# ISO 45001:2018 Lead Auditor Training Course

Training Material

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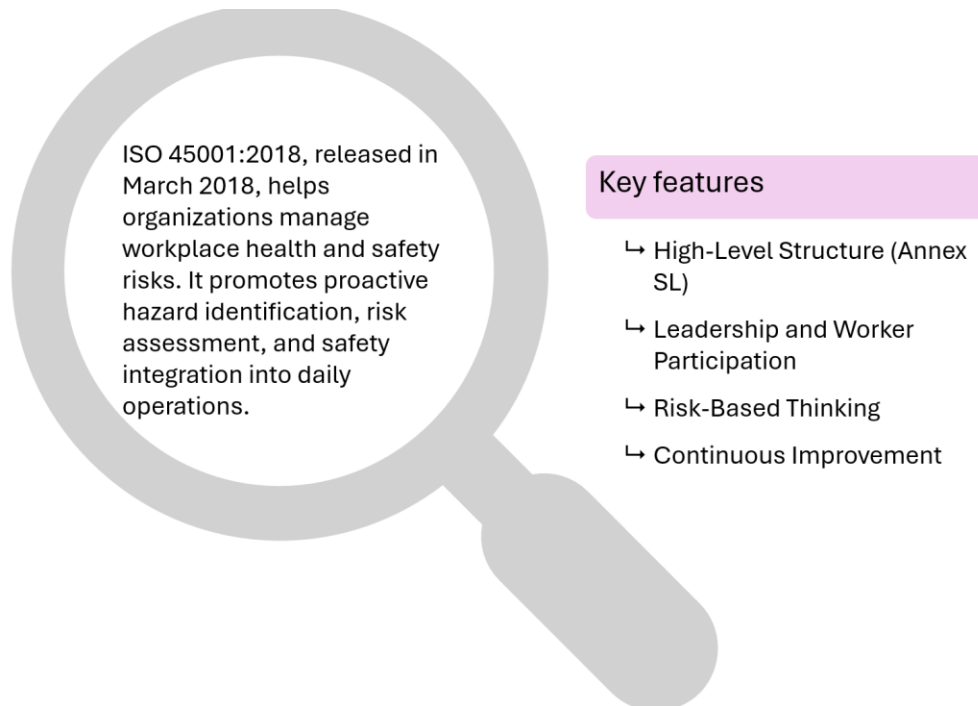
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# Module 1: Introduction, Overview and Fundamentals of ISO 45001:2018

ISO 45001:2018 is the first international standard for Occupational Health and Safety Management Systems (OHSMS), developed to help organizations proactively improve employee safety, reduce workplace risks, and create better, safer working conditions. It replaces the earlier OHSAS 18001 standard and aligns with other ISO management system standards like ISO 9001 and ISO 14001 through the Annex SL framework.

ISO 45001:2018, released in March 2018, helps organizations manage workplace health and safety risks. It promotes proactive hazard identification, risk assessment, and safety integration into daily operations.

Key features

↳ High-Level Structure (Annex SL)

↳ Leadership and Worker Participation

↳ Risk-Based Thinking

↳ Continuous Improvement

## What Is ISO 45001:2018?

Published in March 2018, ISO 45001:2018 provides a structured approach for organizations to manage occupational health and safety risks and opportunities. It emphasizes a proactive approach to hazard identification and risk assessment, integrating safety into the organization's overall management processes.

### Key Features of ISO 45001:2018

- **High-Level Structure (Annex SL):** Facilitates integration with other ISO management system standards.

- **Leadership and Worker Participation:** Emphasizes top management's active role and promotes employee involvement in the OHSMS .

- **Risk-Based Thinking:** Encourages organizations to identify and address potential hazards before they cause harm.

- **Continuous Improvement:** Utilizes the Plan-Do-Check-Act (PDCA) cycle to foster ongoing enhancement of the OHSMS.

## ISO 45001:2018 Lead Auditor Training Course Overview

The ISO 45001:2018 Lead Auditor Training Course is designed to equip professionals with the knowledge and skills necessary to conduct first, second, and third-party audits of Occupational Health and Safety Management Systems. The course typically covers:

- **Understanding ISO 45001:2018 Requirements:** In-depth study of the standard's clauses and their application.

- **Audit Principles and Practices:** Training on audit planning, execution, reporting, and follow-up in accordance with ISO 19011 guidelines.

- **Leadership and Communication Skills:** Developing competencies to lead audit teams and effectively communicate findings.

- **Practical Exercises:** Engaging in role-plays and case studies to apply auditing techniques in real-world scenarios.

- **Certification Examination:** Assessing participants' understanding and ability to apply audit principles and ISO 45001 requirements.

Successful completion of the course and examination can lead to certification as an ISO 45001 Lead Auditor, demonstrating proficiency in auditing OHSMS.

## Why Pursue ISO 45001:2018 Lead Auditor Training?

- **Enhance Professional Competence:** Gain a comprehensive understanding of OHSMS auditing processes and ISO 45001 requirements.

- **Career Advancement:** Certification as a Lead Auditor can open opportunities for roles in compliance, consultancy, and auditing.

- **Organizational Benefit:** Apply auditing skills to help organizations improve their health and safety performance and achieve ISO 45001 certification.

Embarking on the ISO 45001:2018 Lead Auditor Training Course is a strategic step for professionals aiming to contribute to safer workplace environments and advance their careers in occupational health and safety management.

# Introduction to ISO 45001:2018 – Occupational Health and Safety Management Systems

ISO 45001:2018 is an internationally recognized standard that helps organizations provide safe and healthy work-places by preventing work-related injuries and ill health and Improving OH&S performance.

## Key Objectives of ISO 45001:2018:

⚠️ **Prevent Injury and Ill Health**

🚫 **Eliminate Hazards and Minimize OH&S Risks**

💡 **Exploit OH&S Opportunities**

👥 **Address Nonconformities and Improve Systematicallly**

🌐 **UNIVERSAL APPLICABILITY**
Relevant to all organizations, activities, locations

☑️ **ALIGNEMT WITH COMPLIANCE**
National & international legal obligations

👷 **WORKER-CENTRIC APPROACH**
Participation and consultation of workers

ISO 45001:2018 is an internationally recognized standard that establishes the requirements for an **Occupational Health and Safety Management System (OHSMS)**. Its primary purpose is to enable organizations—regardless of size, type, or sector—to provide **safe and healthy workplaces** by **preventing work-related injuries and ill health**, and by **proactively improving OH&S performance**.

This standard represents a shift from reactive to **preventive management of risks**. It offers a framework that integrates OH&S into the core of business operations and strategic direction, ensuring that safety is not treated as an isolated function, but as a central element of organizational success.

## Key Objectives of ISO 45001:2018:

- **Prevent Injury and Ill Health**: By identifying and controlling workplace hazards before they cause harm.

- **Eliminate Hazards and Minimize OH&S Risks**: Through systematic processes and continuous evaluation.

- **Exploit OH&S Opportunities**: Such as adopting new technologies, improving processes, or enhancing worker well-being.

- **Address Nonconformities and Improve Systematically**: Promptly addressing issues and taking actions that lead to sustained improvement.

## Universal Applicability:

ISO 45001:2018 is designed to be **applicable to all organizations**, regardless of their activities, scale, or geographical location. It is adaptable to diverse cultural, legal, and regulatory environments. The standard is **not prescriptive** in terms of specific safety performance criteria;

instead, it focuses on establishing a **systematic approach** that is flexible and responsive to the organization's context.

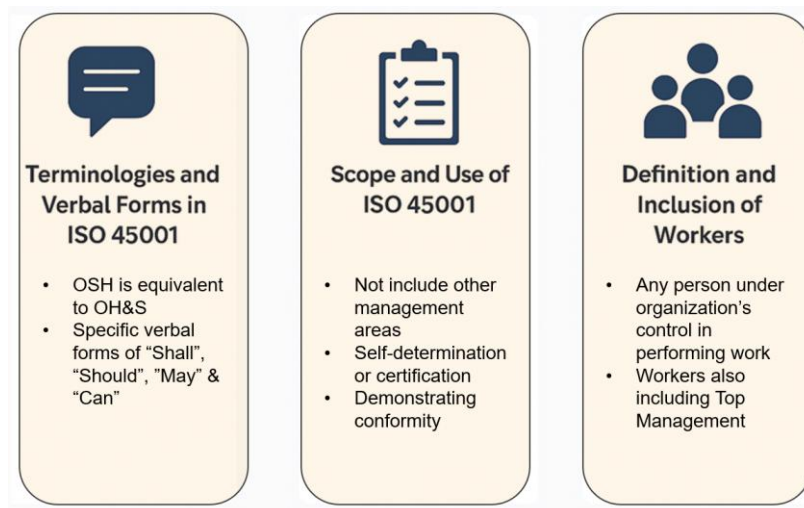## Alignment with Compliance and Legal Obligations:

The standard supports organizations in achieving compliance with national and international **legal requirements and other obligations** related to occupational health and safety. It guides them in:

- Understanding applicable OH&S regulations

- Integrating compliance into operational planning

- Demonstrating conformity to stakeholders and authorities

## Worker-Centric Approach:

A central feature of ISO 45001 is the emphasis on **worker participation and consultation**. Workers are not only the recipients of the system's outcomes but are also active contributors to its development and improvement. This participatory approach increases ownership, encourages reporting of hazards, and enhances overall safety culture.

# Fundamental Concepts and Scope of ISO 45001



**Terminologies and Verbal Forms in ISO 45001**
- OSH is equivalent to OH&S
- Specific verbal forms of "Shall", "Should", "May" & "Can"

**Scope and Use of ISO 45001**
- Not include other management areas
- Self-determination or certification
- Demonstrating conformity

**Definition and Inclusion of Workers**
- Any person under organization's control in performing work
- Workers also including Top Management

## 1. Key Terminologies and Verbal Forms in ISO 45001

- The terms **"Occupational Health and Safety (OH&S)"** and **"Occupational Safety and Health" (OSH)"** have the same meaning.

- The term **"worker"** includes **top management**, and covers **both managerial and non-managerial persons** (Clause 3.3 & Note 2).

- ISO 45001 uses specific verbal forms:
    - **"Shall"** = a requirement
    - **"Should"** = a recommendation
    - **"May"** = a permission
    - **"Can"** = a possibility or capability

## 2. Scope and Use of ISO 45001

- ISO 45001 **does not include** requirements for other management areas (e.g., quality, environment, finance), though it can align with them.
- The document provides **requirements for implementing and assessing** an OH&S management system.
- Organizations can demonstrate conformity through:
    - Self-determination and self-declaration
    - External confirmation from interested parties
    - Third-party verification
    - Certification/registration by an external body

## 3. Definition and Inclusion of Workers

- A **worker** is any person performing work or work-related activities **under the organization's control**.
- This includes **employees, contractors, agency workers**, and others (paid or unpaid, temporary or permanent).
- **Top management is also considered a worker**, highlighting their responsibility in OH&S.

## What ISO 45001 Is Not: Scope Limitations and Clarifications



1) **ISO 45001 does not prescribe specific criteria for OH&S performance or dictate the design of an OH&S management system.**
Instead, the standard emphasizes that each organization must tailor its OH&S management system to its unique context and needs in preventing work-related injuries and ill-health. For example, a small business with low risks may require only a simple system, whereas a large organization facing high-risk activities may need a more complex approach. The key requirement is that the system must be appropriate to the organization and effective in practice.

2) **ISO 45001 does not cover areas such as product safety, property damage, or environmental impacts unless they pose a risk to worker health and safety.**
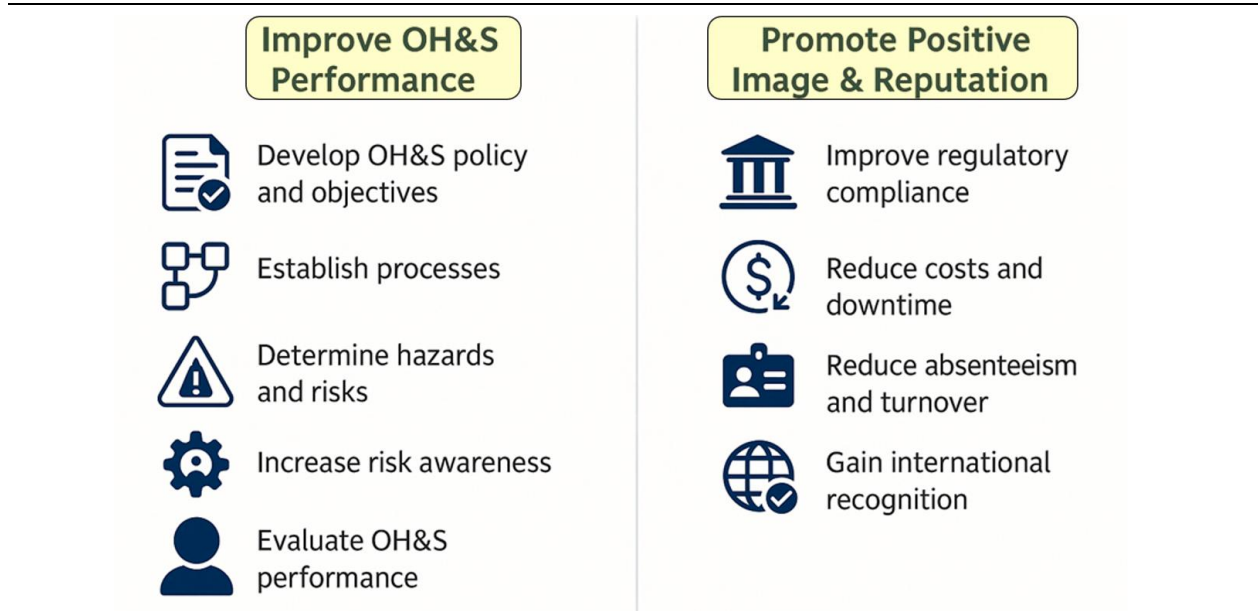These issues fall outside the scope of ISO 45001 unless they directly impact the occupational health and safety of the organization's workforce. The focus of the standard remains strictly on risks and opportunities related to worker health and safety.

3) **ISO 45001 is not a legally binding regulation, but a voluntary management standard.**
It is designed as a practical tool to help organizations—ranging from small and medium-sized enterprises (SMEs) to large corporations—proactively manage occupational health and safety risks. The goal is to eliminate or minimize the potential for harm, but adoption and implementation remain voluntary unless mandated by legal or contractual obligations.

## What will be the benefits of using ISO 45001?

**Improve OH&S Performance**

- Develop OH&S policy and objectives
- Establish processes
- Determine hazards and risks
- Increase risk awareness
- Evaluate OH&S performance

**Promote Positive Image & Reputation**

- Improve regulatory compliance
- Reduce costs and downtime
- Reduce absenteeism and turnover
- Gain international recognition

An ISO 45001 based OH&S management system will enable an organization to improve its OH&S performance by:

- developing and implementing an OH&S policy and OH&S objectives

- establishing systematic processes which consider its "context" and which take into account its risks and opportunities, and its legal and other requirements

- determining the hazards and OH&S risks associated with its activities; seeking to eliminate them, or putting in controls to minimize their potential effects

- establishing operational controls to manage its OH&S risks and its legal and other requirements

- increasing awareness of its OH&S risks

- evaluating its OH&S performance and seeking to improve it, through taking appropriate actions

- ensuring workers take an active role in OH&S matters

In combination these measures will ensure that an organization's reputation as a safe place to work will be promoted, and can have more direct benefits, such as:

- improving its ability to respond to regulatory compliance issues

- reducing the overall costs of incidents

- reducing downtime and the costs of disruption to operations

- reducing the cost of insurance premiums

- reducing absenteeism and employee turnover rates

- recognition for having achieved an international benchmark (which may in turn influence customers who are concerned about their social responsibilities)

## Key Areas of ISO 45001:2018

| 1 Structure of International Standard | 2 Organizational Context | 3 Understanding Needs of Interested Parties | 4 Leadership |
|---|---|---|---|

| 5 Worker Participation | 6 Hazard Identification/ Assessment of Risk | 7 Planning | 8 Need to Prevent Ill-Health/Injuries |
|---|---|---|---|

| 9 Documented Information | 10 Outsourcing, Procurement & Contractors | 11 OH&S Performance Evaluation |
|---|---|---|

### 1. Structure of International Standard (High Level Structure)

- Foreword
- Introduction
  - o Background
  - o Aim of OH&S Management System
  - o Success Factors
- Requirements
  - o Scope
  - o Normative References
  - o Terms & Definitions
  - o Context of the Organization
  - o Leadership & Worker Participation
  - o Planning
  - o Support
  - o Operation
  - o Performance Evaluation
  - o Improvement
- Annex A: Guidance on use of this International Standard
- Bibliography
- Alphabetical Index of Terms

## 2. Organizational Context (Clause 4)

Understanding the organization and its context is essential to establish, implement, maintain, and continually improve an OH&S management system. The context review should be used to:

- Understand and determine **internal and external issues** (positive or negative) that may impact the OH&S management system's ability to achieve its intended outcomes.

- **Determine risks and opportunities** that need to be addressed.

- Support the development or enhancement of the **OH&S Policy and objectives**.

- Achieve a **high-level understanding of the needs and expectations** of workers and other interested parties (including differences between managerial and non-managerial workers).

- Consider factors such as:

    o **Cultural, social, political, legal, financial, technological, economic, and environmental conditions**

    o **Changes in legal and regulatory requirements**

    o **Workplace conditions, labor practices, or supply chain issues**

    o **Strategic direction and organizational goals**

    o **Industry trends and sector-specific factors**

**Note**:

- These contextual issues can originate from **Internal Context** (e.g. values, governance, resource capabilities) and **External Context** (e.g. market dynamics, legislation, socio-political climate).

- They can lead to new **risks and opportunities** for the OH&S management system.

## 3. Understanding Needs of Interested Parties (Clause 4)

- Needs & Expectations of both managerial & non-managerial workers & workers representatives (where they exist)

- Affect OH&S management system or which perceive themselves to be affected by OH&S system (A.4.2)

- Worker & as appropriate workers' representatives

- Legal & Regulatory authorities

- Parent Organization

- Suppliers, co-contractors & subcontractors

- Workers' organizations (trade unions) and employers' organizations

- Owners, shareholders, clients, visitors, local community, neighbors, general public

- Occupational health & safety organizations; occupational safety and health-care professionals (e.g., doctors, nurses)

## 4. Leadership (Clause 5)

*Leadership has been enhanced to ensure commitment & active support from top management*

- Taking overall responsibility & accountability for protection of workers' work-related health & safety

- Ensuring OH&S policy & objectives established

- OH&S compatible with organizations strategic direction

- Integrating OH&S into organizational business process

- Allocating necessary resources OH&S (establish, implement, maintain & improve)

- Ensure Active participation of workers & workers' representatives (consultation & removing obstacles)

- Internal/External Communications supporting OH&S

- Ensuring OH&S management systems achieve intended outcome(s)

- Directing & supporting persons to contribute to effectiveness of OH&S

- Ensuring Continual Improvement of OH&S

- Supporting relevant management roles to demonstrate their leadership as it applies to their areas of responsibility

## 5. Worker Participation (Clause 5)

*Non-Managerial Worker Participation*

Give additional emphasis to determine:

- Mechanism for participation & consultation

- Hazard identification & assessment of risk

- Actions to control hazard & risk

- Identification of needs of competence, training & evaluation of training

- Information (what & how) to be communicated

- Investigating incidents, non-conformities, & involved in corrective actions

- Needs & expectations of interested parties

- Establishing policy

- Assigning organizational roles, responsibilities, accountabilities & authorities

## 6. Hazard Identification/Assessment of Risk (Clause 6)

Hazard identification should proactively identify any sources or situation arising from organizations activities, with potential for work-related injury & ill health.

**Sources**: hazardous substances, radiation, temperature, pressure, dust, noise & vibration
**Situations**: working at heights, working in confined space, working alone, worker fatigue, aggressive behavior or harassment, workload and task control
Hazards can be categorized in many ways, including: physical, chemical, biological psychosocial, physiological; or mechanical and electrical; or based on movement and energy.

Organization shall establish, implement and maintain a process for on-going proactive identification of hazards arising, taking into account, but not limited to:

- Routine and non-routine activities and situations,

- Emergency situations

- People - workers, contractors, visitors and other persons, those can be affected by organizations activities & workers at location not under direct control of organization

- Actual or proposed changes in organization, operations, processes activities & OH&S management systems

- Changes in knowledge of or information about hazards

- Past incidents, internal/external to the organization including emergencies and their causes

- How work is organized, and social factors, including workload, work hours, leadership and culture of organization

## 7. Planning (Clause 6)

**When planning for OH&S management system, organization shall**

- Consider issues referred to in "organizational context" (4.1)

- Requirements referred to in "interested parties" (4.2)

- Scope of its OH&S management system (4.3)

- Determine risks and opportunities that need to be addressed

**When planning how to achieve OH&S objectives, the organization shall determine:**

1. What will be done

2. What resources will be required

3. Who will be responsible

4. When it will be completed

5. How it will be measured through indicators (if practicable) & monitored

6. How results will be evaluated

7. How the actions to achieve OH&S objectives will be integrated into the organizations business process

## 8. Need to Prevent Ill-Health/Injuries (Clause 6)

ILO ILS recommend that where workers identify circumstances of danger or a hazardous environmental which can cause injury and ill health, they should be able to remove themselves & inform the organization of the circumstances without risk of penalization.

**Five basic commitments for OH&S Policy in ISO 45001**

- Provide safe & healthy working conditions for the prevention of work-related injury & ill health

- Satisfy applicable legal requirements & other requirements

- Control OH&S risks using the hierarchy of controls (see 8.12)

- Continual Improvement of OH&S management system to enhance OH&S performance

- Participation

## 9. Documented Information (Clause 7.5)

Organization will need to maintain & retain documentation information of OH&S objectives & plans to achieve them, keeping complexity to minimum
Aimed at preventing the risk of unintended use of obsolete documentation information
Should not have effect of preventing workers obtaining full & complete picture of hazards/risks of their work.

- Available & suitable for use, where & when needed

- Adequately protected (loss, confidentiality, use, integrity)

- Control:

    o Distribution, access, retrieval, use

    o Storage & preservation

    o Control of changes

    o Retention & disposition

- o  Access by workers, & where they exist, workers representatives, to relevant documented information

## 10. Outsourcing, Procurement & Contractors (Clause 8)

**Outsourcing:** Organization shall ensure that outsourced processes affecting OH&S management system are controlled

An outsourced process is one that:

- Is within scope of OH&S management system

- Is integral to organizations functioning

- Is needed for OH&S management system to achieve its intended outcome

- Liability for conforming to requirements is retained by the organization

- Organization & external provider have a relationship where the process is perceived by interested parties as being carried out by the organization

**Procurement:** Establish controls to ensure that the procurement of goods (for example products, hazardous materials or substances, raw materials, equipment) and services conform to its OH&S management system requirements

Prior to procuring goods & services, the organization should identify procurement controls that:

- Identify & evaluate potential OH&S risks associated with products, materials, equipment, service

- Requirements for products, materials, equipment, services to conform to OH&S objectives

- Need for information, participation & communications

- Before using verify equipment, installations & materials are adequate before being released for use by workers

- Delivered to specifications & are tested to ensure works as intended

- Usage requirements, precautions or other protective measures are communicated & made available

## 11. OH&S Performance Evaluation (Clause 9)

Organization shall establish, implement and maintain a process for monitoring, measurement and evaluation. Shall determine what needs to be monitored and measured, including...

- **Criteria against which the organization will evaluate OH&S performance**
- **Methods for monitoring, measurement, analysis, and evaluation, as applicable, to ensure valid results**
- **When the monitoring and measuring shall be performed**

- **When the results from monitoring and measurement shall be analyzed, evaluated and communicated**

**Examples of what could be monitored and measured can include:**

- Progress on meeting policy commitments, achieving objectives & continual improvement

- Occupational health complaints, health surveillance of workers & work environment monitoring

- Work related incidents, injuries, ill health, complaints, including trends

- Effectiveness of operational controls & emergency exercises

- Proactive & reactive actions affecting OH&S performance

- Competence

## Aim of an OH&S Management System



Develop and implement OH&S policy &objectives;

awareness of its **OH&S hazards and risks**, associated operational controls

Ensuring **top management demonstrate leadership and commitment**

Evaluating its **OH&S performance** and seeking to improve it;

Establishing **systematic processes** which consider its **context** & **risks and its opportunities**;

Establishing and developing the necessary **competencies**;

Determine **hazards and risks associated** with its activities

Developing and supporting an **occupational health and safety culture** in the organization;

Establishing **operational controls** to eliminate or minimize its OH&S risks;

Ensuring that **workers, and where they exist, workers' representatives, are informed, consulted and participate.**

a) Developing and implementing an OH&S policy and OH&S objectives;
b) Ensuring **top management demonstrate leadership and commitment** with respect to the OH&S management system;
c) Establishing **systematic processes** which consider its context and which take into account its **risks and its opportunities**;
d) Determining the **hazards and OH&S risks associated** with its activities; seeking to eliminate them, or putting in controls to minimize their potential effects;
e) Establishing **operational controls** to eliminate or minimize its OH&S risks;
f) Increasing awareness of its **OH&S hazards and risks**, and associated operational controls, through information, communication and training;
g) Evaluating its **OH&S performance** and seeking to improve it;
h) Establishing and developing the necessary **competencies**;
i) Developing and supporting an **occupational health and safety culture** in the organization;

j)   Ensuring that **workers, and where they exist, workers' representatives, are informed, consulted and participate**.

## Success Factors of an OH&S Management System

- ✔ Leadership and commitment from top management
- ✔ Culture of safety promoted by top management
- ✔ Worker participation and consultation
- ✔ Effective communication processes
- ✔ Sufficient resources provided
- ✔ Clear and aligned OH&S policies
- ✔ Integration into business operations
- ✔ Ongoing performance monitoring
- ✔ Objectives reflect OH&S risks and opportunities
- ✔ Legal compliance awareness
- ✔ Processes to identify and control hazards

1.  **Top management leadership, commitment, responsibilities and accountability**

2.  **Top management developing**, leading and promoting a culture in the organization that supports the intended outcomes of the OH&S management system

3.  **Consultation and participation of workers**, and where they exist, **workers' representatives**

4.  **Processes for communication and consultation**

5.  **Allocation of the necessary resources** to maintain the OH&S management system

6.  **Clear OH&S policies**, compatible with the overall strategic objectives and direction of the organization

7.  **Integration** of the OH&S management system into the organization's business processes

8.  **The continual performance evaluation and monitoring** of the OH&S management system to improve OH&S performance

9.  **OH&S objectives** that align with OH&S policies and reflect the organization's **OH&S hazards and risks and opportunities**

10. **Awareness and compliance** with **applicable legal requirements** and other requirements

11. **Effective processes for identification of OH&S hazards, control of OH&S risks**, and taking advantage of OH&S opportunities

# Module 3: Integrating Leadership, Support, and Performance for OH&S Improvement (Clauses 4–10)

## Understanding Clause 4 & 6 of ISO 45001: Context, Interested Parties, and OH&S Risks and Opportunities



- **Understanding the Organizational Context** (Clause 4.1)
- **Identifying Interested Parties and Their Needs** (Clause 4.2)
- **Clause 4.3: Determining the Scope of the OH&S Management System**
- **Addressing Risks and Opportunities** (Clause 6.1)
- **Integrating Context, Stakeholders, and Risk Management**

### 1. Understanding the Organizational Context (Clause 4.1)

Clause 4.1 of ISO 45001:2018 emphasizes the importance of comprehending the internal and external factors that can influence an organization's ability to achieve the intended outcomes of its OHSMS. This understanding forms the foundation for developing an effective and responsive OH&S strategy.

*Internal Factors:*

- **Organizational Culture:** Values, beliefs, and attitudes that influence behavior within the organization.

- **Governance and Structure:** Organizational hierarchy, roles, and responsibilities.

- **Resources:** Availability of financial, human, and technological resources.

- **Capabilities:** Competence of personnel and technological proficiency.

*External Factors:*

- **Legal and Regulatory Environment:** Applicable laws, regulations, and standards.

- **Economic Conditions:** Market stability, economic trends, and financial pressures.

- **Societal and Cultural Influences:** Public perception, community expectations, and cultural norms.

- **Technological Advances:** Emerging technologies and innovations that may impact operations.

By systematically analyzing these factors, organizations can identify potential risks and opportunities that may affect their OH&S performance. This analysis should be documented and regularly reviewed to ensure ongoing relevance and effectiveness.

## 2. Identifying Interested Parties and Their Needs (Clause 4.2)

Clause 4.2 requires organizations to determine the interested parties relevant to their OHSMS and understand their needs and expectations. Interested parties are individuals or organizations that can affect, be affected by, or perceive themselves to be affected by the organization's OH&S performance.

### *Examples of Interested Parties:*

- **Employees and Workers:** Directly involved in operations and most impacted by OH&S policies.

- **Contractors and Suppliers:** External parties whose activities can influence or be influenced by the organization's OH&S practices.

- **Regulatory Bodies:** Government agencies enforcing compliance with OH&S regulations.

- **Customers and Clients:** Stakeholders interested in the organization's commitment to safety and compliance.

- **Local Communities:** Residents and groups concerned about the organization's impact on the local environment and public health.

Understanding the needs and expectations of these parties enables organizations to tailor their OH&S strategies accordingly, ensuring stakeholder satisfaction and compliance with applicable requirements.

## 3. Clause 4.3: Determining the Scope of the OH&S Management System

Once context and stakeholder expectations are understood, **Clause 4.3** requires the organization to **define the scope** of its OHSMS. The scope should clarify:

- **What parts of the organization are included** (e.g., sites, departments, activities)

- **Any exclusions** (and justification for them)

- **Products, services, and operations covered**

- **OH&S boundaries and interfaces** with external parties

The **scope must be documented** and be **consistent with the context (Clause 4.1)** and **interested parties (Clause 4.2)**. This ensures the OHSMS is clearly directed and avoids gaps in coverage.

## 4. Addressing Risks and Opportunities (Clause 6.1)

Clause 6.1 focuses on the identification and management of risks and opportunities related to the OHSMS. This proactive approach aims to prevent undesired effects and promote continual improvement.

### *Risk Identification and Assessment:*

- **Hazard Identification:** Recognizing sources or situations with potential to cause injury or ill health.

- **Risk Assessment:** Evaluating the likelihood and severity of identified hazards.

- **Legal and Other Requirements:** Considering compliance obligations during risk assessment.

### *Opportunity Identification:*

- **Process Improvements:** Enhancing operational efficiency and safety measures.

- **Technological Advancements:** Adopting new technologies to improve OH&S performance.

- **Training and Development:** Investing in workforce competence and awareness.

### *Planning Actions:*

- **Risk Mitigation:** Implementing controls to eliminate or reduce risks.

- **Opportunity Realization:** Developing initiatives to capitalize on identified opportunities.

- **Monitoring and Review:** Regularly assessing the effectiveness of actions taken.

By integrating risk and opportunity management into the OHSMS, organizations can enhance their resilience and adaptability to changing circumstances.

## 5. Integrating Context, Stakeholders, and Risk Management

The interaction between organizational context, stakeholder expectations, and risk management is pivotal in establishing a robust OHSMS. Understanding the internal and external context provides insight into potential risks and opportunities. Identifying interested parties and their needs ensures that the OHSMS aligns with stakeholder expectations. Addressing risks and opportunities through planned actions leads to improved OH&S performance and compliance.

## Integration Process:

1. **Context Analysis:** Assess internal and external factors affecting OH&S.

2. **Stakeholder Engagement:** Identify interested parties and understand their expectations.

3. **Risk and Opportunity Assessment:** Evaluate potential impacts on OH&S objectives.

4. **Action Planning:** Develop strategies to address identified risks and opportunities.

5. **Implementation and Monitoring:** Execute plans and monitor effectiveness.

6. **Review and Improvement:** Continuously assess and enhance the OHSMS.

This integrated approach ensures that the OHSMS is dynamic, responsive, and aligned with both organizational goals and stakeholder expectations.

## Integration of Clauses 4.1 to 4.3 with Risk-Based Action (6.1)

| Clause | Purpose | Contribution to Risk Elimination |
|--------|---------|----------------------------------|
| **4.1** | Understand internal & external issues | Identifies environmental, legal, cultural and technical factors that could influence safety |
| **4.2** | Identify interested parties | Ensures risks related to legal or stakeholder concerns are addressed |
| **4.3** | Define scope of OHSMS | Clarifies what areas are protected under the system, avoiding oversight |
| **6.1** | Identify risks & opportunities | Direct action planning to eliminate hazards or reduce OH&S risk |

## Example (Real-world Illustration):

**Company**: Palm oil processing facility

- **Context (4.1)**: Operates in a rural area with seasonal workers; exposed to chemical and fire hazards.

- **Interested Parties (4.2)**: Workers, local fire department, Department of Environment, customers.

- **Scope (4.3)**: Covers plantation site, mill, and packaging area – excludes third-party transporters (justified).

- **Risks & Opportunities (6.1)**:

  o  Risk: Slippery floor in mill area → action: install anti-slip coating, train workers

o   Opportunity: Introduce hazard reporting app to improve worker engagement

## Conclusion

Understanding and integrating **organizational context (4.1)**, **stakeholder expectations (4.2)**, and **system scope (4.3)** are essential precursors to effective **risk-based thinking (6.1)**. When aligned, these elements help organizations:

- Define a clear and accountable OH&S system boundary

- Identify and manage all significant OH&S risks

- Achieve compliance, build trust, and prevent workplace incidents

This structured approach ensures your OHSMS is **relevant, robust, and ready to protect.**

## Reference:

https://www.iso-9001-checklist.co.uk/iso-45001/4.1-understanding-the-organization-and-its-context-iso-45001.htm

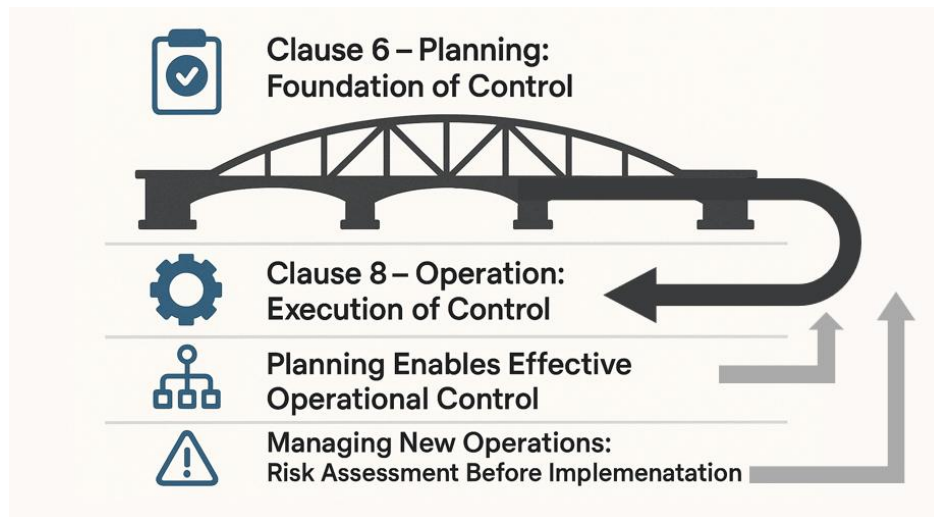https://iso-docs.com/blogs/iso-45001-standard/iso-45001-clause-4-1-understanding-the-organization-and-its-context

https://www.iso-9001-checklist.co.uk/iso-45001/4.2-understanding-the-needs-and-expectations-of-interested-parties-iso-45001.htm

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https://blog.auditortrainingonline.com/blog/explaining-iso-45001-clause-6.1.1-general

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## Bridging Risk Planning and Operational Control in ISO 45001



Effective implementation of ISO 45001:2018 relies heavily on the systematic integration of Clause 6 (Planning) with Clause 8 (Operation), ensuring occupational health and safety (OH&S) risks are identified, assessed, and controlled prior to and during operational processes.

### 1. Clause 6 – Planning: Foundation of Control

Clause 6 requires organizations to establish a *proactive risk-based approach* by:

- **Identifying hazards** and assessing OH&S risks and opportunities (Clause 6.1.2).

- **Determining legal and other requirements** (Clause 6.1.3).

- **Planning actions to address risks and opportunities** (Clause 6.1.4).

- **Setting OH&S objectives and planning actions to achieve them** (Clause 6.2).

This process ensures that risks and opportunities are not only documented but are also **translated into operational actions**, which is essential for Clause 8 implementation.

### 2. Clause 8 – Operation: Execution of Control

Clause 8.1.1 to 8.1.4 emphasizes:

- **Operational planning and control** (8.1.1) to ensure processes are implemented as planned, with necessary controls in place.

- **Elimination of hazards and risk reduction** (8.1.2).

- **Managing change** (8.1.3).

- **Procurement and contractor control** (8.1.4).

The controls implemented here are **directly informed** by the planning outcomes in Clause 6. Without robust planning, operational control will lack direction, priority, and risk sensitivity.

## 3. Planning Enables Effective Operational Control: How Clause 6 (Planning) Leads to Clause 8 (Operation)

| Clause 6 (Planning) | Clause 8 (Operation) |
|---|---|
| Identified OH&S risks | Become the basis for operational controls |
| Legal/other requirements | Integrated into SOPs and procurement criteria |
| Risk reduction actions | Implemented as part of work instructions and job safety analyses |
| Change evaluation | Triggers pre-implementation risk assessments |
| Objectives set in 6.2 | Cascaded into operational KPIs and daily activities |

For example, if noise exposure is a risk identified in Clause 6, Clause 8 will translate this into:

- Engineering controls (e.g., barriers)

- Administrative controls (e.g., job rotation)

- PPE requirements (e.g., earmuffs)

## 4. Managing New Operations: Risk Assessment Before Implementation

Under **Clause 8.1.3 (Management of Change)**, ISO 45001 requires that *any new or modified operation* must be assessed *before implementation*. This ensures that risks are anticipated, not reacted to.

### Steps for Managing New Operations:

1. **Initiate change request** (new process, equipment, or facility).

2. **Conduct hazard identification and OH&S risk assessment** (as per Clause 6.1).

3. **Evaluate compliance obligations** that may apply.

4. **Consult with workers** and OH&S representatives.

5. **Define and implement control measures** aligned with the risk level.

6. **Train affected personnel** before starting the operation.

7. **Monitor and review** the effectiveness of implemented controls post-implementation.

Failing to assess new operations may lead to:

- Exposure to uncontrolled hazards

- Non-compliance with legal obligations

- Reduced worker confidence and participation

## Conclusion

In ISO 45001, **Clause 6 acts as the strategic engine**, while **Clause 8 is the operational muscle**. Planning ensures that operational controls are **risk-informed**, **legally compliant**, and **aligned with organizational objectives**. Especially for *new operations*, planning prior to implementation is critical to **protect worker safety**, **maintain legal compliance**, and **drive continuous improvement** in OH&S performance.

## Reference

https://iso-docs.com/blogs/iso-45001-standard/iso-45001-clause-8-1-operational-planning-and-control

https://anitechgroup.com/au/blog/operational-control-in-iso-45001-implementation-strategies/

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## From Leadership to Results: How ISO 45001 Clauses 5, 7 & 9 Interconnect to Drive OH&S Performance
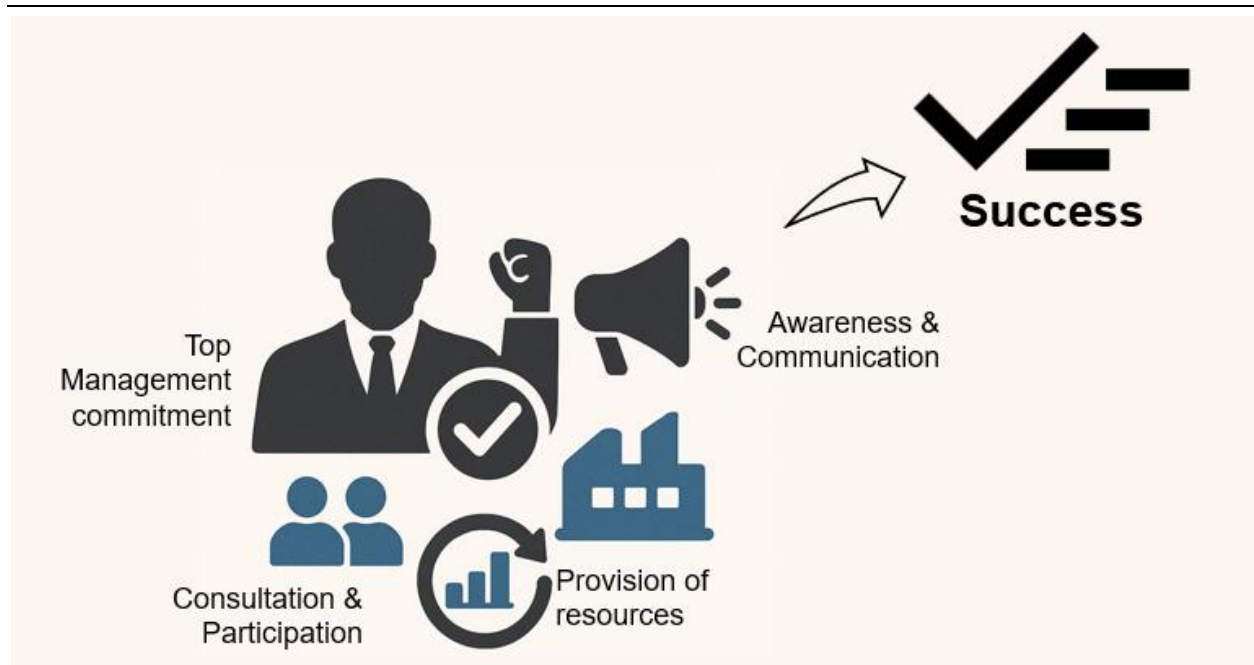


In ISO 45001:2018, **Clause 5 (Leadership and Worker Participation)** establishes the foundation for a successful Occupational Health and Safety Management System (OHSMS). The role of leadership is not merely symbolic—it is the driving force behind the implementation, maintenance, and continual improvement of the OH&S system. Leadership provides direction,

ensures the integration of OH&S into business processes, and fosters a culture where safety is a shared responsibility.

Leadership ensures commitment by:

- **Establishing the OH&S policy and objectives** aligned with the organization's strategic direction (Clause 5.1).

- **Demonstrating visible commitment** through participation, resource allocation, and promoting continual improvement.

- **Encouraging worker consultation and participation** (Clause 5.4), which promotes ownership and accountability across all levels.

This commitment from leadership becomes actionable through **Clause 7 (Support)**, which translates leadership intention into practical enablers. Clause 7 ensures that the system is adequately supported through:

- **Provision of resources (Clause 7.1)**: Sufficient personnel, infrastructure, and financial means to implement the OHSMS effectively.

- **Competence (Clause 7.2)**: Workers and contractors must have the necessary skills and qualifications to carry out their roles safely.

- **Awareness and communication (Clauses 7.3 & 7.4)**: Ensuring all individuals understand the OH&S policy, hazards, and how their actions contribute to safety objectives.

Without these support mechanisms, leadership commitment would remain theoretical. For example, if a top manager promotes safety culture but fails to provide training or functional PPE, the intent is ineffective.

This synergy between **leadership (Clause 5)** and **support (Clause 7)** culminates in **Clause 9 (Performance Evaluation)**. Effective leadership and adequate support ensure:

- **Proper monitoring and measurement (Clause 9.1)** of OH&S processes and performance indicators.

- **Conducting internal audits (Clause 9.2)** that provide objective evidence of system performance and areas for improvement.

- **Management reviews (Clause 9.3)** that reflect leadership's active role in strategic oversight and continual improvement decisions.

Thus, leadership sets the tone, support enables action, and performance evaluation verifies effectiveness and guides improvement.

# Leadership to Improvement for a Resilient OH&S Management System
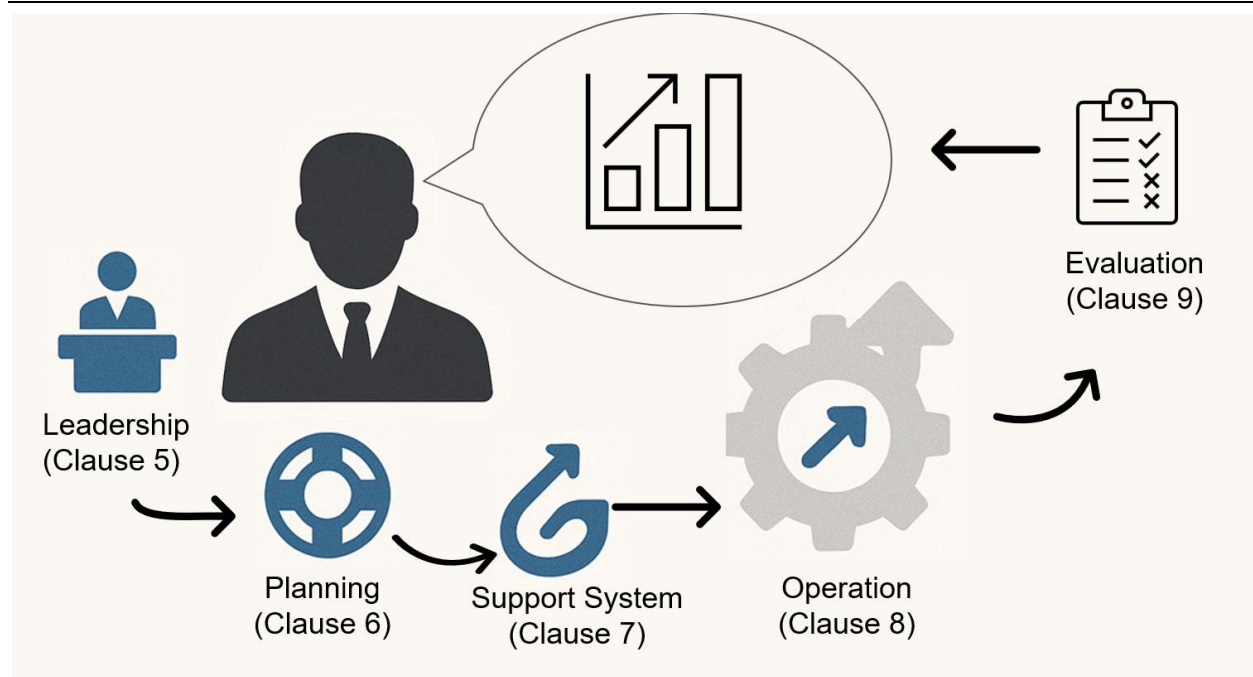


## 1. Leadership (Clause 5): The Strategic Anchor

Top management is the catalyst in driving an effective Occupational Health and Safety Management System (OHSMS). ISO 45001:2018 Clause 5 requires leaders to:

- Demonstrate accountability for the effectiveness of the OHSMS.

- Integrate OH&S into the organization's overall business processes.

- Provide direction by establishing the OH&S policy and measurable objectives.

- Promote consultation and active participation of workers at all levels.

**Impact:** Leadership ensures OH&S is not a separate compliance exercise but a core element of the organization's strategy and culture.

## 2. Planning (Clause 6) + Context (Clause 4): Building the Foundation

An effective OHSMS begins with understanding:

- **Clause 4.1**: Internal & external issues (e.g., operational complexity, legal context).

- **Clause 4.2**: Needs and expectations of interested parties (e.g., employees, regulators).

- **Clause 4.3**: Clear system boundaries and scope.

- **Clause 6.1**: Risk and opportunity assessments based on hazards, legal obligations, and stakeholder expectations.

- **Clause 6.2**: Setting measurable objectives for safety performance and improvement.

**Integration Insight:** A clear context analysis feeds into a relevant OH&S risk-based planning framework, forming the backbone for operational and performance control.

## 3. Support System (Clause 7): Enabling Execution

To translate leadership vision and risk-based plans into reality, adequate **support** is critical:

- **Clause 7.1 – Resources**: Ensuring availability of trained personnel, PPE, technology, and time.

- **Clause 7.2 – Competence**: Assigning competent persons and ensuring ongoing development.

- **Clause 7.3 – Awareness**: Making employees aware of the risks, responsibilities, and contribution to OH&S.

- **Clause 7.4 – Communication**: Establishing effective internal and external communication channels.

- **Clause 7.5 – Documented Information**: Controlling documents and records for traceability and consistency.

**Support functions as the operational engine room**, empowering workers with the tools and knowledge to control OH&S risks.

## 4. Operation (Clause 8): Putting Plans into Practice

Clause 8 defines the operational control mechanisms to ensure planned actions are executed effectively:

- Operational planning and control (8.1.1)

- Hazard elimination and risk reduction (8.1.2)

- Change management (8.1.3)

- Procurement and contractor safety (8.1.4)

All operational controls must align with identified risks (Clause 6) and organizational context (Clause 4).

**Key Principle:** Any new or modified operation must undergo **pre-implementation risk assessments** (8.1.3), supported by leadership decision-making and worker involvement.

## 5. Performance Evaluation (Clause 9): Measuring What Matters

ISO 45001 requires organizations to **evaluate** whether their OHSMS is functioning as intended:

- **Clause 9.1**: Monitor, measure, analyze, and evaluate OH&S performance and compliance.

- **Clause 9.2**: Internal audits to verify conformance and effectiveness.

- **Clause 9.3**: Management review to ensure alignment with policies, objectives, and improvement goals.

**Insight:** Strong leadership and adequate support lead to meaningful performance data—helping top management make informed decisions and resource adjustments.

## 6. Continual Improvement (Clause 10): Achieving Results and Enhancing Impact

Performance results drive the **continual improvement process** under Clause 10:

- Addressing nonconformities and implementing corrective actions.

- Identifying opportunities for system enhancement and risk prevention.

- Demonstrating sustained commitment to OH&S excellence.

This closes the PDCA loop, ensuring that leadership intent (Clause 5), planning (Clause 6), support (Clause 7), and execution (Clause 8) translate into measurable improvement and positive OH&S outcomes.

## Conclusion:

Leadership is not effective unless supported by resources, competence, and communication. Planning (Clause 6), grounded in context (Clause 4), sets a risk-based path, operationalized in Clause 8. Only with proper performance evaluation (Clause 9) can organizations drive real improvement (Clause 10). This full integration ensures the OHSMS delivers not just compliance—but **proactive risk control, safer workplaces, and sustainable performance**.