the organisation, this would need to be followed up with actions to ensure:

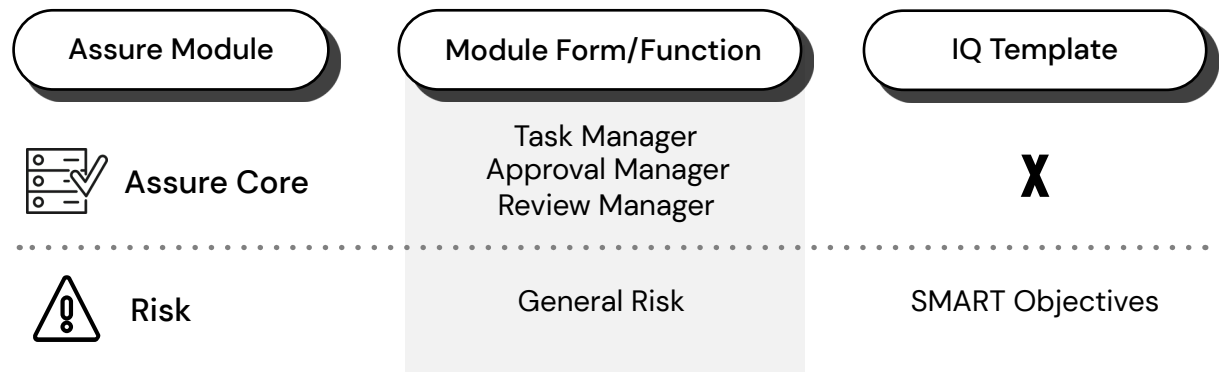
- Measurements for success are established (e.g. target % increase)
- Responsibilities are assigned (this can involve multiple stakeholders but overall responsibility should be assigned to those with the necessary authority within the organisation)
- Business processes are updated or established to support its achievement

### How Evotix Assure Can Support

OH&S objectives can be set and managed within the general risk area of Assure. Supported by Assure's core functionality, actions to support the achievement of OH&S objectives can be planned, assigned, monitored, and tracked through to completion.

Progress against OH&S objectives can be monitored to review their effectiveness through the use of system reports, home screen dashboards and Insights+.

Approval workflows for the completion of objectives can be used to demonstrate consultation, participation, and leadership commitment to the OH&S management system.



# 7. Support

This section of the standard sets out the key requirements which support the intended outcomes of the OH&S management system to ensure it runs effectively, is maintained, and continually improved.

## Top Tip:

Whilst leadership maintain overall accountability for allocating resource, responsibilities should also be allocated across the organisation to ensure that the required resources are actually applied where needed to support business processes and the intended outcomes of the OH&S management system.

## 7.1 Resources

It is vital that leadership fully support the allocation of resources towards achieving the intended outcomes of the OH&S management system and improving OH&S performance across the organisation.

The organisation must determine and provide the resources necessary to fulfill the requirements of the OH&S management system and its processes to ensure they are maintained and continually improved. Resources in this respect are not limited to financial costs, these may also include human, natural, technology, and infrastructure. Examples of infrastructure include:

- The organisation's buildings
- Plant and equipment
- Utilities
- Information technology and communication systems
- Emergency containment systems

The determination and allocation of resources should be continually reviewed to ensure they remain adequate and continue to support the maintenance of the OH&S management system and the continual improvement of OH&S performance.

## How Evotix Assure Can Support

Assure is a resource in itself which supports the maintenance and continual improvement of the organisation's OH&S management system. All modules within the system can be used to evidence how resources are allocated to support the OH&S management system.

Examples of this include the time and costs committed to the delivery of OH&S training; purchase and maintenance of plant, equipment, and PPE; purchase, maintenance, and testing of emergency equipment and procedures; appointment and training of workers to support with emergency arrangements (first aid, fire etc.); establish a safety committee and evidence meeting minutes and outputs.

Assure Module



All Assure Modules and Assure Core

Module Form/Function

All module forms and functions

## 7.2 Competence

### \*Documented Information Requirement

The improvement of OH&S performance is reliant on both the organisation and workers understanding what it means to be 'competent' and how this can be achieved and demonstrated.

ISO 45001 defines competence as the ability to apply knowledge and skills to achieve intended results on the basis of appropriate education, training, or experience. This includes the ability to carry out work activities in a way that protects the health and safety of workers as well as being able to spot hazards and assess risk.

The organisation needs to determine the necessary competence of workers under its control that affects or can affect its OH&S performance and develop processes for addressing actions on how competence will be achieved, monitored, maintained, and demonstrated. This should include, for example, the provision training, mentoring, coaching, and supervision etc.

#### Note:




This requirement is not limited to employees of the organisation, but also to workers operating under its control, such as agency workers and contractors.

### How Evotix Assure Can Support

Assure provides a complete training management solution with the ability to build required competency templates based on occupations or job roles which can be assigned to workers within the organisation. Training needs can be monitored for compliance and automated reminders can be issued to alert when training is due or has expired.

Training captured within this area of the system can range from technical competency certifications, health and safety training and internal process briefings or toolbox talks. Costs and time durations can also be applied here to provide visibility of resources provided to support competency in the organisation.

The Contractor management solution within Assure can be used to ensure that competence is factored within the supply chain procurement process, adequate health and safety induction training is provided, and competence is assessed during works.

Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 People	Person Register	X	X
	Training Needs Analysis (TNA)	X	X
	TNA - Course Library	X	X
	TNA - Job Roles	X	X
	Training Records	X	X
 Contractor	Contractor Induction	X	X
	Supplier/Contractor Register	Pre-Qualification Questionnaire	Pre-Qualification Questionnaire
	Task Monitoring	Dependent on Organisation	Dependent on Organisation
 Audit	Audit/Inspection/Checklist	Dependent on Organisation	Dependent on Organisation

## 7.3 Awareness

All workers, both internal and external to the organisation need to be aware and have a clear understanding of the requirements of the OH&S management system. It is crucial that workers become familiar with its policies and objectives and know what they must do to achieve their goals, including what happens if they do not adequately meet these requirements.

Awareness training should initially be provided prior to work commencing and be maintained through regular updates, communications, and access to relevant OH&S information, some examples of these include:

- OH&S policy and OH&S objectives
- Hazards associated with the working environment and activities (including any activities undertaken in close proximity to the working environment which may impact a worker's health and safety)
- How to report safety incidents (hazards, near misses, accidents, defects, etc.)
- Significant findings of risk assessments relevant to them
- Information on incidents and the outcome of investigations which are relevant to them
- The ability to remove themselves from dangerous situations and protection from undue repercussions




There are multiple methods for delivering and maintaining awareness of the OH&S management system within the organisation and these may include:

- Induction training
- Employee handbooks
- Risk assessment briefings
- OH&S Alerts / Bulletins
- Business updates

### How Evotix Assure Can Support

Health and safety induction training can be developed and delivered within Assure for all employees, both internal and external to the organisation. Assure's core functionality can be used to ensure that induction training is completed, approved, and reviewed periodically.

AssureGO+ can support in pushing information to workers, such as risk assessments, policies, and procedures as well as capturing confirmation of understanding where required.

Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 <b>Assure Core</b>	AssureGO+ Insights+	<b>X</b>	Document Library OH&S Notice Board Risk Assessments
 <b>People</b>	Person Register Health and Safety Induction	<b>X</b> Health and Safety Induction	<b>X</b> Health and Safety Induction
 <b>Contractor</b>	Contractor Induction	Contractor Induction	Contractor Induction

## 7.4 Communication

### \*Documented Information Requirement

Communication is crucial to the success of the OH&S management system and the organisation will need to determine its approach to internal and external communications by considering the following:

#### What will be communicated?

- OH&S policy and objectives
- Site rules
- How to raise concerns
- Risk assessments
- Roles and responsibilities
- Safe systems of work
- Committee meeting minutes
- Investigation outcomes
- OH&S performance
- Changes to the OH&S management system

#### When will it be communicated?

- During recruitment / procurement of contractors
- H&S induction sessions
- Daily briefings
- Safety committee meetings
- Reactively following an incident
- Periodic business updates
- Throughout management of change

#### To whom it is communicated?

- Top management
- Employees and their representatives (where present)
- Agency and temporary workers
- Contractors
- Suppliers
- Customers
- Interested parties identified in 4.2

#### How will it be communicated?

- Notice boards
- Safety alerts / bulletins
- Posters
- Videos
- Toolbox talks
- Email
- Website / intranet
- Newsletters
- Meetings / briefings

#### How Evotix Assure Can Support

Assure provides a variety of methods for communication which include:

- Publishing of documentation, policies, procedures, and risk assessments to AssureGO+
- Generating system, quick, and insights reports
- Automated email notifications, reviews, and approval workflows
- Scheduling proactive communications within the scheduled action manager

Assure Module

Module Form/Function



Assure  
Core

AssureGO+  
Insights+  
System/Quick Reports  
Scheduled Actions

Organisations should ensure that there is a clear policy on communication supported and endorsed by leadership, outlining the processes required for effective communication of the OH&S management system to workers and other interested parties.



## 7.5 Documented Information

### \*Documented Information Requirement

The extent of documented information required for the OH&S management system and its processes will vary depending on the size and complexity of the organisation. It is important that documentation is not created for its own sake, but instead be driven by what is required for managing OH&S effectively. This should include documentation to satisfy the requirements of ISO 45001 as well as to satisfy all relevant legal and other requirements the organisation adheres to.

The standard does not specify the format documented information should be captured in and organisations are free to use whatever format works for them, such as electronic spreadsheets, word documents, paper-based records, photographs, online videos etc.



### Creating and Updating

Documentation necessary for the OH&S management system should be uniquely identifiable and described. This can be as simple as providing a document title and reference number to ensure the correct document can be found when needed. More comprehensive approaches can include the development of a document management framework based on a hierarchical structure:

<b>Level 1</b>	OH&S Policy	Outlines a commitment to positive OH&S management
<b>Level 2</b>	OH&S Procedures	Defines who will do what and when
<b>Level 3</b>	Work Instructions	Describes how the procedures are carried out
<b>Level 4</b>	Records and Forms	Provides evidence of conformance towards the requirements of ISO 45001 and any applicable legal or other requirements

When creating documented information for the OH&S management system it is important to consider the language and literacy needs of its intended audience to ensure that an appropriate format and media is used. It is also important to ensure that, where required, documentation has been approved by leadership and is reviewed regularly to ensure it remains suitable and adequate.

## Control of Documented Information

Once the organisation has determined the level of documented information required for the OH&S management system it should ensure that it is available for all relevant workers as well as external interested parties when and where it is needed, and controls are in place to ensure documentation is protected. For example, from loss of confidentiality, proper use, or loss of integrity.

The organisation will need to ensure, where applicable, that arrangements for the distribution, access, retrieval, storage, preservation, legibility, and use of documentation is effectively maintained; changes to documentation are controlled and retained.

Control documented information also extends to documented information external to the organisation which has been deemed necessary for the planning and operation of the OH&S management system.

### Assure Module



All Assure Modules and Assure Core

### Module Form/Function

All module forms and functions

## How Evotix Assure Can Support

As with 7.1 Resources, all areas of Assure will support an organisation in the management of documented information for its OH&S management system.

Assure core functionality includes a document library which provides a centralised location for the storage of documentation. Approval workflows, automated reviews, and change logs can also be used to support the ongoing management and maintenance of documentation held within the system.

The document library supports the attachment of documentation directly within the system as well as hyperlinks to shared drives and external sources such as weblinks and documented information stored here can be published to AssureGO+, ensuring that relevant information is always accessible when and where it is needed.

As Assure will be used to support a number of key OH&S processes within the organisation's OH&S management system, any records created in support of these processes will also provide a source of documented information.

Permission settings within Assure will ensure that documented information is secure and accessible only to those which it is relevant, protecting the confidentiality and integrity of information held within the system.

# 8. Operation

Now that the organisation has determined the scope of its OH&S management system, identified the relevant hazards and associated actions to address risks and opportunities, it is time to start putting the plan into action.

This clause focuses on the operational planning and control required for the OH&S management system, including:

- Eliminating hazards and reducing OH&S risks
- Management of change
- Procurement (including contractors and outsourced activities)
- Emergency preparedness and response

## 8.1 Operational Planning and Control

### \*Documented Information Requirement

The standard requires that processes are established and controlled to enable the OH&S management system to achieve its intended outcomes. The processes required will differ between organisations however there are some processes which will be required to satisfy the requirements of the standard regardless of an organisation's size or complexity, these will include:

- Consultation, communication and participation of workers
- Hazard identification and risk assessment
- Determination and evaluation of compliance
- Contractor selection and management
- Management of change
- Incident reporting and investigation
- Emergency preparedness and response
- Performance monitoring and evaluation

The organisation will need to identify the criteria for each process, taking into account:

- The purpose and scope of the process including its boundaries and interaction with other processes
- Roles, responsibilities, and authorities required for implementing and maintaining the process
- Resources required to effectively implement and maintain the process (e.g. financial, training & competency, time, equipment, etc.)
- Documented information required to support the management of the process, and where necessary evidence compliance with legal and other requirements (e.g. risk assessments, manufacturer's instructions for equipment, training records, etc.)
- How changes to the process will be planned and controlled taking into account potential emergency situations and unplanned events

### Eliminating hazards and reducing OH&S risks

This element of the management system is where the actions to address risks and opportunities identified in clause 6.1 are implemented, using the hierarchy of controls to ensure that hazards are eliminated, or control measures applied to reduce the hazard to the lowest practicable risk.

This is not a 'one off' event, and control measures should be continually checked to ensure they work as well as intended or whether the risk can be reduced further.

Engineering controls, e.g., machinery guarding, fire alarms, gas detectors, etc. need to be checked regularly to ensure they are working properly as well as addressing administrative controls to check that workers are following work instructions and are not faced with excessive workloads or working to unachievable timeframes.

## Management of Change

Organisations need to ensure they have robust processes to plan for and manage any temporary and permanent changes as they occur. Changes may include:

- Changes in legislation
- Introduction of new activities, products, or services
- Changes to operating locations or work environments
- Introduction of new technology, materials, or equipment
- Changes to organisational structure, working conditions, or workforce

It is important to consider the impact any changes may have on the organisation's ability to achieve the intended outcomes of its OH&S management system, and this will include the need to:

- Identify hazards and plan actions to address associated risks and opportunities
- Identify and address any applicable legal and other requirements
- Implement actions to eliminate hazards or reduce OH&S risks as low as possible
- Update any affected procedures, communicate the changes and consider any training and awareness needs.

## Procurement

The procurement of products and services will be a requirement for any organisation at some stage and the standard requires that controls are in place to ensure purchased goods and services do not introduce hazards or expose workers, both internal and external, to risk of injury or ill-health.

ISO 45001 breaks procurement down into three specific areas of interest:

- Product safety
- Contractor management
- Outsourced activities

## Product Safety

Processes for procurement should consider any OH&S risks which products may introduce to the workplace and how these will be controlled and reduced to an acceptable level. Issues to consider at the pre-purchase stage include:

- Ensuring all relevant information on the hazards associated with the product has been provided and reviewed
- Identifying any hazards the product may introduce into the workplace, and associated actions to address any risks and opportunities
- Whether the product introduces new compliance obligations, legal or otherwise
- Whether a less-hazardous product is available which could deliver the same intended results
- Any applicable safety standards related to the product
- What information, instruction, and training is required for its safe handling, storage, transport, use, and maintenance where applicable

Once products have been purchased, it is important that processes are in place to ensure that before products are used:

- Equipment is delivered according to specification and tested to ensure they work as intended
- Installations function as designed and provided with a certificate of conformity where required
- Materials and substances are delivered according to their specifications
- Information, instruction, training regarding safe handling, storage, transport, use, and maintenance is communicated to all workers and others who could be affected.

## Contractors

Contractors can provide a valuable source of external support and many organisations will enlist the services of contractors to provide specialist services and expertise outside of the organisation's capabilities and competencies.

However, contractors can also introduce hazards within a workplace which can impact on the health and safety of themselves, the organisation's employees, and any other interested parties within the workplace.

It is important that the organisation has a robust process for the procurement and management of contractors which defines and applies occupational health and safety criteria for the selection of contractors and within contractual documentation to ensure the requirements of the OH&S management system are met by contractors and their workers.

This should incorporate a pre-qualification approval process whereby a contractor's competencies, capacity to deliver services, and OH&S performance can be assessed for suitability prior to appointing them to undertake work on the organisation's behalf.

It is also important that the organisation cooperates and shares relevant information with the contractor to ensure that all OH&S risks to contractors as a result of the organisation's activities or the organisation and any other interested parties as a result of the contractor's activities are identified and controlled. This should include establishing and communicating organisational rules as well as providing a suitable induction programme to support activities undertaken within the organisation's workplace.

## Outsourcing

Outsourced activities are those undertaken by external providers on behalf of the organisation which are integral to its functioning, fall within the scope of the OH&S management system, and are perceived by interested parties to be undertaken internally by the organisation. For example, bookkeeping, accounting, customer call centres, event management, etc.

As with contractors, the organisation remains responsible for ensuring that any outsourced functions and processes are controlled to ensure that arrangements are consistent with legal and other requirements and with achieving the intended outcomes of the OH&S management system.

The organisation will need to determine the degree of control to be applied to outsourced functions and processes within its OH&S management system. Factors to consider should include:

- The external organisation's ability to meet the requirements of the organisation's OH&S management system
- Its potential impacts on the organisation's OH&S performance and the extent to which the function or process is shared

Controls to support outsourced functions and processes will vary and should be proportionate to the level of risk to the organisation. An example of controls may include:

- Regular communications (meetings, newsletters, business updates, etc.)
- Supplier auditing, inspections, self-reporting
- Provision of information and training
- Supplier forums or committees

## How Evox Assure Can Support

All areas of Assure, along with Assure's core functionality will support in the planning and operation of the OH&S management system and many of the processes required for the maintenance and continual improvement of the OH&S management system will be built around and evidenced through the use of Assure.

This will ensure that process workflows within Assure are aligned with the organisation's processes to make sure the right people are engaged at the right stage of the process and any documented evidence is recorded and retained within a central location.

AssureGO+ also supports in providing a one stop solution whereby workers, contractors, and other interested parties can report hazards and incidents, complete tasks, checks, and inspections as well as access relevant OH&S information such as policies, procedures, risk assessments, and guidance.

Assure Module

Module Form/Function



All Assure  
Modules and  
Assure Core

All module forms  
and functions



## 8.2 Emergency preparedness and response

### \*Documented Information Requirement

The organisation needs to ensure it has processes in place to mitigate, prepare for and respond to any potential emergency situations arising from the hazards identified in clause 6.1.

The application of the hierarchy of controls within the risk assessment process should support a proactive approach to mitigating an emergency situation (e.g., the removal of ignition sources from explosive atmospheres) as well as identifying controls to minimise its impact (e.g. fire detection and fire-fighting equipment).

Emergency situation may arise in many forms and these can be a result of natural, technological, or man-made events, including:

- Fire and explosion
- Medical emergency (e.g., cardiac arrest, heart attack)
- Flooding
- Bomb threat / terrorist attack
- Chemical spillage / gas leak

Emergency response plans should be reflective of the potential emergency situations which could occur. They should be specific to the organisation's workplace, involve all relevant workers at every level of the organisation, and be coordinated with other interested parties (e.g., contractors or where a workplace is shared by more than one employer).

All relevant workers and interested parties should be trained on the emergency plan and consideration should be given to any additional training needs for workers who have been assigned specific responsibilities in effecting the emergency plan (e.g., fire marshals and first aiders, etc.).

Regular testing of emergency plans is crucial to raise awareness of the potential events within the organisation and to ensure the emergency procedures remain effective. This should also extend to the testing of

equipment intended to support the emergency plan (e.g., first aid equipment, defibrillators, fire alarms, fire extinguishers, emergency lighting, etc.).

Outcomes of testing should be recorded and feedback obtained from workers to support the continual improvement of the emergency plan. Testing of the organisations arrangements for emergency preparedness and response should also be checked within its OH&S management system internal audit plan.




### How Evtix Assure Can Support

Assure can support emergency planning within its risk management module, enabling the creation of emergency plans and personal emergency evacuation plans (PEEPs) as well as evidencing and obtaining feedback on the testing of emergency arrangements. Automated workflows, approvals and reviews will support in ensuring that emergency plans are endorsed by leadership within the organisation as well as remaining relevant and up to date.

Asset management within the system can be used to capture maintenance, servicing, inspections, and testing of equipment provided to aid emergency preparedness (fire alarms, fire extinguishers, emergency lighting, first aid equipment, etc.) and this can be supported through AssureGO+ and utilising QR code functionality to make the process quick and simple for end users.

Assure's people and training module will support in demonstrating the allocation of roles and responsibilities for supporting the organisation in effecting the emergency plan (first aiders, fire marshals, etc.) and evidencing and maintaining the training necessary for those who have been allocated such roles.

AssureGO+ can also be used to publish emergency plans and relevant information to ensure safety critical information is accessible to and shared with all workers and interested parties at all times.

Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 Risk	General Risk	Emergency Plan PEEP Emergency Drill Emergency Drill Feedback First Aid Needs Assessment	Emergency Plan PEEP Emergency Drill Emergency Drill Feedback First Aid Needs Assessment
	Health and Safety Appointments	Appointment Acceptance	Health and Safety Appointments
 People	Person Register TNA - Course Library TNA - Job Roles Training Needs Analysis Training Records	<b>X</b>	<b>X</b>
	Equipment Register	<b>X</b>	<b>X</b>
 Asset	Equipment Maintenance	Fire Alarm Call Point Test Fire Extinguisher Inspection Emergency Lighting Test	Fire Alarm Call Point Test Fire Extinguisher Inspection Emergency Lighting Test



# 9. Performance Evaluation

Once the OH&S management system has been planned and implemented it needs to be monitored. This clause sets out what is required by the organisation in order to effectively evaluate the organisation's OH&S performance against its OH&S management system and legal and other requirements as well as arrangements for undertaking internal audits and management reviews.

## Top Tip:

The frequency of active monitoring may be driven by legal and other requirements; for example, health surveillance for workers exposed to hazardous substances or inspections based on customer requirements etc. Outside of these requirements it is up to the organisation to determine the frequency of monitoring and measuring undertaken. However, where frequencies are stated within the OH&S management system, these must be complied with.

## Note:

Equipment utilised for the purpose of monitoring and measuring must be used and maintained as appropriate and, where required, calibrated, and verified.

## 9.1 Monitoring, measurement, analysis and performance evaluation

### \*Documented Information Requirement

Organisations need to ensure they have processes for checking the effectiveness of the OH&S management system's arrangements and ensuring that operational controls are working as expected.

It is not necessary to monitor and measure everything and the organisation should adopt a risk-based approach in determining what needs to be monitored to ensure the effectiveness and satisfy the requirements of:

- Operational controls relating to activities, hazards, risks, and opportunities
- Legal requirements and other requirements
- Progress against the organisation's OH&S objectives

Monitoring and measuring strategies should be both active and reactive in its approach to provide a holistic view of OH&S performance across the organisation.

Active monitoring is proactive and preventative in nature. Its purpose is to monitor arrangements to identify where things could go wrong so corrective actions can be implemented before they do.

Examples of active monitoring include:

- Inspections
- Equipment maintenance
- Hazard Reporting
- Health Monitoring
- Leadership tours
- Exposure monitoring

Reactive monitoring is investigative in nature and seeks to understand the root cause of issues when things have gone wrong so corrective actions can be identified and implemented to prevent a reoccurrence. Examples of reactive monitoring include:

- Investigation of incidents and accidents
- Cases of ill-health/sickness absence
- Non-conformances/compliance breaches

The organisation also needs to determine the methods used for monitoring, measuring, analysis, and performance evaluation to ensure results are valid and reliable as well as set the criteria which will be used to evaluate its OH&S performance. The results of monitoring should be shared with all relevant workers and other interested parties and the organisation will need to determine when and how this will be communicated.

# Performance Evaluation

## Evaluation of Compliance

The organisation needs to ensure it has processes in place for evaluating compliance with the legal requirements and other requirements identified in clause 6.

Evaluation of compliance is an ongoing process and its frequency should be determined by the organisation, however this should be undertaken at least annually or more frequently based on:

- The introduction of new legal requirements or other requirements
- Changes to existing legal requirements or other requirements
- Changes to operating activities
- Changes to operating locations

There is a wide range of methods and sources of information to support the maintenance of an organisation's knowledge and understanding of its compliance status.

Internally, this will include the results of audits and inspections, incidents, and non-conformances.





Externally, this may include information from sources such as:

- Health and Safety Executive
- Legislation.gov.uk
- Governmental bodies
- Non-government organisations
- National and international standards
- Trade associations and industry bodies

Action must be taken to address the root causes of any non-conformances identified throughout the evaluation process to ensure compliance is effectively maintained.

### Top Tip:

Whilst leadership maintain overall accountability for allocating resource, responsibilities should also be allocated across the organisation to ensure that the required resources are actually applied where needed to support business processes and the intended outcomes of the OH&S management system.

	Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 Risk		Legal and Other Requirements Register	Evaluation of Compliance	X
 Asset		Equipment Maintenance	"Calibration of Relevant Equipment"	X
		Equipment Register	X	X
 Audit		Audit/Inspection/Checklist	Dependent on Organisation	Dependent on Organisation
 Incident		Incident Record	Incident Investigation	Report An Incident Report A Near Miss

## How Evtix Assure Can Support

There are multiple areas of Assure which support with monitoring, measurement, analysis, and performance evaluation of the OH&S management system.

Risk management within Assure provides a location for a legal requirements and other requirements register in which actions can be raised and monitored to ensure compliance is maintained. Automated review processes can also ensure legal requirements and other requirements are regularly monitored, evaluated for compliance, and updated where necessary.

Audit management, supported by Assure's IQ template builder and AssureGO+ ensures that any audit, inspection, or checklist which is

required for the OH&S management system can be created and accessed easily across the organisation.

Asset management ensures that any equipment required for the purpose of monitoring and measuring is effectively maintained and calibrated as necessary.

Insights+ dashboard reporting allows for monitoring results and incident data to be interrogated and analysed, identifying trends, and tracking the status of corrective actions raised as a result of non-conformances.



## 9.2 Internal Audit

### \*Documented Information Requirement

Internal audits provide an effective way for organisations to assess their OH&S performance against their own OH&S management system requirements, OH&S policy and objectives, and the requirements of ISO 45001. This will provide assurance that the organisation's processes are effectively implemented and maintained as well as identify areas of non-conformance.

An internal audit programme needs to be established and maintained by the organisation to ensure audits are planned and carried out by people who are impartial to the process being audited and understand what they are auditing.

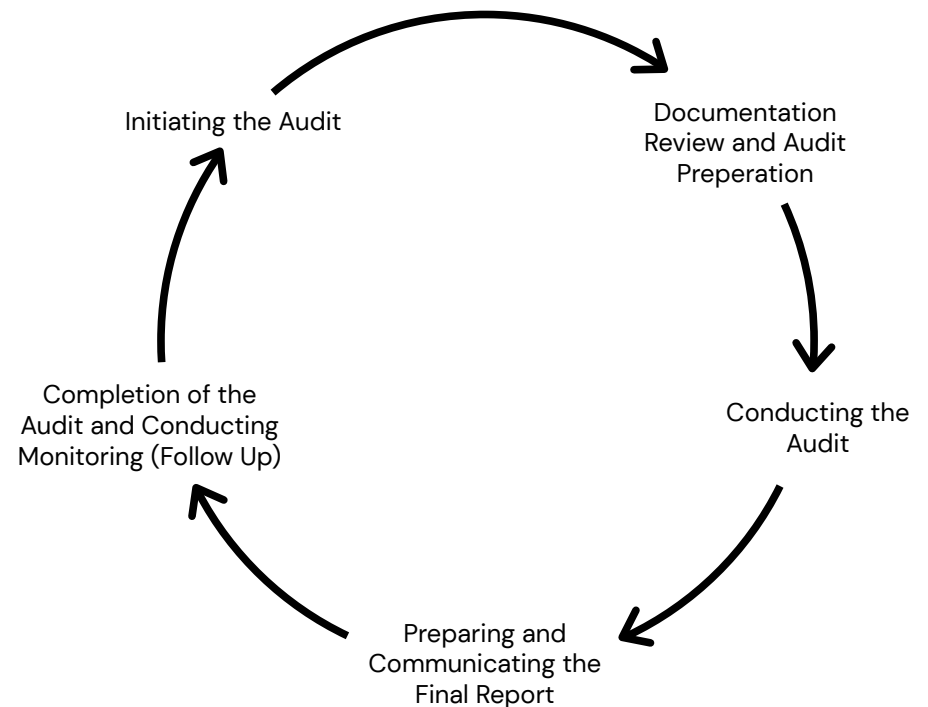
The audit programme should define the following:

- Frequency of audits
- Auditing methods (Document reviews, site inspections, employee interviews, etc)
- Responsibilities for conducting the audits
- Consultation with employees and other relevant interested parties
- Planning and reporting requirements
- Audit criteria and scope for each audit

The standard does not prescribe the required frequency for internal audits and this will vary depending on the size and complexity of each organisation. However, the programme should aim to ensure all processes relevant to the OH&S management system as well as the requirements of the ISO 45001 framework are audited in regular intervals.

Where non-conformances or opportunities for improvement are identified within the audit process, the organisation will need to take action to ensure the continual improvement of the OH&S management system.

The results of internal audits should be reported to top management for review within the management review process and communicated to relevant managers, workers, and any other relevant interested parties.



## How Evotix Assure Can Support



Internal audits can be developed within Assure utilising its IQ template builder, these can then be published to the audit management area of the system, assigned to auditors and scheduled for completion.

Approval processes within Assure can support in the review and approval of audit reports and notifications can be triggered to auditees once the report has been finalised within the system.

Action management ensures that all actions raised as a result of non-conformances and opportunities for improvement can be tracked to completion and monitored for effectiveness.

Insights+ provides visibility of all audit data, providing a holistic view of audit performance across the organisation to support strategic decision making within management review meetings.

All other areas of Assure will also support the internal audit process as this will be a repository of evidence relating to OH&S processes which are managed within the system.

Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 Audit	Audit/Inspection/Checklist	ISO 45001 Internal Audit	<b>X</b>
 Assure Core	Scheduled Actions Approvals Task Management Insights+	<b>X</b>	<b>X</b>
	Project	Non-Conformance Report	<b>X</b>

## 9.3 Management Review

### \*Documented Information Requirement

The management review is essential to the continual improvement of the OH&S management system. It is here where top management will conduct a strategic and critical evaluation of the organisations OH&S performance to ensure the OH&S management system remains suitable, adequate, and effective.

Management reviews should be undertaken at least annually covering all of the meeting agenda items specified within ISO 45001. However, many organisations choose to carry these out on a more frequent basis to track performance of the OH&S management system against OH&S objectives. In this instance, the meeting agenda may be reduced, provided all items are covered across the year.

The outputs of the management review should include decisions, supported by top management, which aim to ensure the ongoing suitability, adequacy, and effectiveness of the organisation's OH&S management system, capitalise on any improvement opportunities, and plan for any required changes to the OH&S management system. This should include consideration of resources and any actions required to address outputs the of the management review.

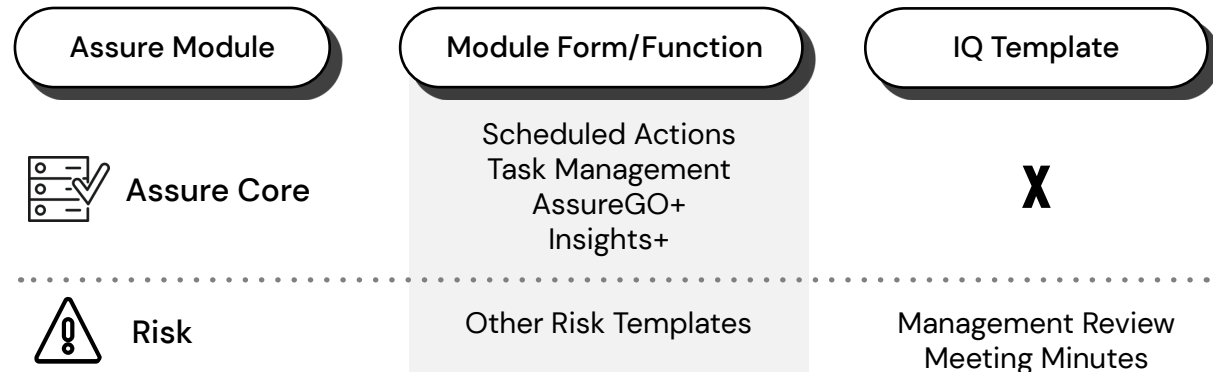
Outputs of management reviews should be documented and communicated to relevant workers and worker representatives where applicable.

### How Evotix Assure Can Support

Management review meetings can be scheduled and minutes recorded within Assure. Insights+ can provide a holistic view of OH&S performance across the organisation to support in strategic decision making relating to the effectiveness of the OH&S management system.

Assure's task management can be utilised to ensure outputs from management reviews are raised, tracked to completion, and reviewed for effectiveness.

Management review meeting minutes can also be published to AssureGO+ and shared with workers across the organisation.



# 10. Improvement

This clause introduces the 'Act' element of the plan, do, check, act management cycle and focuses on managing the outcomes of monitoring, incidents, and non-conformances to drive continual improvement of the organisation's OH&S management system.

## 10.1 General

The standard requires that the organisation determines opportunities for improvement based on the results of performance evaluation and implement any actions necessary to achieve the intended outcomes of the OH&S management system.

The organisation should consider results from analysis and evaluation of its OH&S performance, evaluation of compliance, internal audits, and management reviews when taking actions to improve its performance.

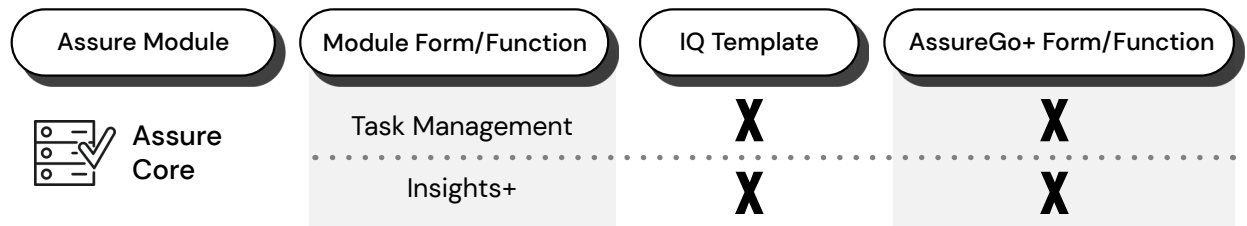
### How Evotix Assure Can Support

Assure's business intelligence tool, Insights+ provides an overview of OH&S performance. From the results of audits and inspections, incidents, risk assessments and action management, the organisation will have full oversight of where opportunities for improvement exist within the OH&S management system.

Assure's task management will then ensure that actions taken to improve the OH&S management system can be assigned, tracked through to completion and assessed for effectiveness.

#### Top Tip:

Improvements to the OH&S management system are not always dependant on non-conformances. For example, an opportunity for improvement may arise during the course of a safety committee meeting or as a result of worker feedback and the organisation should ensure its processes for improvement consider how to improve its OH&S management system based on all inputs and opportunities.



## 10.2 Incident, nonconformity & corrective action

### \*Documented Information Requirement

The organisation must have a process for reporting, investigating, and taking action to address incidents, non-conformances, and their consequences. Separate processes may exist for incident investigations and non-conformance reviews, or these may be combined as a single process. Either way, it is crucial that root cause analysis is carried out on the incident or non-conformance so that appropriate action can be taken to prevent a reoccurrence.

Examples of incidents and non-conformances include:

#### Incidents

- Near miss events
- Injuries
- Ill-health
- Damage to property or equipment which could lead to OH&S risks

#### Nonconformances

- Protective equipment not functioning properly
- Breach of legal requirements
- Processes or procedures not being followed
- Unsafe behaviours

The standard requires that incidents and non-conformances are dealt with in a timely manner and the organisation should take action to contain and control the outcome of the incident or non-conformance as well as deal with the consequences.

The process must also evaluate, with the participation of workers and other relevant interested parties, the need for corrective action to address the root cause of the incident or non-conformance to ensure that it does not reoccur or occur elsewhere in the organisation by:

- Investigating the incident or reviewing the non-conformance
- Finding out what caused the incident or non-conformance
- Reviewing whether similar incidents have occurred previously or elsewhere
- Identifying whether non-conformances exist or could potentially occur

In addition to this, the organisation should:

- Review existing OH&S risk assessments (clause 6.1)
- Determine and implement any action or corrective action needed in accordance with the hierarchy of control and management of change (clause 8.1)
- Assess new OH&S risks relating to new or changed hazards
- Review the effectiveness of any action taken, including corrective action
- Make changes to the OH&S management system where required

Corrective actions taken by the organisation should be proportionate to the effects or potential effects of the incident or non-conformance encountered and the results of any actions and corrective actions taken should be communicated with relevant workers and other interested parties.









## How Evotix Assure Can Support

Assure supports the effective management of incidents and non-conformances as well as providing a task management solution for the effective assigning and management of actions and corrective actions.

Assure's IQ template builder can provide multiple methods of conducting root cause analysis within the system with 5 whys and root cause tree methodologies built within the system as standard.

Risk assessments can be reviewed and updated following incident investigations or non-conformance reviews to ensure OH&S risks remain current across the organisation and the implementation of newly identified control measures can be managed and monitored for effectiveness within Insights+, which can also provide oversight and business assurance on the effectiveness of corrective actions on addressing the root causes of issues raised within the system.

Assure Module	Module Form/Function	IQ Template	AssureGo+ Form/Function
 Assure Core	Project	Non-Conformance Report	<b>X</b>
	Insights+	<b>X</b>	<b>X</b>
 Incident	Incident Record	Incident Investigation	Report An Incident Report A Near Miss
 Audit	Audit/Inspection/Checklist	ISO 45001 Internal Audit Dependent on Organisation	<b>X</b> Dependent on Organisation
 Contractor	Task Monitoring	Task Monitoring	Task Monitoring
	Supplier Appraisal	Supplier Appraisal	<b>X</b>

## 10.3 Continual Improvement

### \*Documented Information Requirement

The organisation needs to demonstrate continual improvement of the suitability, adequacy, and effectiveness of its OH&S management system with a focus to improving OH&S performance and the culture which supports it.

Examples of continual improvement include:

- Enhancing OH&S performance
- Promoting a culture which provides support to the OH&S management system
- Promoting the participation of workers in the identification and implementation of actions for the continual improvement of the OH&S management system
- Communicating the relevant results of continual improvement to workers and other relevant interested parties.
- Maintaining and retaining documented information as evidence of continual improvement

Examples of continual improvement opportunities include:

- New technology
- Good practices that arise internally within the organisation and externally to the organisation
- Suggestions and recommendations from interested parties
- New knowledge and understanding of OH&S related issues
- New or improved materials
- Changes in worker capabilities or competence
- Achieving improved performance with fewer resources

### How Evotix Assure Can Support

Insights+ within Assure provides a single location whereby all information relating to the continual improvement of the organisations OH&S management system can be viewed and interrogated.

This allows for the integration of 'cross-module' data to provide a holistic view, combining both lagging and leading indicators to provide a complete overview of OH&S performance against key performance indicators, industry benchmarks, or organisational targets and objectives.

Assure Module



Assure  
Core

Module Form/Function

Insights+

# Assure Requirements

	ISO 45001 Clause	Core	Risk	Incident	People	Assets	Audit	Contractor
Plan	4.1 Understanding the Organisation 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	✓						
	5.1 Leadership and commitment	✓	✓	✓	✓		✓	
	5.2 OH&S policy	✓						
	5.3 Organisational roles, responsibilities and authorities	✓						
	5.4 Consultation and participation of workers	✓	✓	✓	✓		✓	
	6.1 Actions to address risks and opportunities	✓	✓	✓				
	6.2 OH&S objectives and planning to achieve them	✓	✓					
	7.1 Resources	✓	✓	✓	✓	✓	✓	✓
	7.2 Competence	✓			✓		✓	✓
	7.3 Awareness	✓			✓		✓	✓
	7.4 Communication	✓						
	7.5 Documented information	✓	✓	✓	✓	✓	✓	✓
Do	8.1 Operational planning and control	✓	✓	✓	✓	✓	✓	✓
	8.2 Emergency preparedness and response	✓	✓			✓		
Check	9.1 Monitoring, measurement, analysis and performance evaluation	✓				✓	✓	
	9.2 Internal audit	✓					✓	
	9.3 Management review	✓	✓					
Act	10.1 General	✓						
	10.2 Incident, nonconformity and corrective action	✓		✓			✓	✓
	10.3 Continual improvement	✓						