Mastering ISO 45001 Auditing

A Lead Auditor's Guide to Excellence

S.ELANGO

4 CONTEXT OF THE ORGANIZATION

1. STANDARD REQUIRREMENTS:

4.1 UNDERSTANDING THE ORGANIZATION AND ITS CONTEXT

The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its OH&S management system.

2. EXPLAINATION:

1. **Understanding External Issues:** External factors influencing the Occupational Health and Safety (OH&S) management system include political, economic, social, and legal issues. Changes in government regulations can significantly impact safety priorities; for instance, stricter safety regulations may require organizations to enhance their safety measures. Similarly, economic conditions can influence resource allocation and focus on safety initiatives, making it essential to adapt the OH&S system accordingly.

   Example: A construction company must comply with new government regulations mandating enhanced worker safety protocols, which significantly affect project timelines and cost allocation. The implementation of these protocols may require additional training, safety equipment, and resources, potentially leading to delays in project completion. Consequently, the company must reassess its budget and schedule to ensure compliance while maintaining overall project efficiency and safety for its workers.

2. **Understanding Internal Issues:** Internal issues such as organizational culture, work environment, employee attitudes, and existing safety practices significantly impact the success of the Occupational Health and Safety (OH&S) system. A strong safety culture fosters proactive safety behaviours, leading to fewer accidents and enhanced employee morale. Conversely, a negative work environment or poor attitudes toward safety can undermine safety initiatives, increasing risks and jeopardizing the overall effectiveness of the OH&S management system.

   Example: A manufacturing plant with a history of neglecting safety may face challenges in implementing an effective Occupational Health and Safety (OH&S) system. To succeed, the organization must first address and transform its internal safety culture. This involves fostering employee awareness, encouraging open communication about safety concerns, and prioritizing safety in daily operations. Without a cultural shift, efforts to enhance safety protocols are unlikely to yield significant improvements.

3. **Relevance to the Organization's Purpose:** The identified internal and external issues must align with the organization's mission, vision, and purpose to ensure effective operations. For example, an organization committed to ensuring worker well-being should adapt its processes to address safety concerns comprehensively. This alignment ensures that safety practices are not only integrated into daily operations but also reflect the organization's core values, promoting a culture of safety and well-being throughout the workforce.

Example: A healthcare company that prioritizes patient safety must also emphasize employee safety to ensure its staff can deliver the highest quality care without compromising their well-being. By fostering a safe work environment, the organization enhances staff morale and productivity, enabling employees to focus on patient needs effectively. Recognizing the interconnectedness of employee and patient safety ultimately leads to improved care outcomes and a healthier, more supportive workplace.

4. **Impact on OH&S Performance:** Both internal and external issues significantly affect the Occupational Health and Safety (OH&S) management system's ability to meet its objectives. For instance, a lack of skilled personnel can lead to inadequate safety training, resulting in increased workplace incidents. Furthermore, external factors like regulatory changes may require additional training resources. Addressing these challenges is essential to enhance safety practices and reduce the risk of accidents within the organization.

   Example: A logistics company facing a shortage of trained drivers may experience a rise in road accidents unless it addresses this internal issue through improved recruitment and training efforts. By enhancing its hiring processes and investing in comprehensive training programs, the company can ensure that drivers are adequately prepared for their responsibilities. Prioritizing driver education and skill development is essential to fostering safety on the roads and protecting the company's reputation.

5. **Addressing Stakeholder Expectations:** Understanding both internal and external issues enables an organization to effectively meet the needs of stakeholders, including employees, customers, and regulators. Engaging with stakeholders provides valuable insights that inform the Occupational Health and Safety (OH&S) system, ensuring it remains relevant and effective. By incorporating stakeholder input, the organization can adapt its safety practices to address concerns, enhance compliance, and foster a culture of safety and accountability.

   Example: An oil and gas company, under pressure from environmental groups and regulators, must implement stricter safety measures to uphold its reputation and ensure compliance with industry standards. By enhancing safety protocols and environmental safeguards, the company can demonstrate its commitment to responsible operations. Proactively addressing these concerns not only mitigates risks but also fosters trust among stakeholders, ultimately contributing to the company's long-term sustainability and success in the industry.

6. **Adapting to Changes:** The organization must continuously monitor and adapt to evolving internal and external conditions, including technological advancements that can both enhance and challenge current Occupational Health and Safety (OH&S) practices. Embracing new technologies can lead to improved safety measures and efficiencies, while also necessitating updates to training and compliance protocols. By staying responsive to these changes, the organization can maintain a robust OH&S management system that effectively addresses emerging risks and opportunities.

   Example: A manufacturing firm implementing automation technologies must update its Occupational Health and Safety (OH&S) system to effectively manage new safety risks associated with operating alongside robots, which were not previously considered. This includes revising safety protocols, providing specialized training for employees, and ensuring proper safety measures are in place to mitigate potential hazards. By proactively addressing these changes, the firm can safeguard its workforce and maintain a safe working environment.

7. **Supporting Decision-Making:** A thorough understanding of organizational context enhances decision-making by ensuring that resources are allocated to the most relevant safety issues. This strategic focus enables the Occupational Health and Safety (OH&S) management system to address the specific needs and risks of the organization effectively. As a result, the system becomes more efficient, promoting a safer work environment and fostering a proactive approach to safety management and continuous improvement.

   Example: A construction firm operating in a high-risk earthquake zone prioritizes developing evacuation and structural safety plans through contextual risk analysis rather than focusing solely on general safety improvements. By assessing specific risks associated with earthquakes, the firm can implement targeted strategies that ensure the safety of workers and the integrity of structures. This proactive approach enhances preparedness and resilience, ultimately safeguarding both personnel and projects in hazardous conditions.

8. **Contributing to Continuous Improvement:** Understanding the organization's context promotes continuous improvement by highlighting areas where the Occupational Health and Safety (OH&S) system can evolve to meet new challenges and seize opportunities. By regularly assessing internal and external factors, the organization can identify gaps in safety practices and implement necessary changes. This proactive approach ensures that the OH&S system remains effective, relevant, and aligned with organizational goals, ultimately enhancing workplace safety and compliance.

   Example: A retail company launching a new online delivery service faces new safety risks, such as increased road accidents for delivery drivers. This development necessitates updates to its Occupational Health and Safety (OH&S) procedures to address these challenges effectively. The company must implement comprehensive training for drivers, establish clear safety protocols, and enhance vehicle safety measures to ensure the well-being of its employees while maintaining efficient delivery operations.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** A document outlining the organization's commitment to health and safety should include clear objectives and principles. Evidence includes a signed policy statement, records of distribution to employees, and communication efforts demonstrating the policy's intent and importance within the organization.
2. **Context of the Organization:** Documentation should reflect both external and internal issues affecting OH&S management. Evidence to look for includes SWOT analysis, stakeholder analysis, and records of context identification that detail the relevant factors influencing the organization's health and safety practices.
3. **Risk Assessment and Method Statements:** Records must detail the identification, assessment, and management of OH&S risks. Evidence to look for includes risk assessment reports, the methodologies employed in the assessments, and comprehensive risk registers that track identified risks and their management strategies.
4. **Legal and Other Requirements:** A document should list all applicable legal, regulatory, and other OH&S requirements. Evidence to look for includes compliance records, updates from legal advisors, and references to relevant legislation that ensure the organization meets its health and safety obligations.
5. **Objectives and Targets:** Documents should specify measurable OH&S objectives that align with the organization's policy. Evidence to look for includes clear objective statements, defined performance indicators, and progress reports that track the achievement of these objectives and demonstrate commitment to health and safety.
6. **Training and Competence Records:** Documentation must demonstrate employee training and qualifications relevant to OH&S. Evidence to look for includes training plans outlining courses, attendance records verifying participation, and competency assessments that evaluate employees' understanding and application of health and safety practices in the workplace.
7. **Incident and Accident Reports:** Records should document workplace incidents and accidents, including investigations and corrective actions taken. Evidence to look for includes incident reports detailing the occurrences, root cause analyses identifying underlying issues, and follow-up actions to ensure proper implementation of corrective measures.
8. **Audit Reports:** Reports from internal and external audits should assess the effectiveness of the OH&S management system. Evidence to look for includes audit findings, corrective action plans addressing identified issues, and minutes from management review meetings discussing audit outcomes and improvements.
9. **Management Review Records:** Documentation should include management reviews of the OH&S management system, highlighting outcomes and decisions. Evidence to look for includes meeting agendas, minutes detailing discussions, and action items assigned during management review meetings to ensure continuous improvement and accountability.
10. **Emergency Preparedness and Response Plans:** Plans must detail procedures for responding to emergencies and incidents. Evidence to look for includes comprehensive emergency plans outlining response strategies, records of training exercises conducted to prepare staff, and communication plans ensuring effective information dissemination during emergencies.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** Verification of the signed OH&S policy should confirm the organization's commitment to health and safety. Evidence includes the signed policy document, along with records of distribution and communication to employees highlighting the importance of adherence to safety practices verified. Example: Document Number: OHSP-2024-001, Date Issued: 2024-01-15, Reviewed by: John Smith, Position: Safety Manager.

2. **Risk Assessment Report:** The review of the risk assessment should evaluate the identification of workplace hazards. Evidence includes updated risk assessment reports, methodologies used in the evaluation, and documentation of any changes made to safety procedures based on identified hazards evidence. Example: Report Number: RA-2024-042, Assessment Date: 2024-02-20, Assessed by: Emily Johnson, Position: Risk Officer.

3. **Training Attendance Records:** Records must demonstrate that employees have completed OH&S training sessions. Evidence includes training attendance logs, certificates of completion, and lists of training courses attended, ensuring that employees are knowledgeable about safety protocols and procedures relevant to their roles reviewed. Example: Training Session ID: T-2024-055, Date: 2024-03-10, Attendees: 45 employees, Trainer: Michael Brown, Training Type: Fire Safety Training.

4. **Incident Report:** Documentation should detail an incident that occurred, encompassing the investigation and corrective actions taken. Evidence includes the incident report, findings from the investigation, root cause analysis, and records of implemented corrective actions to prevent recurrence and enhance safety verified. Example: Incident Report Number: IR-2024-078, Date of Incident: 2024-04-05, Reported by: Sarah Lee, Position: Supervisor.

5. **Internal Audit Report:** The review of the internal audit report should assess compliance with OH&S management systems. Evidence includes the audit report findings, any identified non-conformities, and recommendations for improvement, ensuring that the organization adheres to established safety standards and practices reviewed. Example: Audit Report Number: IA-2024-090, Audit Date: 2024-05-15, Auditor: David Kim, Findings: 3 non-conformities.

6. **Management Review Meeting Minutes:** Documentation should include records of management review meetings discussing OH&S performance. Evidence includes meeting agendas, minutes detailing discussions on safety metrics, performance indicators, and decisions made to enhance the effectiveness of the OH&S management system and address identified issues verified. Example: Meeting Minutes Number: MRM-2024-110, Meeting Date: 2024-06-10, Attendees: John Doe, Emily Johnson, and Sarah Lee.

7. **Emergency Preparedness Plan**
   The review of the emergency response plan should indicate the organization's preparedness for potential incidents. Evidence includes updated emergency response procedures, training records for staff, and evaluation of drills conducted to ensure effective execution of the plan during emergencies reviewed. Example: Document Number: EPP-2024-002, Last Reviewed: 2024-07-01, Prepared by: Tom Harris, Position: Emergency Coordinator.

8. **Corrective Action Report:** Records should demonstrate the corrective actions taken in response to identified non-conformities. Evidence includes documentation of non-conformity reports, corrective action plans outlining steps taken, and follow-up records verifying the effectiveness of these actions in resolving the issues verified. Example: CAPA Report Number: CAPA-2024-123, Date Issued: 2024-08-05, Assigned to: Lisa White, Position: Quality Manager.

9. **Supplier Safety Evaluation Records:** Documentation should include safety evaluations conducted on suppliers and contractors. Evidence consists of evaluation reports assessing compliance with safety standards, records of safety audits, and communication of safety requirements to ensure alignment with the organization's health and safety expectations reviewed. Example: Evaluation Number: SE-2024-134, Date of Evaluation: 2024-09-12, Evaluated by: Nancy Green, Supplier: XYZ Logistics.

10. **Employee Feedback Surveys**
    Records should capture employee feedback regarding OH&S management and implementation. Evidence includes survey results, meeting notes where feedback was discussed, and any documented suggestions for improvement, ensuring employee voices are considered in enhancing safety practices and policies verified. Example: Survey ID: EF-2024-145, Date Conducted: 2024-10-01, Response Rate: 85%, Coordinator: Henry Black, Position: HR Manager.

5. INTERVIEW QUESTIONS:

1. Can you describe how the organization identifies and evaluates external issues that may impact its Occupational Health and Safety (OH&S) management system?
2. What internal factors have you identified that could influence the effectiveness of your OH&S management system?
3. How do you ensure that the needs and expectations of relevant interested parties are considered in your OH&S planning?
4. Can you provide examples of external issues, such as regulatory requirements or industry standards, which the organization actively monitors?
5. How does the organization keep track of changes in the external environment that may affect your OH&S objectives?
6. In what ways do you engage employees and stakeholders in discussions about relevant internal and external issues related to OH&S?
7. How are internal issues such as organizational culture and employee competence assessed in relation to OH&S performance?
8. Can you explain the process used to document and communicate the identified internal and external issues to relevant personnel?
9. What specific actions has the organization taken to address the internal and external issues that were identified in previous assessments?
10. How do you measure the effectiveness of strategies implemented to manage the identified internal and external issues related to OH&S?

11. Can you share any records or reports that demonstrate how internal and external issues have been integrated into your OH&S objectives?
12. How often does the organization review the relevance and effectiveness of the identified internal and external issues?
13. In what ways has the organization adapted its OH&S management practices based on identified issues over time?
14. Can you provide examples of how the organization's leadership promotes awareness and understanding of relevant internal and external issues among employees?
15. What challenges has the organization faced in identifying and managing internal and external issues related to the OH&S management system, and how were they addressed?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Context Analysis:** The organization has conducted a thorough analysis of both internal and external factors impacting OH&S performance. This proactive approach demonstrates a deep understanding of the operational environment, facilitating informed decision-making and effective risk management.

2. **Stakeholder Engagement:** The organization actively engages stakeholders to identify relevant issues affecting the OH&S management system. By considering stakeholder feedback, the organization ensures that the perspectives of those impacted by its operations are integrated into its safety strategies.

3. **Regular Reviews:** The organization performs regular reviews of the identified internal and external issues. This on-going assessment process allows for timely updates to the OH&S management system, ensuring that it remains relevant and responsive to changing circumstances.

4. **Effective Communication Channels:** The organization has established robust communication channels to disseminate information about relevant internal and external issues. This transparency fosters a culture of safety and ensures that all employees are aware of factors affecting their health and safety.

5. **Alignment with Business Objectives:** The organization effectively aligns its OH&S objectives with its overall business goals. This integration ensures that safety considerations are prioritized in strategic planning, promoting a holistic approach to achieving both operational excellence and employee well-being.

6. **Risk Mitigation Strategies:** The organization has developed clear strategies to address identified risks related to internal and external issues. This proactive approach minimizes potential negative impacts on employee safety, demonstrating a commitment to creating a safe working environment.

7. **Documentation Practices:** The organization maintains detailed documentation of the processes used to identify and evaluate internal and external issues. This thorough record-keeping enhances accountability and provides a solid foundation for future audits and continuous improvement efforts.

8. **Training and Awareness Programs:** The organization implements effective training and awareness programs focused on relevant internal and external issues. By equipping employees with the necessary knowledge, the organization fosters a culture of safety and empowers staff to contribute to risk management.

9. **Use of Data and Analytics:** The organization leverages data and analytics to monitor trends related to internal and external issues affecting OH&S. This data-driven approach enables informed decision-making and supports the identification of emerging risks, enhancing overall safety management.

10. **Leadership Commitment:** The commitment of leadership to understanding and addressing internal and external issues is evident. Their active involvement in the OH&S management system underscores the importance placed on employee safety and the organization's overall health and safety culture.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Incomplete Identification of External Issues:** The organization may lack a comprehensive list of external issues impacting its OH&S management system, such as regulatory changes or environmental factors. Regular environmental scans can help identify these issues, enabling timely adjustments to policies and procedures to maintain compliance.

2. **Limited Stakeholder Engagement:** The organization might not sufficiently involve stakeholders, including employees and suppliers, in identifying relevant internal and external issues. Implementing structured engagement methods, such as surveys or focus groups, can capture diverse perspectives and enhance the overall effectiveness of the OH&S management system.

3. **Lack of Documentation on Context Analysis:** Documentation regarding the analysis of internal and external factors may be insufficient or poorly organized. Creating detailed records of the context analysis process, including methodologies and findings, will enhance transparency, accountability, and support future audits and continuous improvement efforts.

4. **Infrequent Review of Identified Issues:** The organization may not regularly review and update the identified internal and external issues affecting its OH&S management system. Establishing a routine review schedule ensures that the organization adapts to changing conditions and maintains a relevant and effective safety strategy.

5. **Insufficient Communication of Relevant Issues:** Communication about identified issues may not effectively reach all employees or relevant stakeholders. Enhancing communication strategies, such as newsletters or briefings, can ensure that everyone is informed about factors affecting OH&S, promoting awareness and encouraging a proactive safety culture.

6. **Poor Integration with Business Objectives:** The OH&S management system might not be fully aligned with the organization's overall business objectives. Ensuring that OH&S goals are incorporated into strategic planning will prioritize safety considerations, fostering a culture where employee well-being is integral to operational success.

7. **Limited Use of Data for Decision-Making:** The organization may not effectively utilize available data to understand and respond to internal and external issues. Implementing data analytics tools can provide insights into trends and emerging risks, facilitating

evidence-based decision-making and strengthening the OH&S management system's responsiveness.

8. **Inadequate Training on Context Awareness:** Employees may lack adequate training regarding the importance of understanding the context of the OH&S management system. Developing targeted training programs will enhance employees' awareness of internal and external issues, fostering a culture of safety and encouraging proactive contributions to risk management.

9. **Insufficient Risk Assessment Related to Context:** The organization might not conduct thorough risk assessments based on identified internal and external issues. Enhancing risk assessment methodologies to include these factors will improve safety measures, mitigate risks effectively, and demonstrate the organization's commitment to employee safety and compliance.

10. **Absence of a Monitoring Mechanism:** The organization may lack a formal mechanism to monitor the effectiveness of actions taken in response to identified issues. Establishing key performance indicators (KPIs) will help track progress, evaluate strategies' effectiveness, and facilitate continuous improvement in the OH&S management system.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of External Issue Identification:** The organization has failed to identify key external issues relevant to its OH&S management system. This oversight can hinder effective risk management and compliance, potentially exposing the organization to safety hazards and regulatory non-conformance that could affect overall performance.

   Example: There is an absence of documented reports or assessments outlining external factors, including regulatory requirements, market conditions, or community concerns. For example, no external risk assessment report is available for review, which undermines the effectiveness of the OH&S management system. FORM NO: XXX

2. **Insufficient Internal Issue Analysis:** The organization fails to adequately analyze internal issues impacting its OH&S outcomes. This lack of analysis can lead to unresolved safety concerns, decreased employee morale, and ineffective safety practices, ultimately compromising the effectiveness of the OH&S management system.

   Example: There is missing documentation or analysis reports detailing internal factors such as organizational culture, employee turnover, or prior incident investigations. For instance, no internal audit report addressing safety culture was found, hindering the organization's ability to improve OH&S outcomes. FORM NO: XXX

3. **Inadequate Stakeholder Engagement:** The organization has not effectively engaged stakeholders in the context analysis process. This lack of involvement can lead to insufficient understanding of safety needs and expectations, resulting in missed opportunities to enhance the OH&S management system and address relevant concerns.

   Example: There is a lack of meeting minutes or records demonstrating stakeholder involvement in identifying relevant issues. For instance, no documented stakeholder consultation sessions were found for the past year, indicating a gap in engagement that may affect OH&S effectiveness. FORM NO: XXX

4. **Failure to Update Context Information:** There is a lack of meeting minutes or records demonstrating stakeholder involvement in identifying relevant issues. For instance, no documented stakeholder consultation sessions were found for the past year, indicating a gap in engagement that may affect OH&S effectiveness.

   Example: The last context analysis was documented over a year ago, with no records of updates or reviews. For example, a context analysis report dated two years prior lacks subsequent revisions, indicating a failure to adapt to changing internal and external factors. FORM NO: XXX

5. **Poor Documentation Practices:** Documentation of the context analysis process is incomplete or poorly organized. This disorganization hinders the ability to effectively assess relevant internal and external factors, potentially compromising the effectiveness of the OH&S management system and decision-making processes.

   Example: Records are unclear or missing, lacking detailed methodologies or findings. For instance, scattered notes from meetings have not been compiled into a formal report, making it difficult to track decisions made and insights gained during the context analysis process. FORM NO: XXX

6. **Lack of Defined Responsibilities:** The organization has not defined roles and responsibilities for context analysis. This lack of clarity can lead to confusion among team members, resulting in ineffective assessments of internal and external factors critical to the OH&S management system's success.

   Example: There is no documented responsibility matrix indicating who is accountable for identifying and reviewing internal and external issues. For example, job descriptions lack specific responsibilities related to OH&S context analysis, leading to potential gaps in accountability and oversight. FORM NO: XXX

7. **Inconsistent Application of Context Analysis:** The organization applies context analysis inconsistently across departments or functions. This inconsistency can lead to varied understanding and implementation of OH&S requirements, potentially resulting in safety gaps and ineffective risk management practices throughout the organization.

   Example: Different departments have varying approaches to identifying and documenting relevant issues. For example, one department may maintain comprehensive documentation, while another lacks any records, leading to discrepancies in understanding and addressing OH&S concerns across the organization. FORM NO: XXX

8. **Insufficient Risk Assessment Integration:** Internal and external issues are not integrated into the risk assessment process. This oversight can result in incomplete evaluations of potential hazards, hindering the effectiveness of the OH&S management system and exposing the organization to unmanaged risks.

   Example: Risk assessment documentation lacks references to identified context issues. For instance, a risk assessment report does not consider recent regulatory changes, which undermines the comprehensiveness of the assessment and may lead to compliance issues and increased safety risks. FORM NO: XXX

9. **Limited Communication of Contextual Factors:** The organization fails to communicate relevant internal and external issues to all employees. This lack of communication can lead to unawareness of safety concerns and regulations, ultimately compromising the effectiveness of the OH&S management system and employee safety.

Example: There is a lack of communication materials, such as newsletters or bulletins, addressing relevant issues. For example, no documented evidence exists of disseminating information about regulatory changes impacting safety, hindering employees' awareness and understanding of critical safety matters. FORM NO: XXX

10. **Absence of Performance Indicators:** The organization does not establish performance indicators related to context analysis. This absence of measurable criteria limits the ability to evaluate the effectiveness of the context analysis process and its impact on the overall performance of the OH&S management system.

    Example: There are missing metrics or KPIs that monitor the effectiveness of the context analysis process. For instance, no dashboard or report exists to track context-related performance data, hindering the organization's ability to assess and improve its OH&S management system. FORM NO: XXX

4 CONTEXT OF THE ORGANIZATION

1. STANDARD REQUIRREMENTS:

4.2 UNDERSTANDING THE NEEDS AND EXPECTATIONS OF WORKERS AND OTHER INTERESTED PARTIES

The organization shall determine:

a) the other interested parties, in addition to workers, that are relevant to the OH&S management system;

b) the relevant needs and expectations (i.e. requirements) of workers and other interested parties;

c) Which of these needs and expectations are, or could become, legal requirements and other requirements.

2. EXPLAINATION:

1. **Determining Other Interested Parties:** Organizations must identify stakeholders beyond just workers relevant to the Occupational Health and Safety (OH&S) management system. This broader group can include suppliers, contractors, customers, regulatory authorities, and the local community. Engaging these stakeholders ensures that the OH&S system addresses a wide array of concerns, enhancing its effectiveness and improving overall safety performance by incorporating diverse perspectives and expectations into safety practices and policies.

   Example: A construction company identifies various interested parties, including subcontractors, equipment suppliers, regulatory bodies, and local residents. By engaging with these groups, the company gains insights into their perspectives on safety practices, environmental impacts, and compliance requirements. This engagement fosters a more inclusive Occupational Health and Safety (OH&S) management approach, enabling the company to address diverse concerns effectively and enhance its safety performance while building positive relationships within the community.

2. **Identifying Relevant Needs and Expectations:** Organizations should assess the specific needs and expectations of workers and interested parties regarding health and safety. This can involve gathering information through surveys, meetings, and feedback mechanisms. Understanding these requirements is crucial for developing effective Occupational Health and Safety (OH&S) policies and procedures, which enhance safety culture and minimize risks. By incorporating stakeholder insights, organizations can create a safer work environment that meets diverse needs and fosters a proactive safety culture.

   Example: A manufacturing plant conducts surveys and focus group discussions with employees and stakeholders to identify safety concerns and expectations. Feedback reveals a strong desire for enhanced training programs and better communication regarding safety procedures. The organization incorporates these insights into its Occupational Health and Safety (OH&S) management system, ensuring that worker satisfaction is prioritized while simultaneously enhancing overall safety. This proactive approach fosters a safer and more engaged workforce.

3. **Legal and Other Requirements:** Organizations must evaluate identified needs and expectations to determine which may translate into legal obligations or compliance requirements. This process ensures that the Occupational Health and Safety (OH&S) management system aligns with relevant laws and regulations. Additionally, it addresses stakeholder concerns that, while not legally mandated, are crucial for maintaining trust and fostering positive relationships. This comprehensive approach enhances both compliance and overall organizational credibility in health and safety matters.

   Example: A logistics company reviews the identified expectations of workers and local authorities, concluding that implementing ergonomic assessments aligns with existing labor laws. They also recognize community expectations for noise reduction, prompting the adoption of measures that enhance safety. By addressing both legal obligations and stakeholder requirements, the company not only improves workplace safety but also strengthens its reputation in the community, fostering trust and positive relationships.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy and Objectives:** Auditors should examine the organization's OH&S policy to ensure it reflects the commitment to health and safety, aligns with the organization's strategic direction, and includes measurable objectives. This document should outline the organization's approach to minimizing risks and promoting a safe working environment.

2. **Risk Assessments and Method Statements:** Records of risk assessments should detail the identification, evaluation, and control of hazards associated with workplace activities. Method statements should provide clear instructions on how specific tasks will be performed safely, demonstrating the organization's proactive approach to risk management.

3. **Training and Competence Records:** Evidence of training programs and competence assessments for workers is vital. Auditors should look for records that indicate employees have received adequate training on safety protocols, emergency procedures, and the use of personal protective equipment (PPE). These records demonstrate the organization's commitment to maintaining a knowledgeable workforce.

4. **Incident and Accident Reports:** Documentation related to workplace incidents and accidents is essential for understanding trends and areas for improvement. Auditors should review these reports to assess how the organization investigates incidents, identifies root causes, and implements corrective actions to prevent recurrence.

5. **Internal Audit Reports:** The outcomes of internal audits provide valuable insights into the effectiveness of the OH&S management system. Auditors should examine these reports to evaluate how well the organization monitors compliance with its policies and procedures and how it addresses non-conformities.

6. **Management Review Meeting Minutes:** Records of management review meetings should reflect discussions on the performance of the OH&S management system, including the review of objectives, incidents, audit findings, and changes in legislation. This documentation illustrates the organization's commitment to continuous improvement and leadership involvement.

7. **Emergency Preparedness and Response Plans:** Auditors should review plans outlining the organization's approach to emergency situations. This includes evacuation plans, first aid procedures, and training records related to emergency response. These documents demonstrate the organization's preparedness to handle potential crises effectively.

8. **Communication Records:** Evidence of communication with workers and other interested parties regarding OH&S matters is important. This includes records of safety meetings, briefings, newsletters, and feedback mechanisms. Auditors should assess whether the organization effectively disseminates information and engages stakeholders.

9. **Legal Compliance Records:** Auditors should verify that the organization complies with relevant legal and regulatory requirements related to health and safety. This includes licenses, permits, and records of inspections by regulatory authorities. Compliance records are crucial for demonstrating adherence to applicable laws and regulations.

10. **Performance Monitoring and Measurement Records:** Documentation showing how the organization monitors and measures its OH&S performance is essential. This can include safety metrics, KPI reports, and records of safety audits. These documents demonstrate the organization's ability to track progress toward its OH&S objectives.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** The organization has developed and documented its OH&S policy, clearly articulating its commitment to occupational health and safety principles. This policy serves as a foundational guideline for promoting a safe work environment and ensuring compliance with relevant regulations verified. Example: OH&S Policy Document, Version 3.2, And Effective Date: 2024-01-15, Document Number: OHSP-2024-001.

2. **Risk Assessment Report:** A documented risk assessment has been completed, effectively identifying hazards and their associated risks in accordance with the OH&S management system. This assessment serves as a critical tool for managing workplace safety and ensuring compliance with safety regulations evidences. Example: Risk Assessment Report, Assessment Date: 2024-02-20, Report Number: RA-2024-004, Conducted by: John Doe.

3. **Training Records:** Training records indicate that employees have undergone essential training on health and safety practices and procedures. These records ensure that staff is equipped with the necessary knowledge and skills to maintain a safe work environment and comply with OH&S requirements evidence. Example: Training Record, Course Title: "Fire Safety Training," Employee Name: Jane Smith, Training Date: 2024-03-10, Record Number: TR-2024-019.

4. **Incident Report:** Incident reports serve as documented evidence of workplace occurrences, detailing investigations conducted and corrective actions implemented. These reports are essential for analysing trends, preventing future incidents, and ensuring compliance with the organization's OH&S management system and safety protocols verified. Example: Incident Report, Incident Date: 2024-04-05, Report Number: IR-2024-005, Reported by: Emily Johnson.

5. **Internal Audit Report:** The internal audit report provides evidence of the assessment conducted on the OH&S management system, highlighting strengths and identifying areas needing improvement. This documentation is crucial for driving enhancements and ensuring on-going compliance with health and safety standards evidence. Example: Internal Audit Report, Audit Date: 2024-05-15, Report Number: IA-2024-007, Audited by: Sarah Brown.

6. **Management Review Meeting Minutes:** Meeting minutes from management reviews show the organization's dedication to evaluating and enhancing the OH&S management system. They document discussions on performance, identified issues, and decisions made to foster continuous improvement in occupational health and safety practices reviewed. Example: Management Review Minutes, Meeting Date: 2024-06-20, Document Number: MR-2024-002, Attendees: Mark Taylor, Lisa White.

7. **Emergency Preparedness Plan:** The documented emergency preparedness and response plan illustrates the organization's proactive approach to managing potential emergencies. It outlines procedures, roles, and resources necessary to effectively respond to various emergency situations, ensuring the safety of employees and stakeholder's evidence. Example: Emergency Preparedness Plan, Version 1.1, Approval Date: 2024-07-01, Document Number: EPP-2024-003.

8. **Legal Compliance Records:** Records demonstrating compliance with applicable legal and regulatory requirements confirm the organization's commitment to health and safety laws. These documents outline inspections, certifications, and any necessary updates, ensuring adherence to regulations and promoting a safe working environment for all employees verified. Example: Compliance Audit Record, Audit Date: 2024-08-10, Compliance Number: CA-2024-009, Reviewed by: Paul Harris.

9. **Performance Metrics Report:** Performance metrics associated with health and safety objectives provide insights into the effectiveness of the OH&S management system. These indicators help assess progress, identify areas for improvement, and ensure that safety goals are being met consistently across the organization reviewed. Example: Performance Metrics Report, Reporting Period: Q2 2024, Document Number: PM-2024-008, Total Incidents: 2, Lost Time Injury Rate: 0.05%.

10. **Supplier Evaluation Records:** Evaluation records for suppliers reflect the organization's commitment to upholding safety standards in third-party services. These records include assessments of compliance with safety requirements, performance reviews, and corrective actions taken to ensure adherence to established health and safety criteria evidence. Example: Supplier Evaluation Record, Supplier Name: XYZ Supplies, Evaluation Date: 2024-09-12, Record Number: SER-2024-006, Evaluated by: Clara Lee.

5. INTERVIEW QUESTIONS:

1. Can you describe how your organization identifies other interested parties relevant to the Occupational Health and Safety (OH&S) management system beyond just the workers?
2. What processes are in place to gather input from these interested parties regarding their health and safety concerns and expectations?
3. How does your organization ensure that the needs and expectations of workers and other interested parties are documented and communicated effectively?
4. Can you provide examples of feedback received from interested parties and how this feedback has been integrated into your OH&S management practices?
5. How often does your organization review and update the list of interested parties, and what criteria do you use for this review?
6. What methods do you use to assess the relevance of the needs and expectations identified from workers and other interested parties?
7. Can you show me any records or documents that demonstrate the analysis of needs and expectations of workers and other interested parties?
8. How does your organization differentiate between needs and expectations that are legal requirements versus those that are considered best practices or voluntary?
9. What steps does your organization take to ensure compliance with identified legal requirements related to health and safety that have been communicated by interested parties?
10. How do you communicate legal requirements and other obligations related to OH&S to your workers and relevant stakeholders?
11. Can you provide documentation showing the evaluation of how the needs and expectations of interested parties influence your OH&S objectives and policies?
12. How does your organization engage workers in the process of identifying their needs and expectations regarding health and safety?
13. Are there any specific incidents or examples where stakeholder feedback led to a significant change in your OH&S management system?
14. How does your organization track the effectiveness of actions taken in response to the needs and expectations of workers and other interested parties?
15. Can you share any recent improvements or changes made to your OH&S management system based on the evaluation of needs and expectations of workers and other interested parties?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Stakeholder Engagement:** The organization effectively identifies and involves various interested parties, including suppliers, contractors, regulatory agencies, and local communities, demonstrating a commitment to understanding diverse perspectives on occupational health and safety and fostering collaborative relationships for better outcomes.

2. **Proactive Feedback Mechanisms:** The auditee has established robust channels for collecting feedback from workers and stakeholders, such as regular surveys, safety committees, and suggestion boxes, ensuring that all voices are considered in the decision-making process, thereby enhancing engagement and participation.

3. **Documentation of Needs and Expectations:** Clear and thorough records document the needs and expectations identified from workers and interested parties. This practice not only promotes transparency and accountability but also facilitates easy access to vital information for continuous improvement initiatives within the organization.

4. **Integration into Management Practices:** The identified needs and expectations are seamlessly integrated into the organization's OH&S objectives, policies, and procedures. This alignment demonstrates a strong commitment to improving health and safety management practices and enhancing the overall effectiveness of the management system.

5. **Legal Compliance Awareness:** The auditee displays a solid understanding of the legal requirements pertinent to health and safety. By actively linking these requirements to stakeholder needs and expectations, the organization ensures compliance while fostering a culture of accountability and responsibility.

6. **Regular Review Process:** The organization conducts systematic and regular reviews of stakeholder needs and expectations, which allows them to adapt to changing requirements. This proactive approach enhances the organization's ability to maintain relevance and responsiveness in its health and safety practices.

7. **Engagement with Workers:** There is a concerted effort to involve workers in identifying their needs and expectations related to health and safety. This engagement fosters a culture of openness and inclusivity, empowering employees to contribute to a safer work environment.

8. **Training on Stakeholder Expectations:** The organization offers comprehensive training programs for employees focused on the importance of understanding and addressing the needs and expectations of interested parties. This initiative reinforces a proactive safety culture, enhancing employees' commitment to health and safety.

9. **Responsive Actions to Feedback:** The auditee has effectively implemented changes based on feedback from workers and other interested parties, demonstrating a willingness to take actionable steps. This responsiveness not only builds trust but also reinforces the organization's dedication to continuous improvement in health and safety.

10. **Positive Safety Culture:** The overall atmosphere within the organization reflects a strong commitment to health and safety. Management actively promotes awareness of the needs and expectations of both workers and other interested parties, fostering a collaborative environment focused on safety excellence.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Identification of Interested Parties:** The organization may have a limited understanding of interested parties relevant to the OH&S management system. Expanding stakeholder identification can enhance safety initiatives and ensure diverse perspectives are included, promoting a more inclusive health and safety culture.

2. **Feedback Collection Methods:** Current feedback collection methods might not reach all worker demographics effectively. Implementing various channels, such as anonymous surveys, focus groups, or digital platforms, can improve engagement and ensure a broader range of insights into health and safety needs.

3. **Documentation Consistency:** There may be inconsistencies in documenting the needs and expectations of interested parties. Establishing standardized documentation practices can enhance clarity, facilitate better tracking of changes over time, and ensure that all voices are represented in the management system.

4. **Legal Requirement Awareness:** The organization might lack a comprehensive understanding of how various needs and expectations translate into legal requirements. Providing regular training on legal obligations related to health and safety can improve compliance and reduce the risk of violations.

5. **Review Frequency of Stakeholder** Needs: The frequency of reviews regarding stakeholder needs and expectations may be insufficient. Increasing the review cycle to at least annually can ensure that the organization remains responsive to changes in the legal landscape and stakeholder concerns.

6. **Communication of Needs:** There may be inadequate communication of identified needs and expectations to all employees. Implementing regular updates through meetings, newsletters, or digital platforms can raise awareness and ensure that everyone is aligned with health and safety objectives.

7. **Engagement in Risk Assessments:** Worker involvement in risk assessments might be limited. Encouraging greater participation from diverse employee groups can lead to more comprehensive risk identification and promote a culture where health and safety is a shared responsibility.

8. **Action Plan Development:** The organization may lack formal action plans to address identified needs and expectations. Developing and implementing structured action plans can provide a clear roadmap for addressing stakeholder concerns and demonstrate a commitment to continuous improvement in health and safety management.

9. **Performance Metrics:** There may be a lack of specific performance metrics to evaluate how well the organization meets the needs and expectations of interested parties. Establishing key performance indicators (KPIs) can facilitate better monitoring and reporting of health and safety outcomes.

10. **Training on OH&S Policies:** Employees might not receive adequate training on the organization's OH&S policies and how they relate to stakeholder needs. Enhanced training programs can ensure that all staff members understand their roles in supporting health and safety objectives.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Incomplete Identification of Interested Parties:** The organization has failed to identify all relevant interested parties beyond workers, such as suppliers, contractors, customers, regulatory bodies, and the local community. This oversight limits the effectiveness of the OH&S management system in addressing comprehensive safety concerns and expectations.

   Example: The organization lacks stakeholder analysis documents that encompass all relevant groups, including suppliers, contractors, and community representatives. This absence hinders the organization's ability to address diverse perspectives and needs, ultimately compromising the effectiveness of its OH&S management system. FORM NO: XXX

2. **Lack of Feedback Mechanisms:** The organization has not established effective channels for collecting feedback from workers or other interested parties. This gap prevents valuable insights from being gathered, hindering the organization’s ability to address concerns and improve its OH&S management system.

   Example: There is an absence of documented procedures for collecting feedback, such as surveys or suggestion boxes, indicating a lack of structured engagement with employees regarding safety issues. This gap limits opportunities for input and improvement in the OH&S management system. FORM NO: XXX

3. **Poor Documentation of Needs and Expectations:** The documentation of relevant needs and expectations from interested parties is either missing or inadequately recorded. This lack of clarity hampers the organization's ability to address stakeholder concerns effectively and align its OH&S management system with external requirements.

   Example: Records within the management system are incomplete or poorly organized, including stakeholder expectations logs and meeting minutes that lack essential details. This disorganization can hinder effective communication and decision-making related to occupational health and safety management. FORM NO: XXX

4. **Infrequent Review of Stakeholder Needs:** The organization fails to conduct regular reviews or updates of stakeholder needs and expectations, leading to outdated information that may not accurately reflect current concerns. This oversight can impede the effectiveness of the OH&S management system and stakeholder engagement.

   Example: Absence of recent review records indicates that stakeholder expectations have not been assessed for over a year. This lack of updated information may hinder the organization's ability to effectively address current concerns and improve its OH&S management system. FORM NO: XXX

5. **Insufficient Legal Requirement Awareness:** Insufficient documentation or analysis reveals that the organization does not effectively identify stakeholder needs and expectations that may translate into legal obligations. This oversight could lead to non-compliance with relevant laws and regulations affecting occupational health and safety.

   Example: Missing compliance audit records or legal requirement registers demonstrate a lack of connection between legal obligations and stakeholder needs. This gap highlights insufficient awareness of relevant laws, potentially jeopardizing the organization's ability to meet both legal and safety standards. FORM NO: XXX

6. **Ineffective Communication of Needs and Expectations:**
   Identified needs and expectations have not been effectively communicated to employees or relevant parties, resulting in a lack of awareness regarding critical safety standards. This communication gap may hinder the organization's ability to maintain a safe and compliant workplace.

   Example: There are no documented communication plans or records of meetings discussing identified needs and expectations, leading to employees being unaware of crucial safety requirements. This lack of communication hinders the organization's ability to ensure a safe working environment. FORM NO: XXX

7. **Lack of Worker Involvement in Risk Assessments:** Workers are not engaged in the process of identifying their safety needs and expectations, resulting in a lack of input from those directly affected by safety practices. This oversight may hinder the effectiveness of the organization's safety management initiatives.

   Example: Risk assessment documentation lacks essential worker input, evidenced by missing sign-offs or feedback from employee representatives. This absence of collaboration may lead to oversight of critical safety concerns, diminishing the effectiveness of the overall risk management process. FORM NO: XXX

8. **Absence of Action Plans for Identified Needs:** No action plans have been developed to address the identified needs and expectations of stakeholders, indicating a gap in the organization's response strategy. This lack of planning may hinder effective engagement and improvement in stakeholder relationships.

   Example: Absence of documented action plans or initiatives targeting stakeholder feedback demonstrates insufficient follow-through on identified issues. This lack of records indicates that the organization may not be effectively addressing concerns or improving stakeholder relationships as needed. FORM NO: XXX

9. **No Tracking of Performance Metrics:** The organization lacks defined performance metrics to monitor stakeholder needs and expectations. There are no records or tools in place to assess how effectively these needs are being addressed, potentially undermining stakeholder trust and satisfaction with the organization.

   Example: There are no established KPIs or performance reports that measure stakeholder engagement or health and safety compliance. This absence indicates a lack of systematic evaluation, which may hinder the organization's ability to improve its OH&S management effectively. FORM NO: XXX

10. **Insufficient Training on Legal Requirements:** Employees lack sufficient training regarding legal requirements associated with stakeholder needs and expectations. This gap in knowledge may result in non-compliance and hinder the organization's ability to address safety concerns effectively and uphold regulatory standards.

    Example: Training records indicate a lack of sessions focused on relevant legal requirements, demonstrating inadequate employee preparation and understanding. This deficiency may lead to compliance risks, jeopardizing the organization's ability to meet safety regulations and stakeholder expectations effectively. FORM NO: XXX

4 CONTEXT OF THE ORGANIZATION

1. STANDARD REQUIRREMENTS:

4.3 DETERMINING THE SCOPE OF THE OH&S MANAGEMENT SYSTEM

The organization shall determine the boundaries and applicability of the OH&S management system to establish its scope.
When determining this scope, the organization shall:

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

b) Take into account the requirements referred to in 4.2;

c) Take into account the planned or performed work-related activities.

The OH&S management system shall include the activities, products and services within the organization's control or influence that can impact the organization's OH&S performance.

The scope shall be available as documented information.

2. EXPLAINATION:

Here's a detailed breakdown of ISO 45001:2018 Clause 4.3, including elaboration on each point and suitable examples:

1. **Determining Boundaries and Applicability:** The organization must clearly define the limits of its Occupational Health and Safety (OH&S) management system by identifying the specific areas covered, including locations, operations, and departments that impact OH&S performance. This clarity ensures that resources and efforts are concentrated where they can achieve the most significant impact, promoting a safer workplace and facilitating effective risk management, compliance, and continuous improvement in health and safety practices across the organization.

   Example: A manufacturing company may decide that its Occupational Health and Safety (OH&S) management system encompasses all production facilities but excludes office environments. This approach enables the company to focus on identifying hazards, risks, and safety measures specific to machinery and production activities, ensuring tailored safety protocols are implemented effectively. Simultaneously, it allows for the development of separate policies addressing office safety, promoting a comprehensive approach to overall workplace safety.

2. **Considering External and Internal Issues:** Organizations must assess both external and internal factors influencing their Occupational Health and Safety (OH&S) performance. External factors may include regulatory requirements, community health concerns, and market conditions, while internal factors encompass organizational culture, workforce capabilities, and operational procedures. Recognizing and understanding these elements is crucial for effective risk management and successful implementation of the OH&S management system, ultimately enhancing workplace safety and compliance across the organization.

Example: A construction firm may recognize external issues such as local government regulations on noise levels and internal challenges like a high rate of worker fatigue due to long hours. This awareness allows the firm to tailor its safety protocols effectively, ensuring compliance with regulations while addressing worker fatigue. By implementing strategies to mitigate these risks, the organization fosters a healthier work environment, ultimately reducing incidents and enhancing overall employee well-being.

3. **Taking into Account Requirements in 4.2:** This point highlights the necessity for the organization to consider the legal and other requirements relevant to its Occupational Health and Safety (OH&S) management system. This involves understanding regulations, standards, and contractual obligations associated with occupational health and safety. Addressing these requirements is crucial not only for ensuring compliance but also for safeguarding employee health and safety, ultimately fostering a culture of accountability and protection within the workplace.

   Example: A chemical manufacturing company must adhere to local environmental regulations that require specific safety protocols for handling hazardous materials. By incorporating these legal requirements into their Occupational Health and Safety (OH&S) management system, the company ensures comprehensive training, the provision of personal protective equipment, and the establishment of emergency response plans for employees. This proactive approach not only enhances compliance but also safeguards the health and safety of workers engaged in hazardous material handling.

4. **Considering Work-Related Activities:** Organizations must evaluate all work-related activities, whether planned or performed, to identify potential health and safety risks. This assessment encompasses regular operations, maintenance tasks, training programs, and remote work scenarios. A comprehensive understanding of these activities enables organizations to pinpoint hazards effectively and implement necessary controls, ensuring a safer workplace and mitigating risks. By prioritizing this evaluation, they enhance overall Occupational Health and Safety (OH&S) performance and employee well-being.

   Example: An IT services company may perform a risk assessment of its work-from-home policy, identifying the potential for ergonomic injuries among remote employees. By implementing guidelines for ergonomic setups and offering online training sessions, the company can effectively reduce risks associated with prolonged computer use. This proactive approach not only ensures employee safety but also enhances productivity, fostering a healthier remote work environment and promoting overall well-being among its workforce.

5. **Including Activities, Products, and Services Within Control or Influence:** The Occupational Health and Safety (OH&S) management system should cover all activities, products, and services that the organization controls or can influence, including those carried out by contractors, suppliers, or partners. By encompassing all relevant areas, organizations can effectively identify and manage risks, ensuring a comprehensive approach to safety. This inclusivity enhances overall OH&S performance, fostering a safer work environment and promoting a culture of health and safety throughout the organization.

   Example: A logistics company integrates its own warehousing operations and the activities of third-party logistics providers into its Occupational Health and Safety (OH&S) management system. This comprehensive approach ensures that safety practices are consistently maintained throughout the entire supply chain. By monitoring and enforcing

these practices, the company minimizes the risk of accidents during product handling and transportation, thereby promoting a safer work environment for all stakeholders involved in the logistics process.

6. **Documented Information of the Scope:** The organization must maintain documented information outlining the scope of its Occupational Health and Safety (OH&S) management system. This documentation serves as a vital reference for stakeholders, ensuring clarity about what the system encompasses. It enhances communication, facilitates effective training, and supports compliance audits by providing a clear framework for safety practices. By keeping this information accessible and up-to-date, the organization promotes transparency and accountability in its OH&S efforts.

   Example: A healthcare organization establishes a documented scope for its Occupational Health and Safety (OH&S) management system, outlining the specific departments, activities, and geographic locations included. This document is disseminated to all staff and made accessible during audits, ensuring that everyone is aware of the organization's commitment to safety and health within defined boundaries. By providing this clarity, the organization fosters a culture of safety and accountability among its employees.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** This document outlines the organization’s commitment to health and safety, reflecting its objectives, compliance with legal requirements, and dedication to continuous improvement. Auditors should verify its communication to all employees and alignment with strategic goals.
2. **Scope of the OH&S Management System:** The documented scope defines the boundaries and applicability of the OH&S management system, detailing activities, locations, and services covered. Auditors should ensure this document is current and available to all relevant stakeholders within the organization.
3. **Risk Assessments:** Comprehensive risk assessments identify potential hazards and evaluate their risks. Auditors should review these documents to confirm they are regularly updated and address the organization's specific activities, ensuring all relevant risks are considered and mitigated.
4. **Legal and Other Requirements:** Records demonstrating compliance with applicable legal and regulatory requirements are crucial. Auditors should check for documented processes that ensure on-going monitoring and understanding of these obligations to confirm the organization's compliance status.
5. **Objectives and Targets:** Documented OH&S objectives and targets provide measurable goals for improving health and safety performance. Auditors should review these objectives to assess their alignment with the OH&S policy and determine progress toward achieving them.
6. **Training Records:** Training records demonstrate that employees are competent in their roles regarding health and safety. Auditors should examine these records to ensure all personnel have received the necessary training and are aware of their safety responsibilities.

7. **Incident and Accident Reports:** Documented evidence of incidents and accidents, including investigations and corrective actions taken, is vital. Auditors should review these reports to assess the organization's response to incidents and its commitment to preventing future occurrences.
8. **Internal Audit Records:** Records of internal audits provide insights into the effectiveness of the OH&S management system. Auditors should check for documented findings, corrective actions, and follow-ups to confirm that the organization actively monitors and improves its system.
9. **Management Review Minutes:** Minutes from management review meetings should capture discussions regarding the OH&S management system's performance and opportunities for improvement. Auditors should ensure these records reflect meaningful engagement and actions taken by management to enhance safety.
10. **Emergency Preparedness and Response Plans:** Documented plans for emergency situations ensure that the organization is prepared for potential crises. Auditors should review these plans for comprehensiveness and alignment with identified risks to ensure the effectiveness of response measures.

4. OBJECTIVES EVIDENCES:

1. **OH&S Policy Review:** The organization's OH&S policy was reviewed, confirming it has been effectively communicated to all employees through training sessions, postings, and internal communications. Employee's demonstrated awareness of the policy, reflecting successful dissemination of health and safety commitments verified. Example: Document Number: OHSP-2024-01; Review Date: 2024-06-15; Reviewed by: John Smith (Safety Officer).

2. **Risk Assessment Records:** Comprehensive risk assessments were conducted across all operational areas, with documented findings highlighting identified hazards and corresponding mitigation measures. These records demonstrate a thorough approach to ensuring workplace safety and reducing potential risks effectively evidence. Example: Risk Assessment Report Number: RAR-2024-007; Assessment Date: 2024-05-10; Assessed by: Sarah Johnson (HSE Manager).

3. **Legal Compliance Verification:** Compliance with applicable legal and other requirements was confirmed through documented processes, including maintaining a legal register. This ensures that the organization meets relevant regulations and standards, demonstrating adherence to OH&S obligations verified. Example: Legal Register Document Number: LR-2024-02; Last Updated: 2024-07-01; Compliance Audit Date: 2024-08-10.

4. **Training Records:** Training records for employees indicate that all personnel received the necessary OH&S training relevant to their roles, ensuring they are equipped with the knowledge and skills required to maintain a safe and compliant work environment reviewed. Example: Training Record Form Number: TRF-2024-045; Training Date: 2024-03-20; Conducted by: Mike Davis (Training Coordinator).

5. **Incident Investigation Reports:** Incident investigation reports demonstrate that corrective actions were implemented following workplace incidents, with documented steps taken to address root causes, prevent recurrence, and ensure the on-going safety of employees in

alignment with OH&S requirements verified. Example: Incident Report Number: IR-2024-015; Investigation Date: 2024-09-05; Investigated by: Lisa Chen (Safety Analyst).

6. **Internal Audit Findings:** Internal audit records show that non-conformities were identified, with corrective actions initiated and tracked to resolution. Documentation includes assigned responsibilities, timelines, and follow-up to ensure compliance with OH&S management system requirements reviewed. Example: Internal Audit Report Number: IAR-2024-003; Audit Date: 2024-07-30; Corrective Action Tracking Number: CAT-2024-010.

7. **Management Review Documentation:** Minutes from management review meetings indicate discussions on OH&S performance, including incident trends, audit findings, and legal compliance, with documented actions for improvement and follow-up responsibilities assigned to relevant personnel evidence. Example: Management Review Minutes Document Number: MRMD-2024-05; Meeting Date: 2024-08-25; Attendees: Management Team.

8. **Emergency Preparedness Plan:** Documented emergency preparedness and response plans were reviewed, showing that the organization is equipped to handle potential crises. Plans include roles, responsibilities, communication procedures, and periodic drills to ensure effectiveness evidence. Example: Emergency Plan Document Number: EPP-2024-001; Last Reviewed: 2024-04-12; Prepared by: Robert White (Safety Manager).

9. **Objective and Target Records:** The organization has established and documented measurable OH&S objectives and targets, focusing on continuous improvement. These objectives are regularly monitored, aligned with the overall safety policy, and communicated to relevant personnel for effective implementation verified. Example: OH&S Objectives Document Number: OHD-2024-06; Objective Review Date: 2024-07-20; Responsible Person: Anna Lee (Quality Manager).

10. **Purchase Orders for Safety Equipment;** Purchase orders for safety equipment confirm the procurement of essential resources, ensuring the organization maintains a safe workplace. These records demonstrate the organization's commitment to providing appropriate tools and equipment for employee safety verified. Example: Purchase Order Number: PO-2024-108; Order Date: 2024-09-10; Supplier: SafeTech Solutions; Equipment: Personal Protective Equipment (PPE).

5. INTERVIEW QUESTIONS:

1. How does your organization determine the boundaries and applicability of the OH&S management system?

2. Can you provide documented evidence that outlines the scope of your OH&S management system?

3. What external and internal issues did you consider when defining the scope, and how were these issues identified?

4. How do you ensure that the OH&S management system addresses the specific requirements outlined in Clause 4.2?

5. Could you demonstrate how planned or performed work-related activities were taken into account when establishing the scope of the OH&S management system?

6. In what ways do you communicate the defined scope of the OH&S management system to relevant stakeholders within the organization?
7. How frequently do you review and update the scope of the OH&S management system to ensure it remains relevant?
8. Can you provide examples of activities, products, or services included in the scope that are under your organization's control or influence?
9. How do you assess the impact of these activities, products, or services on the overall OH&S performance of the organization?
10. Are there any activities, products, or services that you excluded from the scope? If so, what was the rationale behind these exclusions?
11. What processes do you have in place to monitor changes in internal and external issues that might affect the scope of the OH&S management system?
12. How do you ensure that employees and other relevant parties understand their roles within the defined scope of the OH&S management system?
13. Can you show any records or reports demonstrating the effectiveness of the OH&S management system within its defined scope?
14. How do you integrate feedback from audits or incidents to improve the scope of the OH&S management system?
15. What challenges have you encountered in determining and maintaining the scope of your OH&S management system, and how have you addressed them?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear Definition of Scope:** The organization has articulated a precise scope for its OH&S management system, explicitly stating the boundaries. This clarity helps all employees understand what is covered, promoting accountability and ensuring a consistent approach to health and safety practices.
2. **Comprehensive Documentation:** The auditee maintains thorough documentation related to the OH&S management system's scope, including policies, procedures, and records. This documentation is readily accessible, facilitating transparency and ensuring all stakeholders can review and understand the organization's health and safety commitments.
3. **Consideration of Internal and External Issues:** The organization has proactively identified both internal and external issues impacting its OH&S performance. This consideration shows a deep understanding of operational contexts, allowing the organization to anticipate challenges and implement effective strategies to mitigate potential risks.
4. **Integration of Legal and Other Requirements:** The auditee has effectively integrated legal and regulatory requirements into the scope determination process. This alignment not only ensures compliance but also demonstrates a commitment to uphold safety standards and protect employee welfare in all operational activities.
5. **Engagement of Employees:** The organization actively involves employees in discussions about the OH&S management system's scope. This inclusive approach fosters a culture of

safety, encourages employee ownership, and enhances overall engagement in maintaining health and safety standards across the workplace.

6. **Regular Review and Updates:** The auditee has established a systematic review process for the OH&S management system's scope. By regularly updating this scope in response to operational changes, the organization ensures its health and safety practices remain relevant and effective over time.

7. **Identification of Relevant Activities:** The organization has thoroughly identified and documented all work-related activities relevant to the OH&S management system. This comprehensive approach ensures that all potential hazards are recognized, allowing for appropriate controls and measures to be put in place.

8. **Impact Assessment:** The auditee has conducted detailed assessments of how its activities, products, and services impact OH&S performance. This analytical approach enables the organization to prioritize risk management efforts effectively, focusing on areas that could pose significant health and safety challenges.

9. **Effective Communication:** The scope of the OH&S management system is communicated clearly throughout the organization. By ensuring that all employees are informed of their roles and responsibilities regarding health and safety, the organization fosters a collective commitment to maintaining a safe work environment.

10. **Continuous Improvement Focus:** The auditee demonstrates a commitment to continuous improvement by regularly analysing feedback from audits and incidents. This proactive approach leads to refinements in the defined scope, enhancing the overall effectiveness of the OH&S management system and promoting a safer workplace.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Scope Clarity:** Enhancing the documentation outlining the OH&S management system's boundaries can prevent misunderstandings regarding its applicability across different departments. Clear definitions ensure that all employees recognize their responsibilities and the system's relevance to their specific roles.

2. **Inclusion of Relevant Activities:** A comprehensive review of work-related activities is essential to ensure that the OH&S management system encompasses all relevant areas. Identifying any overlooked activities can help strengthen safety measures and mitigate potential risks in the workplace.

3. **Stakeholder Engagement:** Involving a wider range of stakeholders, including frontline employees and supervisors, in the scope determination process can provide valuable insights. Their perspectives can enhance the system's effectiveness, ensuring it addresses real-world challenges faced during daily operations.

4. **External and Internal Issues Review:** Conducting thorough assessments of both external and internal factors influencing health and safety can improve the scope determination process. This practice ensures that the organization is proactive in identifying risks and adapting the OH&S management system accordingly.

5. **Documentation Accessibility:** Ensuring that documented information regarding the OH&S management system's scope is easily accessible to all employees enhances transparency. This accessibility fosters a culture of safety, empowering employees to understand and comply with health and safety protocols.
6. **Regular Scope Reviews:** Establishing a more frequent schedule for reviewing the OH&S management system's scope allows the organization to adapt to operational changes promptly. Regular reviews ensure that the scope remains relevant and effective in addressing emerging risks and challenges.

7. **Integration with Other Management Systems:** Strengthening the integration of the OH&S management system with other management systems, such as quality and environmental, can streamline processes. This holistic approach enhances overall risk management and ensures consistent health and safety practices across the organization.

8. **Training on Scope Understanding:** Providing targeted training sessions about the OH&S management system's scope enhances employees' understanding of their roles and responsibilities. Improved comprehension fosters a stronger commitment to maintaining workplace safety and encourages proactive participation in safety initiatives.

9. **Change Management Procedures:** Strengthening procedures for managing changes impacting the scope of the OH&S management system ensures systematic assessments and communications. This process can help maintain compliance and reinforce the organization's commitment to safety amidst evolving operational circumstances.

10. **Incident Review Process:** Integrating insights from incident and near-miss reports into the scope determination process can identify areas for improvement. Analysing these occurrences allows the organization to refine risk assessments and enhance the effectiveness of safety measures implemented.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Undefined Scope:** The organization lacks a clearly defined scope for its OH&S management system, resulting in ambiguity regarding the areas, activities, and processes covered. This oversight may hinder effective implementation and compliance with occupational health and safety standards.

   Example: There is no documented scope statement or the scope description in the OH&S policy document is incomplete, leading to uncertainty about the boundaries and applicability of the occupational health and safety management system across the organization. FORM NO: XXX

2. **Lack of External and Internal Issues Consideration:** The organization fails to sufficiently incorporate relevant external and internal issues, such as regulatory changes or organizational culture, when defining the scope of the OH&S management system, potentially overlooking critical factors that influence occupational health and safety performance.
   Example: There are no available records or meeting minutes indicating discussions on external and internal issues relevant to the OH&S management system, highlighting a lack of awareness and consideration of critical factors that could impact health and safety performance. FORM NO: XXX

3. **Incomplete Requirements Review:** There is no evidence of a comprehensive review process for legal and other requirements related to the OH&S management system, indicating potential gaps in compliance and awareness of obligations that could affect workplace safety and health performance.

Example: Records indicate deficiencies in evaluating legal requirements, with missing references to relevant local regulations, highlighting potential compliance risks and inadequate awareness of obligations that could impact the organization's occupational health and safety management system. FORM NO: XXX

4. **Exclusion of Relevant Activities:** The scope statement lacks comprehensive coverage of all work-related activities affecting occupational health and safety performance, resulting in potential oversights in addressing hazards and risks associated with specific tasks and operations within the organization.

   Example: Missing documentation of key activities, such as maintenance tasks or subcontractor operations, which are not included in the defined scope of the OH&S management system, indicating potential gaps in hazard identification and risk management processes. FORM NO: XXX

5. **Documentation Not Available:** Documentation outlining the scope of the OH&S management system is not easily accessible to employees, lacking visibility in shared drives or physical locations, which may hinder understanding and compliance with safety protocols and procedures among staff members.

   Example: The OH&S management system scope document is not accessible on the company intranet or displayed in common areas, limiting employees' ability to reference critical safety information and understands their roles in maintaining a safe workplace environment. FORM NO: XXX

6. **Failure to Address Changes:** There is no evidence of reviewing or updating the OH&S management system scope after significant operational changes, such as new projects or processes, which may lead to unaddressed safety risks and non-compliance with relevant safety regulations.

   Example: The scope documentation is outdated and fails to reflect recent changes in work processes and facility expansions. This oversight may result in gaps within the Occupational Health and Safety (OH&S) management system, compromising safety measures and compliance with current regulations. FORM NO: XXX

7. **Lack of Stakeholder Involvement:** Stakeholder involvement in defining the scope of the Occupational Health and Safety (OH&S) management system is inadequate, which may lead to oversight of critical safety concerns, misalignment with organizational objectives, and reduced effectiveness in managing health and safety risks.

   Example: Meeting minutes and communication records indicate a lack of input from essential stakeholders, including workers and department heads. This absence of engagement may hinder the effectiveness of decision-making processes and compromise the implementation of the Occupational Health and Safety (OH&S) management system. FORM NO: XXX

8. **Inconsistent Scope across Departments:** Different departments maintain inconsistent definitions of the scope within their local Occupational Health and Safety (OH&S) management systems, leading to confusion, misalignment in safety practices, and challenges in implementing unified health and safety protocols across the organization.

   Example: Variations in scope documentation across departmental policies create confusion and inconsistency in safety practices. This lack of standardization hinders effective communication, impairs compliance efforts, and compromises the overall effectiveness of the organization's Occupational Health and Safety management initiatives. FORM NO: XXX

9. **Absence of Performance Metrics:** The organization fails to establish performance metrics for evaluating the effectiveness of its Occupational Health and Safety (OH&S) management system's scope. This oversight limits the ability to assess compliance, identify areas for improvement, and enhance overall workplace safety performance.

Example: Key performance indicators (KPIs) or metrics related to scope effectiveness are missing in Occupational Health and Safety (OH&S) reports. This absence hinders the organization's ability to monitor progress, assess compliance, and implement necessary improvements to enhance workplace safety outcomes. FORM NO: XXX

10. **Insufficient Review of Work-Related Activities:** The organization inadequately reviews planned or performed work-related activities during scope determination. This lack of thorough assessment can lead to overlooked hazards, ineffective safety measures, and insufficient alignment with Occupational Health and Safety (OH&S) objectives, compromising overall workplace safety.

    Example: Documentation reveals a lack of assessment records or evaluations concerning work-related activities impacting safety. This deficiency undermines the organization's ability to identify hazards, evaluate risks, and implement effective Occupational Health and Safety measures, potentially endangering employee well-being. FORM NO: XXX

4 CONTEXT OF THE ORGANIZATION

1. **STANDARD REQUIRREMENTS:**

   4.4 OH&S MANAGEMENT SYSTEM

   The organization shall establish, implement, maintain and continually improve an OH&S management system, including the processes needed and their interactions, in accordance with the requirements of this document.

2. **EXPLAINATION:**

1. **Establishing the OH&S Management System:** Organizations must clearly define the scope of their Occupational Health and Safety (OH&S) management system by considering both internal and external factors that can affect health and safety. This process includes identifying relevant legal requirements and ensuring that the OH&S system aligns with organizational goals. By integrating these elements, organizations can effectively manage risks, enhance compliance, and promote a culture of safety that supports their overall objectives.

   Example: A manufacturing company defines its Occupational Health and Safety (OH&S) management system to encompass all operational areas, including production, maintenance, and administration. This comprehensive approach ensures compliance with local safety regulations while effectively addressing specific hazards unique to each area. By outlining this broad scope, the company promotes a proactive safety culture, enhances risk management, and safeguards the health and well-being of employees throughout the organization.

2. **Implementing the OH&S Management System:** Once established, the Occupational Health and Safety (OH&S) management system must be implemented effectively. This involves allocating necessary resources, assigning specific roles and responsibilities, and providing comprehensive training to employees. The organization should ensure that all workers clearly understand their roles in maintaining a safe workplace. By fostering this understanding, the organization enhances its safety culture, empowers employees, and promotes proactive participation in upholding health and safety standards.

   Example: A construction firm conducts comprehensive training sessions for all employees, focusing on safety protocols and emergency procedures. These sessions equip workers with the essential knowledge and skills to effectively handle potential hazards on-site. By prioritizing training, the firm fosters a culture of safety, ensuring that employees are well-prepared to respond to emergencies and mitigate risks, ultimately enhancing the overall safety and well-being of everyone involved in the construction process.

3. **Maintaining the OH&S Management System:** Maintaining the Occupational Health and Safety (OH&S) management system requires regular monitoring and measurement of performance. This includes conducting internal audits, inspections, and risk assessments to ensure compliance with established policies and regulations. Proper documentation is crucial for demonstrating adherence to safety standards and facilitating effective

communication among stakeholders. By implementing these practices, the organization can continuously improve its OH&S efforts and foster a safer workplace environment.

Example: A logistics company conducts quarterly safety audits and actively encourages employees to report near-miss incidents. This proactive approach helps identify potential risks before they escalate into accidents. By fostering an open reporting culture, the company enhances its ability to mitigate risks effectively, ensuring a safer work environment. This commitment to continuous improvement in safety practices not only protects employees but also contributes to the overall efficiency and reliability of logistics operations.

4. **Continually Improving the OH&S Management System**
   Continual improvement of the Occupational Health and Safety (OH&S) management system emphasizes enhancing safety performance through regular reviews and feedback mechanisms. This process involves analysing incident reports, gathering employee feedback, and evaluating audit results to identify opportunities for improvement. By implementing corrective actions based on these insights, the organization fosters a culture of safety, proactively addressing issues and continually refining its practices to ensure a safer work environment for all employees.

   Example: An office environment introduces a suggestion box for employees to propose safety improvements, encouraging active participation in enhancing workplace safety. After analysing the suggestions, management updates safety protocols to incorporate ergonomic assessments and mental health resources. This responsive approach not only addresses employee concerns but also promotes a healthier work environment. By valuing employee input, the organization fosters a culture of safety and well-being, ultimately enhancing overall productivity and job satisfaction.

5. **Ensuring Process Interaction:** The organization must ensure that processes within the Occupational Health and Safety (OH&S) management system are integrated and interact effectively. This involves understanding the interconnections between various processes and their impact on health and safety. By facilitating seamless information flow between departments, the organization can enhance collaboration and coordination. This holistic approach ensures that all aspects of safety are addressed, leading to improved overall performance and a safer workplace for all employees.

   Example: A healthcare facility develops a shared database that integrates incident reporting, training records, and compliance checks, enabling departments to access real-time data. This interconnected system enhances safety by providing timely information, allowing staff to respond promptly to emerging issues. By fostering collaboration across departments, the facility improves communication and coordination, ultimately leading to more effective safety measures and a proactive approach to addressing potential risks in the healthcare environment.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The OH&S policy outlines the organization's commitment to maintaining a safe workplace. It specifies safety objectives, assigns responsibilities, and ensures alignment with legal requirements, reflecting the organization's intent to prevent workplace injuries and illnesses through a proactive approach.

2. **Risk Assessment Records:** Risk assessment records provide comprehensive documentation of the identification and evaluation of workplace hazards. They detail the methodology used, potential risks, control measures implemented, and on-going evaluations to ensure effectiveness, serving as a basis for continual safety improvements.

3. **Incident Reports:** Incident reports capture detailed accounts of accidents, injuries, and near misses within the workplace. They include investigation findings, root cause analyses, and documented corrective actions, helping to identify trends and prevent future occurrences by addressing systemic issues.

4. **Training Records:** Training records document all safety training sessions conducted for employees, including content covered, attendance lists, and competency assessments. These records ensure that employees are adequately trained to perform their jobs safely and understand their OH&S responsibilities.

5. **Internal Audit Reports:** Internal audit reports provide insights into the effectiveness of the OH&S management system. They highlight compliance levels, non-conformities found, recommendations for improvement, and subsequent actions taken, ensuring the organization continuously meets its health and safety objectives.

6. **Management Review Minutes:** Minutes from management review meetings detail discussions on OH&S system performance, including analyses of incidents, audit findings, and resource allocations. These records demonstrate management's commitment to continual improvement and strategic decision-making regarding occupational health and safety.

7. **Legal and Compliance Documentation:** Legal and compliance documentation evidences the organization's adherence to local, national, and international safety laws. This includes licenses, permits, and correspondence with regulatory bodies, ensuring that the organization operates within legal frameworks and mitigates potential legal risks.

8. **Emergency Preparedness and Response Plans:** Emergency preparedness plans outline procedures for various potential emergencies, including evacuation routes, responsibilities, and communication protocols. Regular drills ensure that employees are familiar with these plans, enhancing readiness and reducing response times during actual emergencies.

9. **Communication Records:** Communication records include safety-related information shared with employees and stakeholders. This can encompass safety bulletins, newsletters, or incident notifications, facilitating a culture of safety by keeping all parties informed about health and safety matters and encouraging proactive engagement.

10. **Performance Monitoring Records:** Performance monitoring records track and evaluate key performance indicators (KPIs) related to OH&S. These documents illustrate how well the organization meets its safety goals, enabling management to identify trends, assess effectiveness, and make informed decisions for improvement.

4. OBJECTIVES EVIDENCES:

1. **OH&S Policy Document:** Our organization is committed to ensuring a safe and healthy work environment for all employees. We adhere to applicable health and safety regulations, promote continuous improvement, and provide training and resources to prevent workplace incidents. Our goal is to foster a culture of safety and well-being across all operations verified. Example: Document Number: OHSP-2024-001, Revision Date: 2024-01-15.

2. **Risk Assessment Records:** Risk assessments in the workplace identify potential hazards, assess their impact, and implement control measures to mitigate risks. Records include details of identified hazards, risk levels, and preventive actions such as engineering controls, PPE usage, and employee training. Regular reviews ensure on-going effectiveness and compliance with safety standards evidence. Example: Risk Assessment Report Number: RAR-2024-03, Assessment Date: 2024-02-10, Assessed By: John Doe.

3. **Incident Reports:** Incident documentation includes detailed reports of workplace incidents, investigations to determine root causes, and corrective actions taken to prevent recurrence. Each report outlines the incident, findings from the investigation, and measures implemented, demonstrating the organization's commitment to addressing safety concerns and ensuring a safer work environment reviewed. Example: Incident Report Number: IR-2024-045, Date of Incident: 2024-04-01, Investigated By: Jane Smith.

4. **Training Records:** Health and safety training records document all training sessions provided to employees, covering topics like hazard awareness, emergency procedures, and proper equipment use. These records include attendance, training dates, and content summaries, ensuring that all personnel are adequately trained to maintain a safe workplace and comply with safety regulations verified. Example: Training Session Number: TS-2024-007, Date: 2024-05-20, Participants: 25 Employees, Conducted By: Safety Trainer XYZ.

5. **Internal Audit Reports:** The internal audit report assesses compliance with the OH&S management system, highlighting both conformity and non-conformities. It details areas of strength, as well as identified gaps, including corrective actions required. The report demonstrates the system's effectiveness and commitment to continuous improvement in health and safety practices across the organization reviewed. Example: Audit Report Number: IA-2024-002, Audit Date: 2024-06-15, Auditors: Team A.

6. **Management Review Minutes:** Minutes from management review meetings capture discussions on OH&S performance, including incident rates, audit results, and risk assessments. They outline actions taken to address issues, track progress, and propose strategies for improvement. The minutes reflect management's commitment to enhancing health and safety standards and fostering continuous system improvements evidence. Example: Meeting Minutes Document Number: MRM-2024-004, Meeting Date: 2024-07-10, Attendees: Management Team XYZ.

7. **Legal and Compliance Documentation:** Compliance documentation includes records of audits, certifications, and inspections verifying adherence to legal and regulatory occupational health and safety requirements. These records confirm that the organization meets applicable safety standards, such as OSHA regulations, and include evidence of permits, licenses, and regular reviews to ensure on-going legal compliance verified. Example: Compliance Certificate Number: CC-2024-100, Issued Date: 2024-03-01, Issued By: Regulatory Authority XYZ.

8. **Emergency Preparedness Plans:** Emergency preparedness and response plans detail procedures for handling potential emergencies such as fires, chemical spills, and medical incidents. These plans include evacuation routes, emergency contacts, roles and responsibilities, and first aid measures. Regular drills and reviews ensure readiness, minimizing risks and safeguarding employees in crisis situations verified. Example: Emergency Plan Document Number: EP-2024-005, Plan Approval Date: 2024-08-01, Approved By: Emergency Coordinator ABC.

9. **Performance Monitoring Records:** Records of OH&S performance monitoring include data on key safety metrics such as incident rates, near-misses, and corrective actions. These measurements are tracked against established safety goals to ensure adherence, with regular reviews and adjustments made to improve performance and maintain a safe working environment across the organization reviewed. Example: Performance Metric Report Number: PMR-2024-008, Reporting Period: 2024-Q2, Report Compiled By: Data Analyst YYY.

10. **Corrective Action Records:** Corrective action documentation outlines the steps taken to address non-conformities, including root cause analysis, corrective measures, and timelines for resolution. These records demonstrate the organization's commitment to continual improvement by tracking the effectiveness of actions taken and ensuring that similar issues are prevented in the future evidence. Example: Corrective Action Report Number: CAR-2024-003, Action Implementation Date: 2024-09-05, Responsible Person: Safety Officer ZZZ.

5. INTERVIEW QUESTIONS:

1. Can you explain how your organization established the OH&S management system, including the processes and their interactions?
2. What specific processes have you identified as essential for the implementation of your OH&S management system?
3. How do you ensure that the roles and responsibilities related to the OH&S management system are clearly defined and communicated within the organization?
4. Can you provide evidence of the resources allocated to support the establishment and maintenance of the OH&S management system?
5. How does your organization identify and assess health and safety risks associated with its activities?
6. Can you demonstrate how you monitor and measure the effectiveness of the OH&S management system?

7. What procedures do you have in place for managing non-conformities related to the OH&S management system, and how are corrective actions implemented?
8. How frequently do you conduct reviews of the OH&S management system to ensure its continued suitability, adequacy, and effectiveness?
9. Can you provide examples of how feedback from employees and other stakeholders is incorporated into the improvement of the OH&S management system?
10. What training programs are in place to ensure that employees are aware of their responsibilities regarding the OH&S management system?
11. How do you communicate relevant information regarding the OH&S management system to all employees?
12. Can you explain how you ensure compliance with applicable legal and other requirements related to health and safety?
13. How do you document changes to the OH&S management system, and what process is in place to communicate these changes to relevant personnel?
14. What measures are in place to ensure that the OH&S management system is continually improved based on performance evaluations and audits?
15. Can you share examples of recent improvements made to the OH&S management system as a result of your management reviews or audit findings?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive System Establishment:** The organization has developed a thorough OH&S management system that meets ISO 45001:2018 standards. This indicates a strong commitment to fostering a safe work environment and adhering to best practices in occupational health and safety management.
2. **Effective Risk Management:** Robust processes are in place for identifying and assessing workplace hazards, allowing the organization to implement appropriate control measures. This proactive risk management approach demonstrates a commitment to preventing accidents and protecting employee well-being.
3. **Clear Roles and Responsibilities:** The organization has established a transparent structure outlining specific roles and responsibilities for OH&S management. This clarity ensures accountability, promotes effective communication, and facilitates seamless coordination among team members in implementing safety initiatives.
4. **Resource Allocation:** Adequate resources have been allocated to support the OH&S management system, including trained personnel, safety equipment, and training programs. This investment reflects the organization's dedication to maintaining high safety standards and ensuring employees have the necessary tools to work safely.
5. **Employee Engagement:** The organization actively involves employees in OH&S processes, encouraging their feedback and participation in safety initiatives. This engagement fosters a strong safety culture and enhances employees' sense of ownership regarding their health and safety at work.

6. **Regular Training Programs:** Regular training programs ensure that employees are well-informed about health and safety policies, procedures, and their specific responsibilities within the OH&S management system. This on-going education contributes to a safer work environment and reduces the likelihood of incidents.

7. **Monitoring and Measurement:** The organization effectively monitors and measures OH&S performance through established metrics and indicators. This systematic approach allows for continuous evaluation and improvement, ensuring the organization stays aligned with its health and safety objectives.

8. **Management Review Process:** Regular management reviews of the OH&S management system provide a structured framework for evaluating performance, discussing challenges, and making strategic decisions. This process reinforces the organization's commitment to continuous improvement and maintaining a high standard of workplace safety.

9. **Responsive to Non-Conformities:** A clear and documented process for addressing non-conformities ensures that safety issues are promptly investigated and resolved. This proactive response system helps prevent recurrence and strengthens the overall effectiveness of the OH&S management system.

10. **Commitment to Compliance:** The organization demonstrates a strong commitment to legal and regulatory compliance regarding occupational health and safety. Thorough documentation and proactive measures ensure that all applicable requirements are met, minimizing legal risks and enhancing safety accountability.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Documentation Gaps:** The organization may have inadequate documentation that outlines processes and interactions within the OH&S management system. Enhancing documentation can improve clarity, ensure employees understand their roles, and facilitate compliance with safety procedures, ultimately leading to a safer work environment.

2. **Lack of Regular Reviews:** Failure to conduct regular reviews of the OH&S management system may result in outdated practices and missed opportunities for improvement. Implementing a routine review schedule can help identify weaknesses, ensure alignment with organizational objectives, and maintain system effectiveness over time.

3. **Insufficient Employee Training:** Training programs may not adequately address all components of the OH&S management system. Expanding training efforts to cover safety procedures comprehensively can enhance employee awareness, improve compliance, and empower workers to recognize and mitigate potential hazards effectively.

4. **Limited Employee Engagement:** Insufficient employee engagement in the OH&S management system's development and implementation can hinder effectiveness. Encouraging greater participation and feedback from staff fosters a culture of safety, enhances ownership of health and safety practices, and leads to better outcomes.

5. **Inadequate Risk Assessment Processes:** Current risk assessment processes may lack thoroughness or regular updates. Strengthening these processes through more frequent

evaluations and diverse stakeholder involvement can improve hazard identification, enhance risk mitigation strategies, and create a safer workplace for everyone.

6. **Weak Communication Channels:** Ineffective communication regarding health and safety policies may result in misunderstandings or non-compliance. Establishing clearer communication channels and utilizing multiple formats—like meetings, bulletins, and digital platforms—can improve employee awareness and adherence to safety procedures.

7. **Underutilization of Technology:** The organization may not fully utilize technology to monitor and report OH&S performance. Adopting digital tools for data collection and analysis can streamline reporting processes, enhance efficiency, and provide real-time insights into safety performance and compliance levels.

8. **Insufficient Monitoring and Measurement:** Current metrics for monitoring OH&S performance may lack comprehensiveness and relevance. Developing robust indicators and regularly reviewing their effectiveness can provide deeper insights into safety performance, highlight areas needing attention, and facilitate data-driven decision-making.

9. **Failure to Document Non-Conformities:** Inconsistencies in documenting and addressing non-conformities can lead to unresolved issues and recurring incidents. Improving the documentation process and ensuring systematic follow-ups on corrective actions can enhance accountability, promote learning, and strengthen the overall OH&S management system.

10. **Infrequent Management Reviews:** Management reviews of the OH&S management system may not occur often enough to address emerging issues. Increasing the frequency of these reviews ensures on-going alignment with strategic goals, promotes proactive problem-solving, and fosters a culture of continuous improvement.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Documented Procedures:** The organization currently lacks documented procedures for its OH&S management system, which hinders effective implementation and compliance. This absence can lead to inconsistencies in safety practices, insufficient risk management, and challenges in demonstrating adherence to legal and regulatory requirements, ultimately impacting overall workplace safety and employee well-being.

   Example: The organization lacks OH&S manual and documented procedures, resulting in gaps in the management system documentation. Additionally, missing document reference numbers, such as “OH&S-001,” hinder traceability and organization of critical safety information. This absence compromises compliance and the effectiveness of the OH&S management system overall. FORM NO: XXX

2. **Inconsistent Implementation of Procedures:** Documented procedures are not consistently adhered to across the organization, leading to variations in safety practices and potential risks. This inconsistency may result in ineffective implementation of the OH&S management system, increasing the likelihood of incidents and undermining the organization’s commitment to maintaining a safe and compliant workplace.

Example: Observations during site visits revealed deviations from established procedures, such as the "Safety Inspection Checklist – XYZ-Form-102" being incorrectly filled out or not completed at all. These discrepancies indicate a lack of adherence to safety protocols, potentially compromising workplace safety and highlighting the need for improved training and oversight. FORM NO: XXX

3. **Insufficient Risk Assessments:** Risk assessments are either not conducted or incomplete for identified hazards, compromising the organization's ability to effectively manage safety risks. This oversight may lead to unaddressed dangers in the workplace, increasing the likelihood of incidents and undermining the overall effectiveness of the OH&S management system and employee safety.

   Example: Missing risk assessment records, such as the "Risk Assessment Report – RA-2024-001" for specific operations, indicate gaps in hazard evaluation processes. This absence undermines the organization's ability to identify and mitigate risks effectively, potentially jeopardizing employee safety and compliance with OH&S regulations during critical tasks and operations. FORM NO: XXX

4. **Failure to Maintain OH&S Records:** The organization fails to maintain essential OH&S records for monitoring and measurement, which impairs the ability to track safety performance effectively. This oversight hampers compliance with regulatory requirements and limits the organization's capacity to identify trends, address issues proactively, and demonstrate a commitment to continuous improvement in workplace safety.

   Example: Missing records for incidents or near misses, such as the "Incident Report – IR-2024-005," indicate a significant gap in safety documentation. This absence compromises the organization's ability to analyze trends, implement corrective actions, and foster a culture of safety, ultimately increasing the risk of future incidents and undermining compliance efforts. FORM NO: XXX

5. **Infrequent Management Reviews:** Management reviews of the OH&S management system occur infrequently or not at all, hindering effective oversight and continuous improvement. This lack of regular evaluation prevents timely identification of safety performance issues, obstructs the implementation of necessary changes, and compromises the organization's commitment to maintaining a safe and compliant workplace.

   Example: Missing review meeting minutes for over a year, such as those from "Management Review – 2023," indicate a failure to assess OH&S performance regularly. This absence suggests a lack of management oversight, impeding the identification of safety issues and preventing the implementation of necessary improvements to enhance workplace safety. FORM NO: XXX

6. **Lack of Employee Training:** Employees have not received adequate training on the OH&S management system, leading to gaps in understanding safety protocols and procedures. This lack of training increases the risk of incidents and non-compliance, undermining the organization's commitment to ensuring a safe work environment and promoting a culture of safety awareness.

   Example: Training records reveal that employees have not completed required OH&S training, such as gaps indicated in the "Training Completion Record – 2024-001." These deficiencies in training compliance expose the organization to increased safety risks and

regulatory non-compliance, highlighting the need for improved training programs and accountability measures. FORM NO: XXX

7. **Absence of Corrective Action Records:** Non-conformities are not documented, and corrective actions are not tracked, leading to unresolved safety issues and repeated incidents. This lack of accountability hampers the organization's ability to learn from mistakes, undermining the effectiveness of the OH&S management system and jeopardizing overall workplace safety and compliance efforts.

   Example: Missing records of corrective actions taken after incidents, such as the "Corrective Action Plan – CAP-2024-003," hinder the organization's ability to address safety issues effectively. This absence prevents evaluation of the effectiveness of implemented measures, potentially leading to recurring incidents and undermining the commitment to continuous improvement in safety practices. FORM NO: XXX

8. **Insufficient Emergency Preparedness Plans:** Emergency preparedness plans are outdated or incomplete, failing to reflect current risks and best practices. This deficiency compromises the organization's ability to respond effectively to emergencies, increasing the potential for confusion and inadequate responses during critical situations. Regular updates are essential to ensure employee safety and regulatory compliance.

   Example: Missing or outdated emergency response plans, such as the "Emergency Plan – EP-2023," fail to address current risks and scenarios. This neglect compromises the organization's preparedness for emergencies, increasing the likelihood of ineffective responses and endangering employee safety. Regular updates are crucial for maintaining a robust emergency management framework. FORM NO: XXX

9. **Lack of Communication of OH&S Policies:** OH&S policies are not communicated effectively to employees, resulting in a lack of awareness and understanding of safety protocols. This communication gap may lead to non-compliance and increased risk of incidents, undermining the organization's commitment to fostering a safe work environment and ensuring that all personnel are informed and engaged.

   Example: The absence of communication records or newsletters disseminating OH&S policies, such as the missing "Safety Policy Communication – 2024," indicates a failure to inform employees about critical safety information. This lack of communication may hinder awareness and compliance, ultimately compromising workplace safety and the effectiveness of the OH&S management system. FORM NO: XXX

10. **Inadequate Monitoring and Measurement:** The organization does not adequately monitor or measure the effectiveness of its OH&S performance, resulting in insufficient data to evaluate safety outcomes. This lack of oversight prevents the identification of trends and issues, undermining the organization's ability to implement improvements and ensure a safe working environment for all employees.

    Example: Missing monitoring data or reports, such as the "Monthly Safety Performance Report – 2024-06," hinder the organization's ability to assess OH&S performance effectively. This absence of critical information impedes data-driven decision-making, compromises safety evaluations, and limits the organization's capacity to identify areas for improvement and enhance overall workplace safety. FORM NO: XXX

5 LEADERSHIP AND WORKER PARTICIPATION

1. STANDARD REQUIREMENT

5.1 LEADERSHIP AND COMMITMENT

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

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

b) ensuring that the OH&S policy and related OH&S objectives are established and are compatible with the strategic direction of the organization;

c) ensuring the integration of the OH&S management system requirements into the organization's business processes;

d) ensuring that the resources needed to establish, implement, maintain and improve the OH&S management system are available;

e) communicating the importance of effective OH&S management and of conforming to the OH&S management system requirements;

f) ensuring that the OH&S management system achieves its intended outcome(s);

g) directing and supporting persons to contribute to the effectiveness of the OH&S management system;

h) ensuring and promoting continual improvement;

i) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility;

j) developing, leading and promoting a culture in the organization that supports the intended outcomes of the OH&S management system;

k) protecting workers from reprisals when reporting incidents, hazards, risks and opportunities;

l) ensuring the organization establishes and implements a process(es) for consultation and participation of workers (see 5.4);

m) Supporting the establishment and functioning of health and safety committees, [see 5.4 e) 1)].

NOTE: Reference to "business" in this document can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence.

2. EXPLAINATION:

a) **Overall Responsibility and Accountability:** Leadership must take full ownership of preventing work-related injuries and ensuring safe workplaces. This responsibility involves establishing clear policies and procedures that prioritize health and safety at all levels of the organization. By committing to a proactive safety culture, leaders can set the tone for accountability and encourage employee engagement. Effective communication of these policies reinforces the importance of safety, fostering an environment where everyone feels responsible for their well-being.

   Example: A CEO implements regular safety audits across all departments to ensure adherence to established safety protocols. By conducting these audits, the CEO demonstrates a commitment to maintaining high safety standards within the organization. Additionally, they encourage feedback on safety issues from employees, fostering an open dialogue about potential hazards. This proactive approach not only promotes accountability but also reinforces a culture of safety, ensuring a healthier work environment for everyone.

b) **Establishing OH&S Policy and Objectives:** Organizations must establish an Occupational Health and Safety (OH&S) policy that aligns with their strategic goals, creating a cohesive framework for managing health and safety. By integrating OH&S into their overall business strategy, organizations ensure a unified approach that prioritizes employee well-being and risk management. This alignment not only enhances compliance with regulations but also fosters a culture of safety, ultimately contributing to improved organizational performance and sustainability.

   Example: A manufacturing company aims to reduce workplace accidents by 25% within a year, aligning this objective with its broader strategy of enhancing employee well-being and operational efficiency. By setting this specific goal, the company emphasizes its commitment to safety while also improving productivity. Implementing targeted safety initiatives, training programs, and regular assessments will support this objective, ultimately fostering a safer work environment and promoting overall organizational success.

c) **Integration of OH&S Management System:** The Occupational Health and Safety (OH&S) management system should be integrated into the organization's core processes, making safety a fundamental aspect of all operations. By embedding OH&S into daily activities and decision-making, organizations ensure that safety considerations are prioritized across all levels. This holistic approach fosters a culture of safety, enhancing employee awareness and engagement, ultimately leading to improved health outcomes and operational efficiency throughout the organization.

   Example: An IT firm integrates safety training into the employee onboarding process, highlighting its significance from the very beginning of recruitment. By prioritizing safety education during onboarding, the company ensures that new hires understand the importance of adhering to safety protocols and best practices. This proactive approach fosters a culture of safety within the organization, empowering employees to recognize potential risks and contribute to a secure and healthy work environment.

d) **Availability of Resources:** Necessary resources—including financial, human, and technological—must be allocated to effectively develop, implement, and maintain the Occupational Health and Safety (OH&S) management system. By ensuring adequate funding for training programs, hiring qualified personnel, and utilizing the latest technology, organizations can create a robust OH&S framework. This investment not only enhances workplace safety but also demonstrates a commitment to employee well-being, fostering a culture of safety throughout the organization.

   Example: A construction company allocates a dedicated budget for safety equipment, hires a qualified safety officer, and invests in comprehensive training programs to ensure compliance with safety regulations. By prioritizing these resources, the company enhances its ability to maintain a safe working environment and effectively manage risks. This proactive approach not only protects employees but also reinforces the organization's commitment to safety and regulatory compliance, fostering a culture of vigilance and accountability.

e) **Importance of Effective OH&S Management:** Leadership must effectively communicate the importance of Occupational Health and Safety (OH&S) management to all employees, fostering a shared understanding of its benefits. By clearly articulating how robust OH&S practices contribute to employee well-being, productivity, and organizational success, leaders can encourage compliance and active participation. This open dialogue cultivates a culture of safety, ensuring that every employee recognizes their role in maintaining a safe and healthy work environment.

   Example: A hospital conducts monthly staff meetings to discuss safety protocols, emphasizing the critical importance of reporting incidents. These meetings provide a platform for staff to share their experiences and learn about safety practices, fostering a culture of transparency and accountability. By highlighting how incident reporting contributes to patient and staff safety, the hospital reinforces its commitment to creating a secure environment and encourages proactive participation from all employees.

f) **Achieving Intended Outcomes:** The Occupational Health and Safety (OH&S) management system must consistently achieve its intended outcomes, necessitating on-going monitoring and assessment to ensure effectiveness. Regular evaluations help identify strengths and areas for improvement, allowing organizations to adapt their strategies as needed. By implementing feedback mechanisms and performance indicators, organizations can enhance the overall effectiveness of their OH&S management system, ultimately fostering a safer work environment and promoting continuous improvement in safety practices.

   Example: A logistics company evaluates accident reports on a monthly basis, analysing the data to identify trends and underlying issues. By making necessary adjustments to policies and practices based on these evaluations, the company aims to improve its overall safety record. This proactive approach not only enhances employee safety but also fosters a culture of accountability and continuous improvement, ensuring that safety remains a top priority within the organization.

g) **Directing and Supporting Contributions:** Leaders should actively motivate and support employees in their efforts to enhance the effectiveness of the Occupational Health and Safety (OH&S) management system by providing comprehensive training and necessary resources. By fostering a supportive environment, leaders can empower employees to identify safety concerns and implement solutions. This commitment not only improves

safety performance but also builds a culture of collaboration and engagement, ultimately leading to a safer and healthier workplace.

Example: A retail manager prioritizes employee safety by providing staff with access to safety training workshops, ensuring they are well-equipped to handle potential hazards. Additionally, the manager encourages employees to suggest safety improvements based on their first-hand experiences on the floor. This inclusive approach not only empowers staff to take an active role in workplace safety but also fosters a culture of continuous improvement, enhancing overall safety in the retail environment.

h) **Promoting Continual Improvement:** Organizations should cultivate a culture of continual improvement in their Occupational Health and Safety (OH&S) practices by regularly reviewing and enhancing systems based on employee feedback and data analysis. This proactive approach encourages the identification of areas for improvement, enabling organizations to adapt their safety measures effectively. By prioritizing on-going assessment and refinement, organizations can ensure that their OH&S practices remain relevant and effective, ultimately leading to a safer work environment for all.

Example: A food processing company conducts quarterly reviews of its safety performance, leveraging feedback from employees to identify areas for improvement. This collaborative approach allows the company to gain insights into potential hazards and safety concerns directly from those on the front lines. By updating safety procedures based on this feedback, the organization ensures that its practices remain effective and relevant, ultimately fostering a safer working environment for all employees.

i) **Supporting Relevant Management Roles:** Leaders should support other management roles in exemplifying effective safety leadership within their specific areas, promoting a cohesive approach to health and safety across the organization. By providing guidance, resources, and training, leaders empower managers to prioritize safety in their teams. This collaborative effort fosters a shared responsibility for health and safety, creating a consistent culture of safety that enhances overall workplace well-being and operational efficiency.

Example: A project manager consistently emphasizes safety during team meetings, sharing updates on safety protocols and initiatives. By fostering open discussions about safety, the manager encourages team members to prioritize safe practices in their daily tasks. This proactive approach not only reinforces the importance of safety but also empowers employees to voice concerns and suggest improvements. Ultimately, it cultivates a culture of safety that enhances the well-being of the entire team.

j) **Developing a Supportive Culture:** Leadership must cultivate a positive culture that encourages adherence to Occupational Health and Safety (OH&S) policies, positioning safety as a core value within the organization. By promoting open communication, providing resources, and recognizing safe practices, leaders can reinforce the importance of safety in everyday operations. This commitment to safety not only protects employees but also enhances overall organizational performance, fostering a workplace where everyone prioritizes health and well-being.

Example: A tech start up implements a recognition program that rewards teams for achieving safety milestones, reinforcing the importance of maintaining a safe work environment. By celebrating these accomplishments, the start-up fosters a culture of safety and accountability among employees. This initiative not only motivates teams to prioritize

safety in their daily activities but also enhances overall morale, creating an atmosphere where safety is valued and integrated into the company's core values.

k) **Protecting Workers from Reprisals:** Organizations should foster an environment where employees can report safety concerns without fear of retaliation, promoting open communication and trust. By establishing clear channels for reporting and ensuring confidentiality, organizations empower employees to voice their concerns freely. This proactive approach not only identifies potential hazards but also demonstrates a commitment to safety. Encouraging candid discussions about safety enhances overall workplace safety and cultivates a culture of collaboration and shared responsibility.

   Example: A warehouse implements an anonymous reporting system for safety hazards, assuring employees that their feedback will not impact their job security or relationships with colleagues. This initiative encourages workers to share concerns without fear, fostering a culture of openness and vigilance regarding safety issues. By prioritizing confidentiality, the warehouse can effectively identify and address potential hazards, ultimately enhancing overall safety and well-being for all employees in the workplace.

l) **Consultation and Participation of Workers**
   Involving workers in the Occupational Health and Safety (OH&S) process through consultation is crucial for effective safety management. By ensuring their voices are heard in safety-related decisions, organizations can leverage the valuable insights and experiences of employees who are directly engaged in the work. This collaborative approach not only enhances the relevance and effectiveness of safety measures but also fosters a sense of ownership and commitment to maintaining a safe workplace.

   Example: A manufacturing plant establishes a safety committee composed of employee representatives to discuss and address safety concerns effectively. This collaborative approach fosters open dialogue between management and workers, ensuring that diverse perspectives are considered in safety decision-making. By actively involving employees in identifying and resolving safety issues, the committee enhances workplace safety and builds a culture of shared responsibility, ultimately leading to improved health and safety outcomes for all.

m) **Supporting Health and Safety Committees:** Organizations should facilitate the establishment of health and safety committees, as they play a vital role in promoting workplace safety and addressing employee concerns. These committees provide a structured platform for open communication between management and staff, enabling collaborative problem-solving and proactive identification of hazards. By actively engaging employees in safety discussions, organizations can enhance their safety culture, ensure compliance with regulations, and foster a safer working environment for all.

   Example: A university actively supports its health and safety committee by providing essential resources and dedicated meeting spaces for regular discussions. This initiative allows both staff and students to collaboratively address safety issues, fostering a culture of open communication and shared responsibility. By encouraging diverse perspectives and collective problem-solving, the university enhances its safety protocols, ensuring a safer campus environment that prioritizes the well-being of everyone involved.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The organization's OH&S policy must be formally documented, clearly articulating its commitment to health and safety. This policy should align with strategic goals, providing a solid foundation for all health and safety practices and ensuring a consistent approach throughout the organization.

2. **Objectives and Targets:** Verify that documented OH&S objectives and targets are specific, measurable, achievable, relevant, and time-bound (SMART), demonstrating the organization's commitment to continuous improvement and providing clear performance indicators to assess progress toward health and safety goals.

3. **Risk Assessment Reports:** Examine comprehensive risk assessment reports detailing identified workplace hazards, their associated risks, control measures implemented, and monitoring processes, ensuring the organization actively manages health and safety risks and fosters a proactive approach to injury prevention.

4. **Training Records:** Review detailed records of health and safety training sessions, including content covered, dates conducted, and employee attendance. This verification ensures personnel are adequately trained to recognize hazards and implement safety protocols, effectively minimizing risks and promoting a safer workplace environment.

5. **Incident Reports:** Inspect records of workplace incidents, accidents, and near-misses, including thorough investigations and corrective actions implemented. This process ensures the organization learns from past incidents, improving safety practices and preventing future occurrences, thereby fostering a safer work environment for all employees.

6. **Internal Audit Reports:** Assess the documentation of internal audits conducted on the OH&S management system, including audit findings, non-conformities identified, and subsequent corrective actions taken, demonstrating the organization's commitment to continuous monitoring and improvement of safety practices.

7. **Management Review Minutes:** Check minutes from management review meetings that focus on OH&S performance, outcomes achieved, and discussions on necessary improvements, ensuring management actively engages in evaluating the effectiveness of the OH&S management system.

8. **Consultation and Participation Records:** Examine records that document employee consultation and participation in OH&S processes, including committee meeting minutes and surveys. This ensures workers have a voice in health and safety matters, fostering a collaborative safety culture and enhancing overall workplace safety and engagement.

9. **Emergency Preparedness Plans:** Review documented emergency preparedness and response plans, including procedures for various scenarios, training conducted, and records of emergency drills, verifying the organization is ready to effectively respond to emergencies and protect employees.

10. **Workplace Inspection Records:** Assess records of routine workplace inspections, including findings, corrective actions taken, and follow-up measures implemented. This ensures that regular checks are conducted to maintain a safe working environment, promptly addressing potential hazards and enhancing overall workplace safety for all employees.

4. OBJECTIVE EVIDENCES:

1. **Health Surveillance Records:** Health surveillance records were reviewed to monitor the health of employees exposed to specific risks, ensuring compliance with workplace safety regulations. The records included periodic medical assessments and screenings, tracking any adverse health effects related to hazardous exposures, and implementing necessary measures to protect employees' well-being and safety verified. Example: Health Surveillance Record ID: HSR-2024-018, Date Conducted: 2024-05-18, Employees Monitored: 15, Health Issues Identified: 1.

2. **Maintenance Logs for Safety Equipment:** Maintenance records for safety equipment were verified to ensure compliance with safety standards and operational reliability. Regular inspections, servicing, and repairs were documented, confirming that all equipment was in proper working condition to safeguard employees and meet regulatory requirements verified. Example: Maintenance Log Number: ML-2024-029, Last Maintenance Date: 2024-06-05, Equipment ID: EQUIP-007, Status: Operational.

3. **Corrective Action Reports:** Corrective action reports related to safety incidents were reviewed, focusing on identifying non-conformities. The analysis highlighted root causes, recommended actions for improvement, and verified the implementation of corrective measures to prevent recurrence and enhance workplace safety and compliance reviewed. Example: Corrective Action Report Number: CAR-2024-015, Date Issued: 2024-05-25, Actions Taken: Improved signage in hazardous areas.

4. **Worker Feedback Mechanisms:** Worker feedback documentation on health and safety issues was assessed to enhance employee participation. The review identified common concerns, promoted open communication, and provided actionable insights, encouraging a proactive approach to improving workplace safety and fostering safety-focused culture evidence. Example: Feedback Form Number: FB-2024-002, Submission Date: 2024-06-10, Total Feedback Received: 12 Forms.

5. **Performance Metrics Reports:** Reports on Occupational Health & Safety (OH&S) performance metrics were reviewed to measure compliance and track improvements. Key indicators such as incident rates, safety audits, and corrective actions were analyzed, ensuring alignment with safety standards and fostering continuous improvement in workplace safety verified. Example: Performance Metrics Report Number: PMR-2024-022, Reporting Period: Q1 2024, Incident Rate: 0.5 per 1000 hours worked.

6. **Health and Safety Committee Structure:** The structure and documentation of health and safety committees within the organization were verified. This review ensured proper committee composition, clear roles and responsibilities, regular meeting records, and compliance with legal requirements, fostering effective oversight of workplace health and safety practices verified. Example: Committee Structure Document Number: HSC-2024-004, Last Reviewed: 2024-01-20, Members: 8 Committee Members.

7. **External Audit Reports:** Findings from external audits of Occupational Health & Safety (OH&S) management systems were reviewed for compliance. The evaluation highlighted areas of non-conformance, corrective actions taken and best practices, ensuring the organization's adherence to regulatory standards and continuous improvement of safety protocols evidence. Example: External Audit Report Number: EAR-2024-009, Audit Date: 2024-02-15, Non-conformities Identified: 3.

8. **Accident Investigation Reports:** Accident investigation reports were examined to assess root causes and evaluate the effectiveness of preventive measures implemented. The review focused on identifying contributing factors, analysing corrective actions, and ensuring the adoption of strategies to prevent future incidents and enhance workplace safety verified. Example: Investigation Report Number: AIR-2024-003, Investigation Date: 2024-05-03, Root Causes Identified: Lack of PPE compliance.

9. **Supplier Safety Compliance Records:** Records of safety compliance from suppliers and contractors were verified to ensure adherence to safety standards. The review confirmed that all external partners met regulatory requirements, maintained proper safety practices, and aligned with the organization's occupational health and safety expectations evidence. Example: Supplier Compliance Record Number: SCR-2024-006, Compliance Date: 2024-04-30, Compliance Status: Compliant.

10. **Workplace Ergonomic Assessments:** Records of ergonomic assessments were reviewed to identify opportunities for improving workplace conditions. The evaluation focused on adjusting workstations, equipment, and practices to reduce strain, prevent injuries, and enhance employee comfort, ensuring safer and more productive work environment evidence. Example: Ergonomic Assessment Report Number: EAR-2024-007, Assessment Date: 2024-06-01, Recommendations Made: Adjustable chairs and workstations.

5. INTERVIEW QUESTIONS:

1. How does top management demonstrate leadership and commitment to the OH&S management system?
2. Can you provide evidence of the organization’s OH&S policy, and how does it align with the overall strategic direction?
3. What processes are in place to ensure that OH&S objectives are established and communicated across the organization?
4. How are the requirements of the OH&S management system integrated into your business processes?
5. What resources have been allocated to establish, implement, maintain, and improve the OH&S management system?
6. How do you communicate the importance of effective OH&S management to employees and stakeholders?
7. Can you provide examples of how the OH&S management system achieves its intended outcomes?
8. What measures are in place to support and direct employees in contributing to the effectiveness of the OH&S management system?
9. How do you promote continual improvement within the OH&S management system?
10. Can you describe how relevant management roles are supported to demonstrate their leadership in OH&S?
11. What initiatives have been implemented to develop and promote a safety culture within the organization?
12. How does the organization protect workers from reprisals when they report incidents, hazards, or risks?

13. What processes are in place for worker consultation and participation in OH&S matters?
14. How are health and safety committees established, and what functions do they serve in the organization?
15. Can you provide examples of how top management engages with workers on health and safety issues?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear Leadership Commitment:** Top management demonstrates genuine commitment to OH&S by regularly participating in safety meetings and initiatives, fostering a culture of safety, and emphasizing the importance of employee well-being as a core organizational value.

2. **Well-defined OH&S Policy:** The organization has developed a comprehensive OH&S policy that aligns with its strategic objectives, ensuring that health and safety principles are integrated into all levels of decision-making and guiding the organization's approach to occupational safety.

3. I**ntegration into Business Processes:** Evidence shows that OH&S management system requirements are effectively integrated into core business processes, ensuring that safety considerations are embedded in operations, decision-making, and daily activities, thereby enhancing overall safety performance.

4. **Resource Allocation:** The organization allocates sufficient resources, including budget, personnel, and equipment, to support the establishment, implementation, maintenance, and continual improvement of the OH&S management system, demonstrating a commitment to achieving health and safety goals.

5. **Effective Communication:** A strong communication strategy is in place, promoting the importance of OH&S management to all employees. Regular updates, training sessions, and safety bulletins ensure everyone understands their roles, responsibilities, and the significance of adhering to safety protocols.

6. **Achievement of OH&S Objectives:** The organization successfully meets its established OH&S objectives, supported by documented performance metrics and outcome assessments. Regular evaluations demonstrate progress and highlight areas for further improvement, reinforcing a commitment to health and safety.

7. **Support for Employee Contributions:** Management actively encourages employee involvement in enhancing the OH&S management system. This support fosters a sense of ownership among staff, motivating them to participate in safety initiatives and contribute ideas for improving workplace safety.

8. **Focus on Continual Improvement:** The organization implements a systematic approach to continual improvement in OH&S performance. Regular reviews, audits, and updates to policies and procedures ensure that safety practices evolve based on lessons learned and emerging best practices.

9. **Positive Safety Culture:** Initiatives to promote a positive safety culture are evident within the organization. Leadership models safe behaviours and encourages open discussions about safety issues, creating an environment where employees feel valued and empowered to prioritize safety.

10. **Protection of Reporting Workers:** Effective mechanisms are in place to protect workers from reprisals for reporting incidents, hazards, or risks. This fosters a transparent safety environment where employees feel safe to communicate concerns, ultimately enhancing overall workplace safety.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Formal Responsibility Assignment:** Insufficient documentation may lead to unclear responsibilities regarding OH&S within top management. Clearly defining these roles is essential to ensure accountability and effective oversight of health and safety practices throughout the organization.

2. **Alignment of OH&S Policy:** Regular reviews of the OH&S policy are crucial to ensure it aligns with the organization's strategic goals. Without this alignment, the policy may become irrelevant, diminishing its effectiveness and failing to address emerging safety concerns.

3. **Insufficient Integration:** The integration of OH&S management requirements into core business processes may be lacking, leading to safety considerations being overlooked in daily operations. This gap can compromise employee safety and the organization’s overall compliance with health and safety standards.

4. **Resource Constraints:** Inadequate resources, such as insufficient training, personnel, or safety equipment, hinder the effective implementation and maintenance of the OH&S management system. Ensuring adequate allocation of resources is vital for achieving organizational safety objecti ves and compliance.

5. **Communication Gaps:** Ineffective communication strategies regarding OH&S significance can result in employees being unaware of safety protocols and their responsibilities. Enhancing communication ensures that all personnel are informed and engaged in maintaining a safe working environment.

6. **Inconsistent Achievement of Objectives:** Difficulty in consistently meeting OH&S objectives may indicate weak performance monitoring and evaluation processes. Implementing robust tracking mechanisms is essential for identifying areas of improvement and ensuring the organization achieves its safety goals.

7. **Limited Employee Involvement:** Insufficient mechanisms for employee engagement in the OH&S management system can lead to a lack of ownership and participation. Encouraging contributions from employees fosters a culture of safety and enhances the overall effectiveness of health and safety initiatives.

8. **Lack of Continual Improvement Initiatives:** The absence of systematic processes for capturing lessons learned or best practices may hinder on-going improvements in OH&S performance. Establishing a framework for continual improvement promotes adaptation and enhances safety measures over time.

9. **Cultural Barriers:** An organizational culture that does not fully support safety initiatives can discourage employees from reporting hazards. Fostering an environment of trust and open communication is vital for enhancing participation in safety programs and addressing concerns effectively.

10. **Reporting and Feedback Mechanisms:** Inadequate protections for workers reporting incidents or hazards can lead to reluctance in disclosing safety concerns. Establishing clear reporting procedures ensures employees feel safe to voice issues, contributing to a proactive safety culture.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Defined Responsibilities:** There is no documented evidence outlining top management's responsibilities for OH&S. This absence hinders accountability and clarity regarding leadership roles in promoting health and safety, which is essential for establishing effective practices and ensuring compliance within the organization.

   Example: There is an absence of an organizational chart or a roles and responsibilities document (e.g., Document No. OH&S-OrgChart-2024). This lack of documentation creates uncertainty about individual roles in the OH&S framework, impeding effective communication and collaboration within the organization. FORM NO: XXX

2. **Incompatible OH&S Policy:** The OH&S policy does not align with the organization's strategic objectives, creating a disconnect between health and safety initiatives and overall business goals. This misalignment may hinder effective implementation and reduce the impact of safety practices within the organization.

   Example: The OH&S policy document (e.g., OHSPolicy-Rev02, dated 2023) lacks references to the current strategic goals outlined in the Strategic Plan 2024. This omission undermines the policy's relevance and effectiveness in supporting the organization's overall objectives and priorities. FORM NO: XXX

3. **Poor Integration of OH&S Management:** The Occupational Health & Safety (OH&S) management system is not fully integrated into business processes, leading to gaps in safety compliance and risk management. This lack of integration hinders effective communication, oversight, and the ability to implement proactive safety measures within the organization.

   Example: Process maps, such as ProcessFlow-2023, demonstrate a lack of consideration for safety protocols within operational workflows. This oversight may lead to increased risks and hazards, highlighting the need to incorporate safety measures into all aspects of the organization's processes for improved safety outcomes. FORM NO: XXX

4. **Insufficient Resource Allocation:** There is a lack of adequate resources—financial, human, and technical—for implementing Occupational Health & Safety (OH&S) initiatives. This resource deficiency hampers the effectiveness of safety programs, limiting the organization's ability to promote a safe work environment and comply with regulations.

   Example: The budget report (e.g., Budget2024.pdf) indicates no allocation for safety training or equipment. This lack of funding compromises the organization's commitment to workplace safety, hindering the ability to provide necessary training and maintain essential safety equipment for employees. FORM NO: XXX

5. **Ineffective Communication on OH&S:** Communication regarding the Occupational Health & Safety (OH&S) management system is unclear and insufficient. This inadequacy leads to misunderstandings about safety protocols, responsibilities, and expectations, ultimately hindering employee engagement and compliance with safety measures within the organization.

   Example: Employee feedback from the AnonymousSurvey-2024 reveals confusion about safety procedures, primarily due to inadequate communication. This lack of clarity hampers understanding of protocols and expectations, highlighting the need for improved information dissemination to enhance safety awareness and compliance among staff. FORM NO: XXX

6. **Failure to Achieve OH&S Objectives:** Occupational Health & Safety (OH&S) objectives are not being met consistently across the organization. This inconsistency undermines safety initiatives, increases the risk of incidents, and necessitates a reassessment of strategies and resource allocation to enhance compliance and improve overall safety performance.

   Example: Performance reports, such as SafetyReport-Q2-2024, indicate multiple missed safety targets. This trend reflects inadequate implementation of safety measures and a need for enhanced focus on compliance, corrective actions, and resource allocation to achieve the organization's Occupational Health & Safety objectives. FORM NO: XXX

7. **Limited Employee Support for OH&S:** Employees are not adequately directed or supported to contribute to Occupational Health & Safety (OH&S) management. This lack of guidance and encouragement limits their engagement in safety initiatives, undermining the effectiveness of the OH&S program and reducing overall workplace safety.

   Example: Meeting minutes, such as SafetyMeeting-Minutes-2024, reveal no discussions regarding employee contributions to safety improvements. This oversight indicates a missed opportunity to engage staff in safety initiatives, highlighting the need for fostering a culture of collaboration and shared responsibility in safety management. FORM NO: XXX

8. **Absence of Continual Improvement Practices:** There is no systematic approach for continual improvement in Occupational Health & Safety (OH&S) management. This lack of structured processes hinders the identification of areas for enhancement, reducing the effectiveness of safety initiatives and the organization's ability to adapt to evolving safety challenges.

   Example: Audit reports, such as AuditReport-2024, highlight a lack of follow-up on previous safety audits. This oversight indicates inadequate implementation of recommended actions, compromising the effectiveness of safety measures and signalling a need for improved accountability and monitoring within the OH&S management system. FORM NO: XXX

9. **Inadequate Leadership Support:**
   Relevant management roles do not demonstrate adequate leadership in Occupational Health & Safety (OH&S). This lack of proactive engagement and commitment undermines the importance of safety initiatives, resulting in insufficient support for employee involvement and a diminished safety culture within the organization.

   Example: Observations from management meetings, such as MgmtMeetingNotes-2024, reveal a lack of engagement in safety discussions. This absence of focus on safety issues suggests insufficient prioritization of Occupational Health & Safety, potentially hindering effective decision-making and risk management within the organization. FORM NO: XXX

10. **Weak Safety Culture:** The organizational culture does not promote safety, leading to complacency regarding Occupational Health & Safety (OH&S) practices. This environment discourages proactive safety measures and employee involvement, increasing the risk of incidents and undermining the overall commitment to maintaining a safe workplace.

    Example: Employee engagement surveys, such as EmployeeSurvey-2024, indicate low morale regarding safety initiatives. This sentiment reflects employees' perceptions of inadequate support and recognition for safety efforts, highlighting the need for improved communication, resources, and involvement to enhance the overall safety culture. FORM NO: XXX

5 LEADERSHIP AND WORKER PARTICIPATION

1. STANDARD REQUIREMENT

5.2 OH&S POLICY

Top management shall establish, implement and maintain an OH&S policy that:

a) Includes a commitment to provide safe and healthy working conditions for the prevention of work- related injury and ill health and is appropriate to the purpose, size and context of the organization and to the specific nature of its OH&S risks and OH&S opportunities;

b) Provides a framework for setting the OH&S objectives;

c) Includes a commitment to fulfil legal requirements and other requirements;

d) Includes a commitment to eliminate hazards and reduce OH&S risks (see 8.1.2);

e) Includes a commitment to continual improvement of the OH&S management system;

f) Includes a commitment to consultation and participation of workers, and, where they exist, workers' representatives.

The OH&S policy shall:

- Be available as documented information;
- Be communicated within the organization;
- Be available to interested parties, as appropriate;
- Be relevant and appropriate.

2. EXPLAINATION:

a) Commitment to Safe and Healthy Working Conditions: Top management must establish a robust Occupational Health & Safety (OH&S) policy that reflects a commitment to providing safe and healthy working conditions. This policy should be tailored to the organization's purpose, size, context, and specific OH&S risks. It must address unique workplace hazards and articulate a clear goal of preventing work-related injuries and illnesses, ensuring that all employees understand their roles in fostering a safe and healthy work environment.

Example: A manufacturing company could implement an Occupational Health & Safety (OH&S) policy that states, "We are committed to providing a safe working environment through regular safety audits and comprehensive training programs to minimize machinery operation hazards. Our goal is to achieve zero workplace injuries and illnesses, aligning our practices with the needs of our workforce and the operational environment, ensuring a culture of safety and accountability throughout the organization."

b) Framework for Setting OH&S Objectives: The OH&S policy must establish a framework for specific, measurable objectives aligned with the organization's overall health and safety goals. These objectives should be realistic and achievable, guiding efforts to enhance health and safety performance. Management must regularly review and update these objectives based on changing conditions and insights from OH&S assessments, ensuring continuous

improvement and adaptation to emerging risks and regulatory requirements in the workplace.

Example: In a construction company, the OH&S policy could state, "Our objective is to reduce workplace incidents by 20% within the next year through quarterly safety training sessions and regular site inspections. We are dedicated to fostering a safe work environment. These objectives will be reviewed every six months to ensure they remain relevant and aligned with our commitment to worker safety, adapting to changing conditions and emerging risks as needed."

c) **Commitment to Fulfil Legal and Other Requirements:** The OH&S policy should explicitly commit the organization to comply with all applicable legal requirements and relevant regulations, including local, national, and international health and safety laws, as well as industry-specific standards. This commitment fosters a culture of accountability and integrity within the organization, ensuring that all employees understand the importance of adhering to safety regulations. Compliance not only protects employees but also enhances the organization's reputation and operational effectiveness.

Example: An organization may declare in its OH&S policy, "We are committed to adhering to all relevant health and safety legislation and standards. Our compliance program includes regular reviews of legal requirements to ensure our practices align with local laws and industry standards. This proactive approach promotes a safe and legally compliant workplace, reinforcing our dedication to the health and safety of our employees while fostering a culture of accountability throughout the organization."

d) **Commitment to Eliminate Hazards and Reduce OH&S Risks:** The policy must include a clear commitment to identifying, assessing, and eliminating hazards while reducing Occupational Health and Safety (OH&S) risks. This proactive approach aims to create a safer workplace by implementing effective risk management strategies, including hazard elimination, substitution, engineering controls, and administrative controls. By prioritizing these measures, the organization ensures a comprehensive strategy to protect employees, enhance safety practices, and foster a culture of continuous improvement in workplace safety.

Example: A chemical processing plant might state, "Our OH&S policy includes a commitment to eliminate hazardous substances whenever possible and implement effective control measures for remaining risks. We will replace harmful chemicals with safer alternatives and conduct regular risk assessments to continuously enhance our safety protocols and procedures. This proactive approach ensures a safer work environment for all employees while minimizing the potential for incidents and ensuring compliance with regulatory standards."

e) **Commitment to Continual Improvement of the OH&S Management System:** The OH&S policy should emphasize a commitment to the continual improvement of the OH&S management system. This commitment involves regular monitoring, evaluation, and updating of safety practices, policies, and objectives based on performance outcomes, incidents, and employee feedback. By fostering a culture of on-going enhancement, the organization ensures that safety measures remain effective and relevant, ultimately promoting a safer work environment and reinforcing its dedication to employee health and well-being.

Example: In a healthcare setting, the OH&S policy might state, "We are committed to continually improving our OH&S management system by analysing incident reports and worker feedback. Annual evaluations will inform our efforts to enhance safety protocols, ensuring they adapt to our dynamic working environment and evolving health risks. This proactive approach reinforces our dedication to providing a safe workplace for all employees while prioritizing patient safety and well-being in our healthcare services."

f) **Commitment to Consultation and Participation of Workers:** The policy should ensure that workers and their representatives are actively consulted and engaged in OH&S matters. Their involvement is crucial for identifying hazards, assessing risks, and contributing to decision-making processes related to safety practices. By fostering this collaborative approach, the organization promotes a culture of safety and shared responsibility; empowering employees to take an active role in enhancing workplace safety and ensuring their voices are heard in safety initiatives.

Example: A retail organization might express in its OH&S policy, "We are committed to actively involving our employees in safety discussions and decision-making. We will hold quarterly meetings for workers to share their concerns and establish a safety committee with employee representatives. This collaborative approach will address health and safety issues, ensuring that employees feel valued and empowered to contribute to a safer workplace, ultimately enhancing our overall safety culture and practices."

g) **Availability and Communication of the OH&S Policy:** The OH&S policy should be thoroughly documented, communicated throughout the organization, and made accessible to relevant interested parties. This practice ensures that all stakeholders are aware of the organization's commitments to health and safety, fostering a culture of transparency and accountability. By keeping everyone informed, the organization enhances engagement and reinforces its dedication to maintaining a safe and healthy work environment for all employees and stakeholders.

Example: The OH&S policy of an office environment could state, "Our OH&S policy will be accessible on our company intranet and prominently displayed in common areas. All employees will receive training on our safety commitments during onboarding, along with regular refresher sessions to ensure on-going understanding and compliance with our health and safety initiatives. This approach fosters a culture of safety awareness, empowering employees to actively participate in maintaining a safe and healthy workplace."

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The documented OH&S policy should outline the organization's commitment to health and safety, including objectives, legal compliance, hazard elimination, and continual improvement. Ensure it is accessible, communicated to employees, and aligned with organizational goals.

2. **Risk Assessment Reports:** Auditors should review documented risk assessments that identify hazards, evaluate risks, and outline control measures. These reports must be regularly updated to reflect changes in the workplace or operational processes, ensuring on-going effectiveness in maintaining a safe environment.

3. **OH&S Objectives and Plans:** Examine records detailing specific OH&S objectives and associated action plans, which should include timelines, responsible parties, and performance indicators. This documentation demonstrates how the organization intends to achieve its health and safety commitments and monitor progress effectively.

4. **Training Records:** Review training records to confirm that employees have completed necessary health and safety training. This should include attendance logs, course materials, and evaluations, ensuring staff competency in safety practices and procedures relevant to their specific roles within the organization.

5. **Incident and Accident Reports:** Examine documented incident and accident reports to evaluate the organization's response to health and safety events. These records should include detailed investigations, root cause analyses, corrective actions taken, and lessons learned to prevent recurrence and improve future safety practices.

6. **Internal Audit Reports:** Review internal audit reports assessing the effectiveness of the OH&S management system. These reports should include findings, corrective actions taken, and evidence of follow-up measures implemented, ensuring continuous improvement in health and safety performance across the organization.

7. **Management Review Minutes:** Auditors should review minutes from management review meetings assessing the performance of the OH&S management system. These records must document discussions on policy effectiveness, achievement of objectives, incident trends, and necessary resources to drive improvements in health and safety practices.

8. **Legal and Other Requirements Register:** Examine the register that outlines applicable legal and other requirements related to OH&S. This document should demonstrate the organization's commitment to compliance and provide details on how legal obligations are monitored, fulfilled, and integrated into the organization's safety practices.

9. **Consultation and Participation Records:** Look for records documenting worker consultation and participation in OH&S matters. This may include meeting minutes, feedback forms, or safety committee reports that highlight employee involvement in decision-making processes and risk management efforts to enhance overall safety practices.

10. **Corrective Action Records:** Review records of corrective actions taken in response to identified non-conformities, incidents, or audit findings. These documents should illustrate the effectiveness of corrective measures implemented and reflect the organization's commitment to continual improvement in health and safety performance.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** The documented OH&S policy outlines the organization's commitment to health and safety, specifying objectives, legal compliance, hazard identification, risk management strategies, and employee involvement. It serves as a framework for fostering a culture of safety and continuous improvement within the organization verified. Example: Document No. OHSP-001, Revision Date: 2024-03-15.

2. **Risk Assessment Report:** The risk assessment report identifies various hazards within the workplace and assesses the associated risks. It details the potential impacts of these hazards, evaluates their likelihood, and recommends control measures to mitigate risks, ensuring a safer working environment for employees verified. Example: Report No. RAR-2024-05, Assessment Date: 2024-05-10.

3. **OH&S Objectives and Plans:** The record includes specific OH&S objectives and corresponding action plans established by management. It outlines measurable targets, timelines for achievement, responsible parties, and performance indicators, demonstrating the organization's proactive approach to enhancing health and safety within the workplace evidence. Example: Objective Plan No. OP-2024-02, Goal: Reduce incidents by 15% by 2025.

4. **Training Records:** Training completion records document employees' participation in OH&S training sessions. These records include attendance logs, course materials, and evaluations, ensuring that employees have acquired the necessary knowledge and skills to adhere to health and safety practices relevant to their roles evidence. Example: Training Session ID: TS-2024-08, Conducted by: John Doe, Date: 2024-09-05.

5. **Incident and Accident Reports:** Documented reports of workplace incidents and accidents include detailed accounts of each event, the results of investigations, root cause analyses, and implemented corrective actions. These reports are crucial for identifying trends and preventing future occurrences, enhancing overall workplace safety reviewed. Example: Incident Report No. IR-2024-12, Incident Date: 2024-10-01.

6. **Internal Audit Report:** The internal audit report evaluates the effectiveness of the OH&S management system, highlighting compliance with policies, identifying areas for improvement, and providing findings. It includes corrective actions taken, follow-up measures, and recommendations to enhance health and safety performance within the organization reviewed. Example: Audit Report No. IAR-2024-03, Audit Date: 2024-07-20.

7. **Management Review Minutes:** Minutes from management review meetings detail discussions on OH&S performance, including evaluations of policy effectiveness, incident trends, compliance with objectives, and resource requirements. They capture decisions made and action items assigned, fostering accountability and on-going improvement in health and safety practices reviewed. Example: Meeting Minutes No. MR-2024-06, Date: 2024-08-15.

8. **Legal and Other Requirements Register:** The register of applicable legal and other OH&S requirements lists relevant health and safety legislation, regulations, and standards the organization must comply with. It outlines how these obligations are monitored, fulfilled, and integrated into the organization's overall health and safety management system verified. Example: Compliance Register No. CR-2024-01, Last Updated: 2024-09-10.

9. **Consultation and Participation Records:** Records documenting worker consultations and participation in OH&S matters include meeting minutes, feedback forms, and reports from safety committees. These documents highlight employee involvement in decision-making, risk assessments, and safety initiatives, fostering a collaborative culture and enhancing overall workplace safety evidence. Example: Consultation Meeting Minutes No. CM-2024-04, Date: 2024-06-05.

10. **Corrective Action Records:** Records of corrective actions taken in response to OH&S incidents or audits detail the specific measures implemented to address identified non-conformities. These documents include action plans, timelines, responsible parties, and follow-up evaluations to ensure effectiveness and support continuous improvement in safety practices reviewed. Example: Corrective Action ID: CA-2024-09, Initiated by: Sarah Lee, Date: 2024-09-12.

5. INTERVIEW QUESTIONS:

1. Can you show me the documented OH&S policy, and how does it reflect the organization's commitment to providing safe and healthy working conditions?
2. How does top management ensure that the OH&S policy is appropriate to the purpose, size, and context of the organization, as well as the specific OH&S risks and opportunities it faces?
3. What framework is in place for setting OH&S objectives, and how do these objectives align with the OH&S policy?
4. Can you provide evidence of how the organization fulfils its legal and other OH&S requirements?
5. What processes are implemented to identify hazards and assess OH&S risks, and how does the organization commit to eliminating these hazards?
6. How does the organization demonstrate its commitment to continual improvement of the OH&S management system?
7. Can you share examples of how the organization consults and engages workers in the OH&S process, including any feedback mechanisms that are in place?
8. How is the OH&S policy communicated to employees, and what measures ensure that it is understood at all levels of the organization?
9. In what ways is the OH&S policy made available to interested parties, and how does the organization ensure this accessibility?
10. How does the organization ensure that the OH&S policy remains relevant and appropriate over time, especially in light of changing circumstances or risks?
11. What training or orientation programs are in place to ensure that employees understand their roles and responsibilities regarding the OH&S policy?
12. How does the organization monitor and review compliance with the OH&S policy, and what actions are taken in response to non-compliance?
13. Can you provide records of any audits or assessments conducted on the effectiveness of the OH&S policy?
14. How are OH&S objectives reviewed and updated, and what process is followed to communicate these updates to employees?
15. What measures are taken to ensure that the OH&S policy reflects current best practices and is aligned with industry standards?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Commitment to Safety:** The auditee demonstrates a strong commitment to safety by establishing a comprehensive OH&S policy. This policy emphasizes the importance of providing safe and healthy working conditions, effectively prioritizing employee welfare and the prevention of work-related injuries.
2. **Contextual Relevance:** The OH&S policy is meticulously tailored to reflect the organization's specific needs, purpose, size, and operational context. This ensures that the policy effectively addresses the unique occupational health and safety risks and opportunities faced by the organization.
3. **Structured Framework for Objectives:** The auditee has implemented a clear and structured framework for setting OH&S objectives. This framework ensures that safety goals are measurable, aligned with organizational priorities, and effectively communicated, promoting accountability and a proactive approach to occupational health and safety.
4. **Legal Compliance:** The organization demonstrates diligence in fulfilling legal and other OH&S requirements, reflecting a proactive stance toward compliance. This commitment not only minimizes legal risks but also enhances the overall safety culture within the organization, ensuring employee well-being.
5. **Proactive Risk Management:** The auditee is committed to eliminating hazards and reducing OH&S risks. This proactive approach involves regular risk assessments and the implementation of effective control measures, showcasing the organization's dedication to maintaining a safe work environment for all employees.
6. **Focus on Continual Improvement:** The auditee actively embraces a culture of continual improvement within the OH&S management system. This commitment ensures that safety practices evolve based on feedback, lessons learned, and changing circumstances, promoting an adaptive and responsive safety culture.
7. **Employee Engagement:** The organization has established effective mechanisms for consulting and involving workers in the OH&S process. This engagement fosters a culture of safety, empowering employees to actively participate in identifying hazards and contributing to health and safety initiatives.
8. **Documentation Practices:** The OH&S policy is well-documented, ensuring it is easily accessible for all employees. This transparency in documentation facilitates understanding and compliance, allowing employees to refer to the policy regularly, thus reinforcing the organization's commitment to safety.
9. **Effective Communication:** The auditee has implemented robust communication strategies to disseminate the OH&S policy throughout the organization. This ensures that all employees are informed of their roles and responsibilities regarding health and safety, promoting a unified approach to safety management.
10. **Accessibility to Stakeholders:** The OH&S policy is made available to relevant interested parties, demonstrating the organization's commitment to transparency and engagement. This accessibility reflects a willingness to collaborate with external stakeholders on occupational health and safety issues, enhancing overall safety performance.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Policy Review Frequency:** Establishing a more frequent review process for the OH&S policy can ensure it adapts to changes in operations, legal requirements, and emerging risks, thus maintaining its relevance and effectiveness in promoting a safe work environment.
2. **Risk Assessment Updates:** Enhancing the risk assessment process through more regular evaluations, especially after operational changes, can significantly improve the identification and mitigation of occupational health and safety risks, ensuring a proactive approach to workplace safety.
3. **Objective Alignment:** Ensuring clearer alignment between OH&S objectives and the organization's strategic goals can enhance prioritization of safety alongside business objectives. This alignment fosters a unified approach that integrates safety into the broader operational framework, promoting overall organizational success.
4. **Legal Compliance Tracking:** Implementing a robust legal register to track changes in legal requirements can mitigate potential compliance gaps. Regular updates to this register can ensure that the organization remains fully compliant with occupational health and safety legislation.
5. **Worker Consultation Mechanisms:** Strengthening mechanisms for worker consultation and participation can enhance engagement in the OH&S process. Regular feedback sessions or the formation of safety committees can empower employees to contribute to safety initiatives, improving overall workplace safety.
6. **Training and Awareness Programs:** Developing comprehensive training programs ensures all employees understand the OH&S policy, promoting awareness and compliance. Targeted training initiatives can significantly enhance employees' ability to identify hazards and implement safety measures effectively.
7. **Communication Strategies:** Improving communication strategies for disseminating the OH&S policy can enhance awareness and understanding among employees. Utilizing various channels, such as newsletters or workshops, ensures that crucial safety information reaches everyone in the organization.
8. **Documentation Accessibility:** Ensuring easy access to the documented OH&S policy for all employees, including new hires and temporary workers, is essential. Improved accessibility facilitates understanding and compliance, thereby reinforcing the organization's commitment to occupational health and safety.
9. **Feedback Mechanism for Policy Improvement:** Establishing a systematic feedback mechanism for collecting employee insights on the OH&S policy can help identify areas for enhancement. Regular input from staff can drive continuous improvement in safety practices and policy effectiveness.
10. **Monitoring and Measurement:** Implementing key performance indicators (KPIs) to measure the effectiveness of the OH&S policy allows for better monitoring of safety performance and adherence. This data-driven approach facilitates informed decision-making and continuous improvement in safety practices.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of OH&S Policy Documentation:** The absence of an officially documented OH&S policy indicates a lack of formal commitment to health and safety within the organization. This gap may hinder effective risk management, employee engagement, and compliance with legal obligations, ultimately compromising workplace safety standards.

   Example: No document labelled as "OH&S Policy" exists within the document control system, or it is not referenced in internal procedures. This lack of documentation may lead to confusion regarding health and safety commitments, impacting compliance and overall safety management effectiveness. FORM NO: XXX

2. **Policy Not Communicated:** Employees' lack of awareness regarding the OH&S policy signifies inadequate communication and training on health and safety commitments. This knowledge gap can lead to non-compliance with safety protocols, increased risk of incidents, and a diminished culture of safety within the organization.

   Example: Survey results (e.g., Survey 2024-005) reveal that more than 70% of employees were unable to recall any elements of the OH&S policy. This highlights significant gaps in communication and training, compromising the effectiveness of health and safety initiatives within the organization. FORM NO: XXX

3. **Policy Not Updated:** The OH&S policy has not undergone regular reviews or updates, indicating a lack of proactive management and responsiveness to changing workplace conditions. This oversight can lead to outdated practices and an increased risk of incidents, jeopardizing employee safety and compliance.

   Example: The OH&S policy's last revision date is more than two years old (e.g., dated 2022-01-15), and there are no records of interim reviews. This indicates a lack of on-going assessment and responsiveness to evolving health and safety needs within the organization. FORM NO: XXX

4. **Legal Compliance Not Addressed:** The OH&S policy fails to specify any legal requirements, indicating a lack of commitment to compliance. This omission may lead to unawareness of relevant regulations, potentially jeopardizing workplace safety and increasing the risk of legal violations and associated penalties.

   Example: The OH&S policy document (Policy No. OHSP-2023) does not reference any applicable local, national, or industry-specific regulations. This lack of compliance details may hinder the organization's ability to ensure adherence to necessary legal requirements and promote a safe working environment. FORM NO: XXX

5. **No Framework for Setting Objectives:** there is a defined framework in place for establishing OH&S objectives within the organization. This absence limits the ability to set specific, measurable goals, hindering progress in improving health and safety performance and fostering a culture of continuous improvement.

   Example: No documented procedures or criteria for establishing and reviewing OH&S objectives were located, such as the absence of the "Objective Setting Procedure" document. This gap hinders the organization’s ability to effectively track and manage health and safety goals. FORM NO: XXX

6. **Lack of Commitment to Risk Reduction:** There is no documented commitment to eliminating hazards or reducing OH&S risks within the organization. This lack of proactive measures undermines efforts to create a safer workplace, potentially exposing employees to avoidable health and safety dangers.

   Example: The OH&S policy does not contain specific language addressing risk reduction or hazard elimination. Additionally, there are no documented action plans to guide efforts in mitigating identified risks, leaving a gap in the organization's commitment to safety and health improvements. FORM NO: XXX

7. **Inadequate Continual Improvement Commitment**
   The OH&S policy fails to express a commitment to continual improvement, lacking provisions for regular evaluation and enhancement of safety practices. This omission hinders the organization's ability to adapt to changing circumstances and improve overall health and safety performance effectively.

   Example: The OH&S policy document (Policy No. OHSP-2023) does not include the phrase "continual improvement," indicating a lack of commitment to regularly assess and enhance health and safety practices, which is crucial for maintaining effective OH&S management and compliance. FORM NO: XXX

8. **Insufficient Worker Participation:** The organization fails to consult workers and their representatives regarding the OH&S policy, undermining their involvement in identifying hazards and assessing risks. This lack of consultation diminishes opportunities for shared responsibility and weakens the overall effectiveness of health and safety initiatives.

   Example: The meeting minutes from Safety Committee Meeting No. SC-2024-03 indicate a lack of worker discussion or input on the OH&S policy. This absence highlights insufficient engagement of employees in safety matters, potentially undermining the effectiveness of health and safety initiatives. FORM NO: XXX

9. **Policy Not Available to Interested Parties:** The OH&S policy is not made available to external parties, limiting transparency and accountability. This lack of accessibility may hinder stakeholders' understanding of the organization's commitment to health and safety and reduce trust in its safety practices and initiatives.

   Example: No copies of the OH&S policy are accessible on the company website, nor are they available upon request from stakeholders, as evidenced by a stakeholder inquiry dated 2024-10-10. This limits transparency regarding the organization's commitment to health and safety. FORM NO: XXX

10. **Policy Inconsistency with Organizational Context:** The OH&S policy does not address the organization's unique health and safety risks, lacking tailored language or specific references to potential hazards inherent in the workplace. This omission could hinder effective risk management and safety improvements within the organization.

    Example: The OH&S policy fails to acknowledge known risks linked to specific processes, such as the manufacturing process. This oversight may lead to inadequate safety measures and insufficient risk management strategies tailored to address the unique hazards present in these operations. FORM NO: XXX

5 LEADERSHIP AND WORKER PARTICIPATION

1. STANDARD REQUIREMENT

5.3 ORGANIZATIONAL ROLES, RESPONSIBILITIES AND AUTHORITIES

Top management shall ensure that the responsibilities and authorities for relevant roles within the OH&S management system are assigned and communicated at all levels within the organization and maintained as documented information. Workers at each level of the organization shall assume responsibility for those aspects of the OH&S management system over which they have control.

NOTE: While responsibility and authority can be assigned, ultimately top management is still accountable for the functioning of the OH&S management system.

Top management shall assign the responsibility and authority for:

a) ensuring that the OH&S management system conforms to the requirements of this document;
b) Reporting on the performance of the OH&S management system to top management.

2. EXPLAINATION:

1. **Assignment of Responsibilities and Authorities:** Top management must establish and communicate clear responsibilities and authorities for the OH&S management system across the organization. By defining these roles, all employees will understand their specific duties and expectations regarding health and safety standards. This clarity fosters accountability and ensures that everyone contributes effectively to maintaining a safe workplace, promoting a culture of safety and compliance that aligns with organizational goals and objectives.

   Example: In a manufacturing company, the Safety Officer is designated as the primary individual responsible for conducting regular safety audits. This responsibility is clearly communicated to all employees, ensuring that everyone understands who is accountable for monitoring safety compliance. By establishing this role, the organization fosters a culture of safety awareness, encouraging employees to engage proactively in safety practices and reinforcing the importance of adherence to health and safety standards.

2. **Communication of Roles:** Roles and responsibilities must be effectively communicated across all organizational levels to ensure that every worker is aware of their specific duties in relation to health and safety. Clear communication fosters understanding of how individual actions contribute to the organization's overall safety objectives. Regular training sessions, informational materials, and open dialogues can enhance this awareness, promoting a cohesive approach to safety and ensuring that everyone is aligned with the organization's health and safety goals.

   Example: A retail organization conducts monthly meetings where management communicates safety protocols and outlines updated roles for the upcoming month. These sessions provide an opportunity for employees to engage actively, ask questions, and clarify any uncertainties regarding their responsibilities. This approach fosters a culture of transparency and accountability, ensuring that all staff members are well-informed about

safety expectations and can effectively contribute to the organization's overall health and safety objectives.

3. **Documentation of Information:** The organization must maintain comprehensive documented information detailing assigned responsibilities and authorities within the OH&S management system. This documentation serves as a clear record of accountability, outlining who is responsible for various safety-related aspects. By having this information readily available, the organization can ensure that all personnel are aware of their roles, fostering a culture of responsibility and enhancing overall safety performance across the workplace.

   Example: The construction company maintains a detailed organizational chart that clearly outlines the responsibilities of each team member concerning safety practices. This document is readily accessible to all employees, promoting transparency and accountability within the organization. By ensuring that everyone understands their specific roles and responsibilities, the company fosters a culture of safety and collaboration, enhancing overall compliance with health and safety standards across all projects and work sites.

4. **Employee Accountability:** Workers are expected to take responsibility for the elements of the OH&S management system within their control. This empowerment encourages employees to actively engage in safety practices and uphold health and safety standards. By fostering a culture of accountability, the organization enhances collaboration among staff, promotes proactive identification of hazards, and encourages reporting of unsafe conditions, ultimately contributing to a safer workplace for everyone.

   Example: In a laboratory setting, a technician is tasked with ensuring the correct usage of safety equipment. They routinely inspect and maintain the equipment, recognizing that their diligence directly affects the overall safety of the workplace. This proactive approach not only prevents accidents but also fosters a culture of safety awareness among colleagues. By taking ownership of their responsibilities, the technician contributes significantly to a safer and more compliant laboratory environment.

5. **Top Management Accountability:** While responsibilities within the OH&S management system can be delegated, top management retains ultimate accountability for its effectiveness. They are responsible for ensuring that the system complies with all applicable requirements and operates efficiently. This includes providing necessary resources, conducting regular reviews, and fostering a culture of safety throughout the organization. By actively engaging in these duties, management demonstrates commitment to maintaining a safe and healthy work environment for all employees.

   Example: In a corporate office, the CEO holds ultimate accountability for the success of the OH&S management system. They regularly review safety performance reports to assess compliance and effectiveness. Additionally, the CEO ensures that adequate resources are allocated for safety initiatives, fostering a culture of safety within the organization. By actively engaging in these responsibilities, the CEO demonstrates a strong commitment to maintaining a safe and healthy workplace for all employees.

6. **Reporting on Performance:** Top management is responsible for regularly reporting on the performance of the OH&S management system, ensuring a comprehensive evaluation of the organization's safety practices. This reporting facilitates the identification of strengths and areas needing improvement, enabling the organization to implement effective strategies for enhancing health and safety. By maintaining transparency and accountability in these evaluations, top management fosters a proactive culture of continuous improvement in workplace safety standards.

   Example: The management team of a manufacturing firm prepares quarterly safety performance reports that analyze incident rates, compliance levels, and areas needing improvement. These reports are disseminated to all employees, promoting a culture of transparency and encouraging active participation in enhancing workplace safety. By sharing this information, the firm ensures that everyone is informed and engaged in the continuous improvement of health and safety standards throughout the organization.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The OH&S policy should clearly express the organization's commitment to health and safety, outlining objectives and guiding principles. It provides a framework for establishing safety goals and showcases leadership's dedication to fostering a safe and healthy work environment for all employees.

2. **Organizational Chart:** An updated organizational chart visually represents the structure of the organization, highlighting roles and relationships concerning OH&S responsibilities. It clarifies who is accountable for specific safety functions, promoting accountability and facilitating effective communication throughout the organization for better safety practices.

3. **Job Descriptions:** Job descriptions should detail the specific OH&S responsibilities associated with each position. They clarify expectations and help ensure that employees understand their roles in maintaining safety, enabling effective implementation of safety protocols and procedures.

4. **Risk Assessment Records:** Risk assessment records document the identification and evaluation of workplace hazards. They should outline the methodology used, the risks identified, control measures implemented, and the effectiveness of those measures, serving as a basis for continuous safety improvement.

5. **Training Records:** Training records must indicate the OH&S training provided to employees, including topics covered, dates, and attendance. They demonstrate compliance with training requirements and ensure that employees are equipped with the knowledge necessary to perform their jobs safely.

6. **Internal Audit Reports:** Internal audit reports evaluate the effectiveness of the OH&S management system and compliance with ISO 45001:2018. They should include findings, nonconformities identified, and recommendations for improvement, forming the basis for corrective actions and on-going system enhancement.

7. **Management Review Minutes:** Management review minutes should summarize discussions regarding OH&S performance, objectives, and identified areas for improvement. They serve as documentation of leadership's commitment to continuous improvement and ensure that safety is a key consideration in strategic planning.

8. **Incident Reports:** Incident reports must include details of accidents, incidents, and near misses. They should document the investigation process, root cause analysis, and corrective actions taken, providing insights for preventing future occurrences and improving workplace safety.

9. **Safety Procedures and Protocols:** Documented safety procedures and protocols outline the specific steps employees must follow to maintain safety standards. They provide clear guidance on safe work practices, emergency response procedures, and the use of personal protective equipment (PPE).

10. **Corrective and Preventive Action Records:** Records of corrective and preventive actions should detail the identification of nonconformities, the actions taken to address them, and measures implemented to prevent recurrence. They demonstrate the organization's commitment to addressing safety issues proactively.

4. OBJECTIVE EVIDENCES:

1. **Internal Audit Report:** Internal audit reports provide evidence of adherence to the OH&S management system, highlighting areas of compliance and identifying opportunities for improvement. These reports are essential for ensuring that safety practices align with established policies and regulatory requirements verified. Example: Internal Audit Report No: IAR-2024-060; Audit Date: 2024-03-15; Auditor: Michael Brown; Findings: 5 Nonconformities.

2. **Management Review Minutes:** Minutes from management review meetings document discussions on OH&S performance, including evaluations of safety metrics, incident trends, and the effectiveness of existing policies. These records ensure accountability and promote continuous improvement in the organization's health and safety practices evidence. Example: Management Review Meeting Minutes No: MRM-2024-072; Date: 2024-06-05; Attendees: Top Management Team; Key Topics: Safety Objectives, Incident Rates.

3. **Corrective Action Records:** Records of corrective actions taken in response to identified nonconformities detail the specific measures implemented to address issues, including timelines for resolution and effectiveness evaluations. These documents demonstrate the organization's commitment to continual improvement and compliance with OH&S standards evidence. Example: Corrective Action Report No: CAR-2024-095; Issue Date: 2024-08-01; Action Taken By: Sarah White, Safety Manager; Resolution Date: 2024-08-20.

4. **Emergency Preparedness Plan:** Documented emergency response plans outline procedures for various scenarios, ensuring preparedness for incidents. Training records confirm that employees have received instruction on these plans, enhancing their ability to respond effectively during emergencies and maintain safety in the workplace reviewed. Example: Emergency Preparedness Plan No: EPP-2024-103; Last Updated: 2024-09-10; Drill Conducted on: 2024-09-20; Participants: All Employees.

5. **Safety Procedure Documents:** Documented safety procedures for specific tasks are readily available to employees and effectively communicated during training sessions. This ensures that all workers understand the necessary protocols and guidelines, promoting adherence to safety practices and reducing the risk of incidents reviewed. Example: Safety Procedure Document No: SPD-2024-112; Date Issued: 2024-02-25; Procedure: Forklift Operation Safety; Reviewed by: Robert Black, Operations Manager.

6. **Health and Safety Objectives:** Health and safety objectives are clearly documented and regularly monitored to track progress. This systematic approach ensures that the organization can assess its performance against set goals and make necessary adjustments to enhance overall safety and compliance evidence. Example: Health and Safety Objective Document No: HSO-2024-124; Established on: 2024-01-05; Objective: Reduce Incident Rate by 20%; Status: On Track.

7. **Employee Feedback Records:** Records of employee feedback regarding OH&S issues showcase active engagement within the organization. This documentation reflects a commitment to addressing safety concerns, fostering a culture of open communication, and involving employees in enhancing health and safety practices verified. Example: Employee Feedback Report No: EFR-2024-135; Feedback Date: 2024-10-01; Compiled by: Lisa Adams, HR; Summary: Suggestions for Safety Improvements.

8. **Compliance with Legal Requirements:** Documentation confirming compliance with applicable health and safety laws includes records of regulatory inspections, certificates, and audit findings. These documents demonstrate the organization's commitment to adhering to legal requirements and maintaining a safe work environment for all employees verified. Example: Compliance Document No: CD-2024-146; Legal Review Date: 2024-03-30; Reviewed by: Tom Wilson, Legal Advisor; Compliance Status: 100%.

9. **Safety Equipment Maintenance Records:** Maintenance records for safety equipment are available and up to date, indicating regular inspections and servicing. These records ensure that all safety equipment functions properly and complies with safety regulations, contributing to a safe working environment for employees verified. Example: Maintenance Log No: ML-2024-157; Equipment: Fire Extinguishers; Last Inspected: 2024-08-15; Inspected by: Mark Thompson, Maintenance.

10. **Contractor Safety Performance Records:** Documentation of contractor safety performance includes records of compliance with safety standards, incident reports, and evaluations. This ensures that contractors meet the organization’s health and safety requirements, fostering a safer work environment and minimizing risks associated with external parties reviewed. Example: Contractor Performance Review No: CPR-2024-168; Review Date: 2024-09-05; Contractor Name: XYZ Construction; Performance Rating: Satisfactory.

5. INTERVIEW QUESTIONS:

1. How does top management communicate the responsibilities and authorities related to the OH&S management system to employees at all levels of the organization?
2. Can you provide examples of documented information that outlines the assigned roles and responsibilities for the OH&S management system?
3. How employees are made aware of their responsibilities within the OH&S management system?
4. What processes are in place to ensure that responsibilities for OH&S are regularly reviewed and updated as necessary?
5. How does top management ensure that workers understand their roles and responsibilities regarding safety and health?
6. Who is responsible for ensuring that the OH&S management system conforms to the ISO 45001 requirements, and how is this communicated?
7. Can you describe the process for reporting OH&S performance to top management? What information is included in these reports?
8. How does the organization ensure that employees at different levels are encouraged to take responsibility for their health and safety roles?
9. Are there any training programs in place to help employees understand their OH&S responsibilities? If so, can you provide examples?
10. How does the organization handle instances where employees do not fulfill their OH&S responsibilities?
11. What criteria are used to assign responsibilities and authorities within the OH&S management system?
12. How does top management ensure accountability for the effective functioning of the OH&S management system?
13. Can you share examples of how the organization evaluates the effectiveness of assigned roles and responsibilities related to OH&S?
14. How often are the documented responsibilities and authorities for the OH&S management system reviewed and revised?
15. What methods does the organization use to gather feedback from employees regarding their understanding and fulfilment of OH&S responsibilities?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear Documentation:** The organization has established comprehensive documentation that clearly outlines the roles and responsibilities associated with the OH&S management system. This documentation serves as a valuable reference for employees at all levels, ensuring they understand their specific duties and the authority vested in them. By maintaining up-to-date records, the organization enhances accountability and facilitates easier onboarding of new employees.

2. **Effective Communication:** A robust communication strategy is in place to ensure that all employees are well-informed about their specific responsibilities within the OH&S management system. Regular meetings, newsletters, and digital platforms are utilized to disseminate information, making it accessible to everyone. This open line of communication fosters an environment where employees feel empowered to raise safety concerns and seek clarification on their roles.

3. **Regular Training Programs:** The organization conducts regular training sessions focused on educating employees about their OH&S roles and responsibilities. These training programs not only enhance employees' knowledge of safety protocols and practices but also cultivate a culture of safety awareness. By investing in training, the organization demonstrates its commitment to employee well-being and ensures that everyone is equipped to act responsibly in promoting a safe workplace.

4. **Top Management Involvement:** Top management actively participates in the assignment of roles and responsibilities related to the OH&S management system. Their involvement underscores the importance of health and safety within the organizational culture. This visible commitment from leadership sets a positive tone for the entire organization, encouraging all employees to prioritize OH&S in their daily operations and decision-making.

5. **Performance Reporting:** The organization has established a systematic process for reporting OH&S performance metrics to top management. This includes regular assessments of incident rates, training completion, and compliance with safety protocols. By keeping top management informed, the organization ensures that any emerging issues are addressed promptly and that safety performance is continuously monitored for improvement.

6. **Responsibility at All Levels:** Employees at all levels are encouraged to take responsibility for their health and safety roles. This culture of accountability empowers workers to be proactive in identifying potential hazards and implementing safety measures. By fostering this mind-set, the organization promotes teamwork and collaboration, resulting in a safer workplace environment where everyone plays a role in ensuring safety.

7. **Review and Revision Process:** The organization has implemented a structured process for regularly reviewing and updating the roles and responsibilities outlined in the OH&S management system. This proactive approach ensures that responsibilities remain relevant in light of changing operations, regulations, or identified risks. By adapting to new circumstances, the organization demonstrates its commitment to maintaining an effective and responsive OH&S management system.

8. **Feedback Mechanism:** The organization has established a feedback mechanism that allows employees to provide input on their OH&S roles and responsibilities. This could include suggestion boxes, regular surveys, or open forums where employees can voice their opinions. Such a mechanism fosters a collaborative approach to safety management, where employees feel valued and are more likely to engage in safety initiatives and discussions.

9. **Accountability Framework:** An accountability framework is in place to ensure that all employees understand their obligations regarding the OH&S management system. This includes clearly defined expectations, performance evaluations related to safety responsibilities, and consequences for non-compliance. By reinforcing accountability, the organization enhances overall commitment to health and safety practices and encourages employees to take ownership of their roles.

10. **Continuous Improvement Initiatives:** The organization demonstrates a commitment to continuous improvement in the OH&S management system by regularly assessing the effectiveness of assigned roles and responsibilities. This may involve conducting audits, reviewing incident reports, and seeking employee feedback to identify areas for enhancement. By actively pursuing improvements, the organization not only meets compliance requirements but also creates a culture of safety that adapts to evolving challenges and priorities.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inadequate Documentation:** The documentation outlining roles and responsibilities within the OH&S management system may be insufficient or unclear. This can lead to confusion among employees regarding who is responsible for what, potentially compromising safety efforts. An opportunity exists to create comprehensive role descriptions and ensure they are easily accessible, which would enhance clarity and accountability across the organization.

2. **Limited Communication Channels:** Communication methods used to inform employees about their OH&S roles may be lacking. For example, if updates are only shared via infrequent emails or during annual meetings, many employees may miss critical information. Enhancing communication through regular safety briefings, bulletin boards, and digital platforms can ensure that all staff are well-informed and engaged in safety practices.

3. **Absence of Training Programs:** There may be a lack of structured training programs designed to educate employees about their specific OH&S responsibilities. Without proper training, employees might not fully understand their roles or the importance of compliance. Developing comprehensive training sessions tailored to various job functions can improve knowledge retention and encourage a proactive safety culture.

4. **Insufficient Top Management Engagement:** Top management's engagement in communicating roles and responsibilities may be minimal. When leaders are not visibly involved, it can diminish the importance of OH&S initiatives. Increasing their presence in safety meetings and decision-making processes can reinforce the organization's commitment to health and safety, promoting a stronger safety culture throughout the organization.

5. **Lack of Performance Metrics:** The absence of clear performance metrics to evaluate the effectiveness of the OH&S management system may hinder the organization's ability to track progress. Without measurable indicators, it can be challenging to identify trends or areas needing improvement. Establishing specific metrics, such as incident rates or training completion percentages, can provide valuable data for on-going evaluation and enhancement of safety efforts.

6. **Unclear Accountability:** If roles and responsibilities are not clearly defined at all organizational levels, it can lead to ambiguity in accountability, making it difficult for employees to understand their specific obligations. Clearly defining each role's responsibilities and ensuring they are documented and communicated can enhance accountability and empower employees to take ownership of their safety-related duties.

7. **Feedback Mechanism Absence:** The organization might lack an effective feedback mechanism for employees to share insights or concerns regarding their roles. Without a channel for feedback, valuable perspectives and suggestions for improvement may be overlooked. Establishing anonymous suggestion boxes, regular safety surveys, or open forums can encourage employees to voice their opinions, contributing to a culture of continuous improvement.

8. **Infrequent Role Reviews:** If the process for reviewing and updating roles and responsibilities is infrequent, there's a risk that assigned duties may become outdated. Changes in operations, personnel, or regulations can impact safety responsibilities. Implementing a regular review schedule—such as quarterly assessments—ensures that roles are relevant and align with current practices, enhancing overall effectiveness.

9. **Limited Employee Involvement:** Workers may not be adequately involved in discussions regarding their OH&S responsibilities, leading to disengagement. When employees feel excluded from the decision-making process, it can result in a lack of ownership. Encouraging participation through safety committees or focus groups allows employees to contribute their insights and fosters a sense of belonging and responsibility towards safety initiatives.

10. **Neglected Reporting Processes:** If the reporting on OH&S performance to top management is inconsistent or infrequent, it may hinder effective oversight. Regular and structured reporting processes are vital to ensure that top management is informed of current safety performance and emerging issues. Streamlining these reporting mechanisms can facilitate timely decision-making and enhance safety outcomes.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Documented Roles and Responsibilities:** No documented evidence is available that clearly defines the specific roles and responsibilities associated with the OH&S management system. This absence of documentation hinders accountability and clarity regarding who is responsible for various safety-related tasks within the organization.

   Example: There is an absence of a Role and Responsibilities Matrix or an OH&S Organizational Chart. Specifically, the document identified as OH&S-R&R-2023 is not present in the records, leading to unclear accountability regarding safety responsibilities within the organization. FORM NO: XXX

2. **Ineffective Communication of Roles:** Responsibilities and authorities regarding the OH&S management system have not been effectively communicated to all employees. This lack of clarity can lead to confusion about individual roles, ultimately compromising the organization's commitment to maintaining a safe and healthy work environment.

   Example: Employee feedback forms (e.g., EF-2023-15) reveal confusion among staff regarding their safety responsibilities, as highlighted during interviews. This uncertainty could undermine the effectiveness of the OH&S management system and hinder compliance with safety protocols within the organization. FORM NO: XXX

3. **Inadequate Training on Responsibilities:** Employees have not received adequate training on their OH&S responsibilities, as evidenced by attendance records and feedback from recent evaluations. This gap in training may lead to misunderstandings of safety protocols and could jeopardize the overall effectiveness of the management system.

   Example: Training records (e.g., TR-2023-04) reveal that only 40% of employees participated in the OH&S roles training session. This low attendance rate may result in insufficient understanding of safety responsibilities, potentially compromising the effectiveness of the organization's health and safety initiatives. FORM NO: XXX

4. **Unclear Accountability in Reporting:** There is a lack of clear assignment regarding accountability for reporting OH&S performance to top management. This absence can hinder effective oversight and management of health and safety practices, potentially impacting the organization’s overall safety performance and compliance.

   Example: Minutes from management meetings (e.g., MM-2023-07) fail to specify the individual responsible for reporting on OH&S performance. This omission may lead to ambiguity in accountability, potentially affecting the organization’s ability to effectively monitor and improve safety practices. FORM NO: XXX

5. **Absence of Role Reviews:** The organization does not conduct regular reviews of roles and responsibilities within the OH&S management system. This lack of periodic assessment may result in outdated information, unclear accountability, and ineffective communication regarding health and safety responsibilities among employees.

   Example: The review schedule document (e.g., RS-2023) is either absent or outdated, indicating that no reviews of roles and responsibilities have been conducted for over a year. This lack of oversight may compromise the effectiveness of the OH&S management system. FORM NO: XXX

6. **Lack of Employee Involvement in Role Assignment:** There is no evidence that employees participated in the assignment of their OH&S responsibilities. This lack of involvement may lead to confusion and disengagement, potentially undermining the effectiveness of the organization's health and safety management system.

   Example: Employee surveys (e.g., ES-2023-10) indicate that many employees are unaware of who assigned their OH&S roles and responsibilities. This lack of clarity can hinder effective communication and may negatively impact the overall safety culture within the organization. FORM NO: XXX

7. **Insufficient Mechanisms for Feedback:** The organization lacks a formal mechanism for employees to provide feedback on their OH&S responsibilities or the management system. This absence of a feedback channel may lead to unaddressed concerns and reduced employee engagement in health and safety practices.

   Example: Records (e.g., FB-2023) indicate that no feedback has been gathered from employees regarding their OH&S responsibilities or the management system over the past two quarters. This gap suggests a lack of engagement and opportunities for improvement in safety practices. FORM NO: XXX

8. **Failure to Update Responsibilities after Organizational Changes:** Responsibilities related to the OH&S management system have not been revised to reflect recent organizational changes, such as staff turnover and restructuring. This oversight may lead to confusion regarding roles and hinder effective implementation of health and safety practices.

   Example: Outdated role descriptions (e.g., RD-2022) are still being utilized, failing to incorporate changes in personnel or updated responsibilities. This lack of revision may lead to misunderstandings about roles and hinder effective implementation of the OH&S management system. FORM NO: XXX

9. **Inconsistent Enforcement of Responsibilities:** Inconsistent enforcement of assigned responsibilities has resulted in lapses in compliance with OH&S protocols. This lack of adherence can create safety risks and undermine the effectiveness of the organization's health and safety management system, compromising overall workplace safety.

   Example: Audit findings (e.g., AF-2023-05) highlight instances where assigned responsibilities were not followed during safety inspections, indicating a failure to comply with established protocols. This oversight raises concerns about the effectiveness of the OH&S management system and overall workplace safety. FORM NO: XXX

10. **Lack of Performance Metrics for OH&S Responsibilities:** There are currently no established performance metrics in place to assess compliance with assigned OH&S responsibilities, leading to difficulties in measuring effectiveness. This lack of evaluation may hinder the organization's ability to improve health and safety practices effectively.

    Example: Performance review documents, such as PR-2023, lack any metrics or criteria related to safety roles, indicating insufficient evaluation of employee compliance with OH&S responsibilities. This absence may prevent the organization from effectively measuring safety performance and accountability within the workforce. FORM NO: XXX

5 LEADERSHIP AND WORKER PARTICIPATION

1. STANDARD REQUIREMENT

5.4 CONSULTATION AND PARTICIPATION OF WORKERS

The organization shall establish, implement and maintain a process (es) for consultation and participation of workers at all applicable levels and functions, and, where they exist, workers' representatives, in the development, planning, implementation, performance evaluation and actions for improvement of the OH&S management system.

The organization shall:

a) provide mechanisms, time, training and resources necessary for consultation and participation;

NOTE1: Worker representation can be a mechanism for consultation and participation.

b) provide timely access to clear, understandable and relevant information about the OH&S management system;

c) determine and remove obstacles or barriers to participation and minimize those that cannot be removed;

NOTE 2: Obstacles and barriers can include failure to respond to worker inputs or suggestions, language or literacy barriers, reprisals or threats of reprisals and policies or practices that discourage or penalize worker participation.

a) emphasize the consultation of non-managerial workers on the following:

1. Determining the needs and expectations of interested parties (see 4.2);
2. Establishing the OH&S policy (see 5.2);
3. Assigning organizational roles, responsibilities and authorities, as applicable (see 5.3);
4. Determining how to fulfil legal requirements and other requirements (see 6.1.3);
5. Establishing OH&S objectives and planning to achieve them (see 6.2);
6. determining applicable controls for outsourcing, procurement and contractors (see 8.1.4);
7. determining what needs to be monitored, measured and evaluated (see 9.1);
8. planning, establishing, implementing and maintaining an audit programme(s) (see 9.2.2);
9. ensuring continual improvement (see 10.3);

b) emphasize the participation of non-managerial workers in the following:

1. determining the mechanisms for their consultation and participation;
2. identifying hazards and assessing risks and opportunities (see 6.1.1 and 6.1.2);
3. determining actions to eliminate hazards and reduce OH&S risks (see 6.1.4);
4. determining competence requirements, training needs, training and evaluating training (see 7.2);

5. determining what needs to be communicated and how this will be done (see 7.4);
6. determining control measures and their effective implementation and use (see 8.1, 8.1.3 and 8.2);
7. Investigating incidents and nonconformities and determining corrective actions (see 10.2).

NOTE 3: Emphasizing the consultation and participation of non-managerial workers is intended to apply to persons carrying out the work activities, but is not intended to exclude, for example, managers who are impacted by work activities or other factors in the organization.

NOTE 4: It is recognized that the provision of training at no cost to workers and the provision of training during working hours, where possible, can remove significant barriers to worker participation.

2. EXPLAINATION:

1. **Establishing Processes for Consultation and Participation:** Organizations must engage workers and their representatives in the development, planning, implementation, and improvement of the Occupational Health and Safety (OH&S) management system. This collaborative approach allows those directly involved in the work to share their insights and experiences, fostering a culture of safety. By incorporating their input, organizations can implement more effective safety measures that enhance overall workplace well-being and compliance with OH&S standards.

   Example: A manufacturing company can establish regular safety meetings to encourage workers to share their experiences and suggest improvements. These meetings provide a platform for open communication, enabling employees to discuss safety challenges and propose practical solutions. By actively involving workers in this process, management can gain valuable real-world insights, fostering a collaborative safety culture that enhances workplace safety and reduces the risk of incidents.

2. **Providing Mechanisms, Time, Training, and Resources:** Organizations must provide essential resources, including time, training, and access to tools, to facilitate effective worker participation in safety initiatives. This can involve scheduling regular consultation sessions during work hours, ensuring employees can actively engage without added pressure. Additionally, organizations should offer comprehensive training to help workers understand safety protocols, empowering them to contribute meaningfully to the safety management system and fostering a culture of proactive safety.

   Example: A construction firm could organize monthly training sessions during paid hours, allowing workers to learn about safety regulations and best practices. These sessions would also provide an opportunity for employees to give input on safety measures relevant to their specific tasks. By encouraging active participation and continuous education, the firm fosters a safety-conscious culture, empowering workers to enhance their own safety and that of their colleagues on-site.

3. **Timely Access to Relevant Information:** Workers must have timely access to clear and relevant information regarding the Occupational Health and Safety (OH&S) management system, including safety policies, hazard identifications, and risk assessments. Effective communication is crucial, as it helps employees understand their roles and responsibilities

while highlighting the importance of their contributions to workplace safety. By ensuring access to this information, organizations empower workers to actively engage in promoting a safer work environment.

Example: An organization could establish an internal platform that provides all employees with easy access to updated safety procedures, reports, and guidelines. This platform would serve as a centralized resource, ensuring that everyone stays informed about the latest safety practices and protocols. By facilitating real-time access to critical information, the organization promotes a culture of safety, empowering employees to adhere to current standards and contribute to a safer workplace.

4. **Removing Barriers to Participation:** Organizations must identify and address obstacles that hinder worker participation, such as language barriers, fear of reprisals for speaking out, or policies that discourage involvement. By recognizing and tackling these issues, organizations can create a more inclusive environment where all employees feel valued and empowered to contribute. This proactive approach not only enhances participation but also promotes a culture of safety and collaboration within the workplace.

   Example: A company could implement anonymous suggestion boxes to provide workers with a safe avenue for voicing concerns or suggestions without fear of retaliation. This initiative encourages open communication about safety issues, allowing employees to share their insights and experiences freely. By fostering an environment where workers feel comfortable expressing themselves, the company enhances safety awareness and can identify potential hazards, ultimately contributing to a safer workplace for everyone.

5. **Emphasizing Consultation of Non-Managerial Workers:** The organization must prioritize the involvement of non-managerial workers in key decision-making processes, such as developing Occupational Health and Safety (OH&S) policies and setting safety objectives. Their on-the-ground insights are invaluable for accurately assessing risks and addressing the specific needs of the workforce. By incorporating these perspectives, the organization fosters a collaborative approach to safety, leading to more effective policies and a stronger commitment to a safe working environment.

   Example: A healthcare facility could engage nurses in discussions about establishing safety policies, leveraging their direct experience with patient care risks that managers may not fully understand. By including nurses in the decision-making process, the facility can gain valuable insights into the challenges faced on the front lines. This collaboration not only enhances the effectiveness of safety policies but also promotes a culture of safety that prioritizes patient well-being and staff input.

6. **Participation in Identifying Hazards and Assessing Risks:** Non-managerial workers should actively participate in identifying workplace hazards and assessing risks, as their involvement is crucial for effective safety management. Those performing the tasks are often the first to notice potential safety concerns that management might overlook. By engaging workers in this process, organizations can gain valuable insights, enhance risk assessments, and develop more robust safety measures that prioritize the well-being of all employees in the workplace.

   Example: An assembly line team could perform regular safety audits to identify potential hazards in their specific work area. By leveraging their first-hand experiences, team members can pinpoint issues that may not be evident to management. Additionally, they

can propose practical solutions tailored to their tasks, fostering a proactive safety culture. This collaborative approach not only enhances workplace safety but also empowers employees to take ownership of their environment.

7. **Determining Actions to Eliminate Hazards:** Organizations should actively involve workers in determining how to eliminate hazards and reduce Occupational Health and Safety (OH&S) risks. Their hands-on experience is invaluable, as they can provide practical insights and suggestions tailored to the specific challenges they face. By empowering employees to contribute to safety solutions, organizations foster a culture of collaboration and accountability, ultimately leading to more effective strategies that enhance overall workplace safety and well-being.

   Example: If a manufacturing worker identifies a risk related to machinery, they might propose changes to operational procedures or recommend equipment adjustments to effectively mitigate the hazard. By drawing on their first-hand experience, the worker can suggest practical solutions that enhance safety and efficiency. This proactive approach not only addresses the specific risk but also fosters a culture of continuous improvement, where employees feel empowered to contribute to a safer workplace.

8. **Determining Competence and Training Needs:** Workers should actively participate in identifying their training needs and competence requirements, ensuring that the training provided is relevant to their roles. This involvement allows employees to express the specific skills and knowledge necessary for effectively addressing the risks associated with their tasks. By tailoring training to meet these needs, organizations enhance workforce capability and safety, ultimately fostering a more knowledgeable and competent workforce dedicated to maintaining a safe working environment.

   Example: An IT company could engage technicians in assessing the need for training on cyber security threats, ensuring that employees receive education on the latest risks relevant to their roles. By involving technicians, the company can identify specific vulnerabilities and emerging threats they face daily. This targeted approach to training not only enhances employees' awareness and skills but also strengthens the organization's overall cyber security posture, fostering a safer digital environment.

9. **Communicating Safety Measures Effectively:** Workers must be involved in determining what safety information needs to be communicated and how it should be shared. This collaborative approach ensures that communication methods resonate with all employees, making the information more accessible and engaging. By prioritizing input from the workforce, organizations can enhance the effectiveness of their safety communication strategies, ensuring that critical information is conveyed clearly and understood by everyone, thereby promoting a safer workplace.

   Example: A logistics company could engage drivers in discussions about effective communication of safety protocols, allowing them to share their insights on preferred methods. This collaboration could lead to the creation of user-friendly materials, such as checklists or mobile app notifications, tailored to drivers' needs. By prioritizing input from those directly impacted, the company enhances the clarity and accessibility of safety information, promoting adherence to protocols and improving overall safety.

10. **Investigating Incidents and Nonconformities:** The participation of workers in investigating incidents and identifying corrective actions is essential for improving workplace safety. Their first-hand insights can help pinpoint root causes that may not be evident to management, facilitating a deeper understanding of the issues at hand. By involving employees in this process, organizations can develop more effective strategies to prevent recurrence, ultimately enhancing overall safety performance and fostering a culture of continuous improvement.

    Example: After a workplace incident, a team could convene to analyze what went wrong, creating an opportunity for workers to share their insights and provide context. This collaborative approach allows employees to discuss their first-hand experiences, helping to identify underlying factors that contributed to the incident. By encouraging workers to suggest corrective actions based on their knowledge, the organization can implement more effective solutions, ultimately improving safety and preventing future occurrences.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The OH&S policy outlines the organization's commitment to health and safety management. Auditors should verify that this policy is appropriate to the organization's size and nature of operations, reflects its commitment to continuous improvement, and has been communicated to all workers. Evidence of policy dissemination, such as email communications or training materials, should also be reviewed.

2. **Risk Assessment Records:** Risk assessment records should detail the identified hazards, associated risks, and the evaluation process used to determine their significance. Auditors will check for documented risk assessments that include input from workers and ensure they are regularly reviewed and updated. These records demonstrate the organization's proactive approach to hazard identification and risk management.

3. **Consultation and Participation Procedures:** Documents that outline the procedures for worker consultation and participation are crucial. Auditors should examine these procedures to ensure they facilitate effective communication and involvement of workers in OH&S matters. The existence of mechanisms such as meetings, surveys, or suggestion boxes should be verified, along with evidence of actual consultations that have taken place.

4. **Training and Competence Records:** Auditors should review training records to confirm that workers have received the necessary training to perform their jobs safely. This includes records of training sessions, attendance logs, and certificates of completion. The organization should also have documented procedures for identifying training needs based on job requirements and any changes in OH&S regulations or practices.

5. **Incident and Nonconformity Reports:** Records of incidents, accidents, and nonconformities are critical for evaluating the organization's response to safety events. Auditors will look for documented investigations, root cause analyses, and corrective actions taken to prevent recurrence. This evidence demonstrates the organization's commitment to learning from incidents and improving safety measures.

6. **Internal Audit Reports:** Auditors should examine internal audit reports to assess the effectiveness of the OH&S management system. These reports should detail the audit process, findings, and any corrective actions taken in response to identified deficiencies. Reviewing these documents helps auditors determine whether the organization regularly evaluates its compliance and performance.

7. **Management Review Minutes:** The minutes from management review meetings provide insight into how top management assesses the performance of the OH&S management system. Auditors should ensure that these minutes capture discussions about policy reviews, changes in objectives, incident trends, and feedback from consultations with workers. This evidence is crucial for evaluating management's commitment to continual improvement.

8. **Emergency Preparedness and Response Plans:** Auditors should review documented plans for emergency preparedness and response, including procedures for specific types of emergencies (e.g., fire, chemical spills). The organization should provide evidence of training and drills conducted to prepare workers for emergencies, demonstrating that they are equipped to handle potential crises effectively.

9. **Performance Evaluation Records:** Records related to the monitoring and measuring of OH&S performance metrics are essential for assessing the effectiveness of the management system. Auditors should look for data on key performance indicators (KPIs), such as incident rates, training completion rates, and results from inspections or audits. This data helps to evaluate whether the organization meets its OH&S objectives.

10. **Legal and Other Requirements Documentation:** Organizations must identify and comply with legal and other requirements related to occupational health and safety. Auditors should verify that there is documentation demonstrating compliance with relevant regulations, such as licenses, permits, and inspection reports. This evidence is critical for ensuring that the organization operates within legal boundaries and upholds safety standards.

4. OBJECTIVE EVIDENCES:

1. **Documented OH&S Policy:** The organization maintains a documented Occupational Health and Safety (OH&S) policy that is easily accessible to all employees. This transparency ensures that workers are informed about safety standards and guidelines, promoting a culture of safety and compliance throughout the workplace evidence. Example: Document Number: OHSP-001, Issued on: 2024-01-15, Reviewed by: John Doe, HR Manager.

2. **Risk Assessment Records:** The organization performs regular risk assessments and meticulously documents the findings, detailing identified hazards and their corresponding risk levels. This systematic approach ensures that safety measures are effectively implemented and continuously improved, contributing to a safer work environment for all employees reviewed. Example: Risk Assessment Report No: RAR-2024-005, Conducted on: 2024-03-20, Assessor: Jane Smith, Safety Officer.

3. **Training Records:** All workers have successfully completed the required health and safety training, ensuring compliance with regulations. Detailed records of training completion and participant attendance are meticulously maintained to facilitate audits and ensure on-going adherence to safety standards verified. Example: Training Completion Certificate No: TCC-2024-0123 for Employee ID: EMP-4567, Date of Training: 2024-04-10, Trainer: Mark Johnson.

4. **Incident Report:** Documented incident reports are systematically maintained, detailing the investigations conducted for each incident and the corrective actions implemented. This documentation ensures transparency, accountability, and continuous improvement in safety practices, facilitating compliance and effective management of workplace incidents reviewed. Example: Incident Report No: IR-2024-007, Date of Incident: 2024-06-05, Reported by: Sarah Lee, Maintenance Supervisor.

5. **Internal Audit Reports:** The organization conducts internal audits of the Occupational Health and Safety (OH&S) management system, meticulously documenting findings and any corrective actions taken. This process ensures compliance, identifies areas for improvement, and fosters a culture of continuous enhancement in safety practices evidence. Example: Internal Audit Report No: IAR-2024-009, Conducted on: 2024-05-15, Auditor: Tom Brown, Findings: 3 non-conformities.

6. **Management Review Minutes:** Minutes from management review meetings are thoroughly documented, capturing detailed discussions on the performance of the Occupational Health and Safety (OH&S) management system. This documentation ensures accountability and facilitates the assessment of system effectiveness and opportunities for continuous improvement reviewed. Example: Management Review Minutes No: MRM-2024-003, Meeting Date: 2024-07-01, Attendees: John Doe, Mark Johnson, and Sarah Lee.

7. **Emergency Preparedness and Response Plan:** Documented emergency preparedness plans are developed, outlining procedures for various scenarios. These plans include specific response strategies, communication protocols, and roles for personnel, ensuring a structured and efficient approach to managing emergencies and safeguarding employee safety during critical situations verified. Example: Emergency Response Plan No: ERP-2024-001, Issued on: 2024-02-10, Prepared by: Emily Davis, Safety Coordinator.

8. **Corrective and Preventive Action Records:** Records of corrective and preventive actions are meticulously maintained in response to incidents and nonconformities. These records detail the steps taken to address issues, ensuring accountability and promoting a proactive approach to preventing future occurrences within the organization reviewed. Example: CAPA Record No: CAPA-2024-004, Date Issued: 2024-05-30, Action Taken: Revised safety protocols, Responsible Person: Michael Green.

9. **Worker Consultation Records:** Records of consultations with workers regarding Occupational Health and Safety (OH&S) issues are systematically maintained, highlighting their contributions and feedback. This documentation fosters a collaborative approach to safety, ensuring that worker insights are valued and integrated into the OH&S management process verified. Example: Worker Consultation Meeting No: WCM-2024-006, Meeting Date: 2024-06-15, Participants: Employees from Maintenance and Production Departments.

10. **Health Surveillance Records:** Health surveillance records for employees exposed to specific hazards are meticulously maintained and reviewed regularly. This practice ensures that potential health risks are monitored, enabling timely interventions and safeguarding employee well-being in alignment with Occupational Health and Safety regulations verified. Example: Health Surveillance Record No: HSR-2024-002, Review Date: 2024-08-01, Conducted by: Dr. Alice White, Occupational Health Nurse.

5. INTERVIEW QUESTIONS:

1. Can you describe the processes your organization has established for consulting and involving workers in the OH&S management system?
2. How does the organization ensure that all workers, including non-managerial staff, have the opportunity to participate in the development and implementation of OH&S policies and procedures?
3. What mechanisms are in place for workers to provide input on health and safety matters? Can you provide examples of how these mechanisms have been utilized?
4. Are there designated representatives for worker consultation? If so, how are they selected and what role do they play in the OH&S management system?
5. What training or resources have been provided to workers to facilitate their participation in the OH&S processes?
6. How does the organization ensure that all workers receive timely and understandable information regarding the OH&S management system?
7. What steps have been taken to identify and remove obstacles to worker participation in the OH&S management system? Can you provide specific examples of barriers that have been addressed?
8. How often does the organization conduct consultations with workers about their health and safety needs and expectations? Can you share recent examples of these consultations?
9. In what ways are non-managerial workers involved in the identification of hazards and assessment of risks? Can you share any outcomes from these activities?
10. How are actions determined to eliminate hazards and reduce OH&S risks? Who is involved in these discussions?
11. Can you provide examples of how workers have contributed to establishing OH&S objectives and planning to achieve them?
12. What methods are used to communicate necessary training and competency requirements to workers? How is their feedback gathered on training effectiveness?
13. How does the organization investigate incidents and nonconformities involving worker input? Can you describe a recent incident investigation and the role workers played?
14. How do you evaluate the effectiveness of the consultation and participation processes in promoting a safer workplace? What metrics or feedback mechanisms are used?
15. Can you provide examples of how worker suggestions have led to changes or improvements in health and safety practices within the organization?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Established Consultation Processes:** The organization has established structured processes, including regular meetings, feedback sessions, and surveys, to consult workers at all levels. This inclusive approach empowers employees, fosters a shared responsibility for health and safety, and ensures all voices are heard in decision-making.

2. **Proactive Training Initiatives:** The organization demonstrates its commitment to worker empowerment through comprehensive training programs that enhance participation in the OH&S management system. These programs equip employees to identify hazards and engage in safety discussions, fostering confidence and increasing awareness of safety protocols.

3. **Timely Information Sharing:** The organization promotes transparency and trust by ensuring timely access to clear OH&S information, including safety policies, procedures, and performance metrics. This empowers employees with knowledge of their rights, responsibilities, and available safety resources in an easily understandable format.

4. **Addressing Barriers to Participation:** The organization proactively removes barriers to worker participation in the OH&S management system by addressing language issues, safety protocol understanding, and fears of reprisal. This fosters a safe environment where all employees feel encouraged to contribute, improving safety outcomes.

5. **Inclusive Worker Representation:** Including worker representatives in the consultation process showcases the organization's commitment to diverse perspectives on health and safety. This platform enhances safety policies by addressing peer concerns, promoting a sense of belonging, and ensuring relevance to actual working conditions and challenges.

6. **Engagement in Risk Assessment:** By involving non-managerial workers in hazard identification and risk assessment, the organization values their unique insights. Employees directly engaged in tasks offer practical knowledge of hazards and solutions, enhancing risk management practices and fostering engagement and ownership of safety.

7. **Continuous Improvement Practices:** The organization fosters a culture of continual improvement by actively involving workers in evaluating safety measures and suggesting enhancements. This on-going feedback process ensures the OH&S management system evolves, keeping safety practices relevant and effective in addressing new risks and challenges.

8. **Clear Communication Channels:** The organization's commitment to safety is evident through effective communication of training needs and competency requirements. Regular updates via meetings, newsletters, or digital platforms ensure workers understand safety protocols, their responsibilities, and the importance of compliance, fostering greater willingness to adhere.

9. **Active Participation in Incident Investigations:** Involving workers in investigating incidents and nonconformities fosters accountability and transparency. This empowers employees to take ownership of safety, leverage their first-hand knowledge for root cause analysis, and contribute to effective corrective actions, promoting a culture of continuous improvement.

10. **Supportive Management Practices:** The organization's commitment to offering free training during working hours highlights a supportive management approach that prioritizes worker engagement. By removing financial and time barriers, it boosts participation and fosters a culture of safety, demonstrating care for employees' well-being.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Assessment of Consultation Mechanisms:** Although the organization has consultation processes in place, it is essential to periodically evaluate their effectiveness. Collecting feedback from workers regarding these mechanisms can help identify opportunities for improvement, ensuring that the consultation remains relevant and responsive to employee needs.
2. **Diversity of Participation Methods:** The organization should consider implementing diverse participation methods, including surveys, focus groups, and suggestion boxes. By accommodating various worker preferences, these approaches can help ensure that all employees have an opportunity to contribute their insights and opinions effectively.
3. **Accessibility of Information:** Assess the clarity and accessibility of information regarding the OH&S management system, ensuring it is available in multiple languages and formats. This approach will cater to the diverse literacy levels within the workforce, promoting understanding and compliance among all employees.
4. **Regular Training Updates:** Although training is currently offered, implementing a schedule for regular refresher courses and updates on OH&S practices is recommended, especially following significant policy changes or incidents. This approach ensures that all employees remain informed and compliant with the latest safety standards.
5. **Barrier Identification Process:** The organization should implement a structured method to identify and document barriers to participation. This will provide a clearer understanding of specific obstacles faced by workers, enabling targeted strategies to enhance engagement and improve overall participation in safety initiatives.
6. **Enhanced Response Mechanism:** The organization should review its process for addressing worker inputs and suggestions. Implementing a formal acknowledgment system would demonstrate that contributions are valued and considered, thereby encouraging increased participation and fostering a culture of open communication regarding health and safety.
7. **Worker Representation:** It is essential to ensure that worker representation in consultation processes is clearly defined. Additionally, representatives should receive adequate training to effectively communicate worker concerns, fostering a more inclusive environment that encourages participation and addresses health and safety issues.
8. **Encouragement of Non-Retaliation Policies:** Strengthening policies that ensure non-retaliation for workers participating in consultation processes or reporting safety concerns is crucial. This approach fosters a safer environment for sharing feedback, encouraging open communication, and enhancing overall safety culture within the organization.

9. **Participation in Hazard Identification:** Enhancing the involvement of non-managerial workers in hazard identification and risk assessment processes is essential. Implementing regular and structured brainstorming sessions or workshops can empower employees, encouraging their contributions and improving overall safety outcomes through diverse perspectives and insights.

10. **Integration of Workers in Objective Setting:** Actively involving workers in establishing OH&S objectives and planning is crucial. Their practical insights can shape realistic goals that align with daily operations, fostering a collaborative environment that enhances safety and ensures objectives are relevant and achievable for all employees.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Established Processes for Consultation:** The organization lacks formal processes to facilitate worker consultation and participation. This absence hinders effective communication and collaboration, preventing employees from contributing their insights and feedback, which are essential for enhancing safety and improving the overall occupational health and safety management system.

   Example: There are no documented procedures or protocols outlining how consultations should be conducted, as noted in the management system documentation. This gap limits the effectiveness of worker engagement and undermines the systematic approach to enhancing occupational health and safety practices. FORM NO: XXX

2. **Inadequate Training and Resources:** Workers have not received adequate training or resources necessary for meaningful participation in the OH&S management system. This lack of support hinders their ability to engage effectively, limiting the overall effectiveness of safety initiatives and undermining a culture of safety.

   Example: Training records indicate that only a small percentage of workers have received training on the OH&S management system. Additionally, there is no documentation of any training sessions conducted in the past year, highlighting a significant gap in employee preparedness. FORM NO: XXX

3. **Poor Access to Information:** Workers lack timely access to clear and relevant information regarding the OH&S management system, which hampers their understanding and engagement. This absence of accessible information can lead to confusion and hinder effective participation in safety practices and protocols.

   Example: Interviews with workers indicate significant confusion regarding OH&S policies and procedures. The absence of accessible summaries or visual aids exacerbates this issue, making it challenging for employees to understand critical safety information and their roles within the management system. FORM NO: XXX

4. **Barriers to Participation Not Addressed:** The organization has not taken steps to identify or eliminate barriers that hinder worker participation in the OH&S management system. This oversight limits employees' ability to engage effectively, potentially impacting the overall safety culture and the efficacy of safety initiatives.

   Example: During site visits, observations indicate that workers are hesitant to provide feedback, primarily due to fears of retaliation and a perceived lack of response to their

previous inputs. This reluctance undermines the effectiveness of the OH&S management system and worker engagement. FORM NO: XXX

5. **Lack of Worker Representation:** The organization lacks effective mechanisms for ensuring worker representation in consultation processes. This deficiency hinders meaningful participation and input from employees, ultimately affecting the overall effectiveness of the OH&S management system and the safety culture within the workplace.

   Example: Documentation reveals a lack of established roles or responsibilities for worker representatives, resulting in confusion about their functions. Interviews with employees indicate a widespread sentiment of feeling unrepresented, which undermines effective participation in the organization's health and safety initiatives. FORM NO: XXX

6. **Infrequent or Ineffective Consultations:** Consultations with workers occur infrequently and lack structure, leading to ineffective communication of health and safety issues. This results in missed opportunities for valuable feedback, diminishing worker engagement and hindering the overall effectiveness of the OH&S management system.

   Example: Minutes from meetings reveal that consultations are held annually, demonstrating a lack of regularity and insufficient participation from a diverse range of workers. This limited engagement undermines the effectiveness of feedback mechanisms and the overall health and safety management process. FORM NO: XXX

7. **Non-Involvement in Policy Development:** Non-managerial workers have not been consulted during the development of the OH&S policy, leading to a disconnect between management decisions and frontline insights. This oversight may result in policies that do not adequately address the needs and concerns of employees.

   Example: The review of OH&S policy documents reveals that they were developed without input from non-managerial staff, violating the requirements of Clause 5.4. This lack of consultation undermines the effectiveness of the policy and may overlook critical employee perspectives. FORM NO: XXX

8. **Inadequate Response to Worker Inputs:** The organization does not effectively address worker suggestions or inputs concerning health and safety issues, leading to frustration among employees. This lack of responsiveness can hinder engagement and diminish trust in the organization's commitment to fostering a safe work environment.

   Example: Workers have reported submitting safety suggestions that received no acknowledgment or follow-up actions, leading to feelings of disillusionment. The absence of documentation regarding these suggestions demonstrates a failure to engage with employee feedback and improve safety practices effectively. FORM NO: XXX

9. **Limited Hazard Identification Participation**
   Non-managerial workers are not sufficiently engaged in the processes of identifying hazards and assessing risks within the workplace. This lack of involvement hinders the organization's ability to leverage valuable insights from those who experience daily operations and potential dangers first-hand.

Example: Risk assessment documentation reflects solely management input, lacking contributions from non-managerial workers. Additionally, risk assessment meetings do not include adequate representation from the workforce, undermining the effectiveness of the assessments and limiting diverse perspectives on potential hazards. FORM NO: XXX

10. **Ineffective Communication Channels:** The organization lacks effective communication channels for workers to voice concerns or provide feedback on health and safety matters. Interviews reveal that employees feel discouraged from speaking up, leading to unaddressed issues and a lack of continuous improvement in safety practices.

    Example: A review of communication logs indicates a scarcity of documented worker feedback and responses. Employees report confusion regarding the proper channels for reporting safety issues, highlighting a need for clearer communication protocols to facilitate effective feedback mechanisms within the organization. FORM NO: XXX

6 PLANNING

1. STANDARD REQUIREMENTS:

6.1 ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES

6.1.1 GENERAL

When planning for the OH&S management system, the organization shall consider the issues referred to in 4.1 (context), the requirements referred to in 4.2 (interested parties) and 4.3 (the scope of its OH&S management system) and determine the risks and opportunities that need to be addressed to:

a) give assurance that the OH&S management system can achieve its intended outcome(s);
b) prevent, or reduce, undesired effects;
c) Achieve continual improvement.

When determining the risks and opportunities for the OH&S management system and its intended outcomes that need to be addressed, the organization shall take into account:

- hazards (see 6.1.2.1);
- OH&S risks and other risks (see 6.1.2.2);
- OH&S opportunities and other opportunities (see 6.1.2.3);
- Legal requirements and other requirements (see 6.1.3).
- The organization, in its planning process (es), shall determine and assess the risks and opportunities that are relevant to the intended outcomes of the OH&S management system associated with changes in the organization, its processes or the OH&S management system. In the case of planned changes,
- Permanent or temporary, this assessment shall be undertaken before the change is implemented (see 8.1.3).
- The organization shall maintain documented information on:
- risks and opportunities;
- The process (es) and actions needed to determine and address its risks and opportunities (see 6.1.2 to 6.1.4) to the extent necessary to have confidence that they are carried out as planned.

2. EXPLAINATION:

1. **Understanding the Context (4.1):** Organizations must thoroughly understand their internal and external context to effectively manage their Occupational Health and Safety (OH&S) systems. This understanding involves identifying various factors that can impact the system, including company culture, industry practices, economic conditions, technological advancements, and regulatory requirements. By recognizing these elements, organizations can tailor their OH&S strategies to address specific risks and opportunities, ultimately enhancing workplace safety and compliance.

   Example: A manufacturing company may identify its internal context as one that emphasizes a culture of safety training, fostering employee engagement and awareness. However, it also acknowledges external pressures from competitors adopting automated machinery, which could alter job roles and introduce new safety requirements. This dual

recognition enables the company to adapt its Occupational Health and Safety strategies proactively, ensuring that training remains relevant and that safety standards are met amidst evolving industry dynamics.

2. **Identifying Interested Parties (4.2):** Organizations should identify all parties interested in their Occupational Health and Safety (OH&S) performance, including employees, contractors, suppliers, customers, regulatory bodies, and the community. Understanding the needs and expectations of these stakeholders is essential for recognizing relevant risks and opportunities. Engaging with these parties not only enhances compliance but also fosters a culture of safety, ensuring that the organization's OH&S practices align with stakeholder expectations and contribute to overall workplace safety.

   Example: A construction company identifies its interested parties, including workers, subcontractors, local communities affected by noise, and regulatory agencies enforcing safety regulations. The company recognizes that employees expect robust safety protocols to protect their well-being, while regulators demand strict compliance with specific safety laws. By understanding these diverse expectations, the company can better tailor its OH&S management practices to address stakeholder needs, ultimately fostering a safer work environment and maintaining regulatory compliance.

3. **Defining the Scope (4.3):** The scope of the OH&S management system must be clearly defined to encompass all relevant operations, activities, and locations within the organization. This clarity ensures that potential risks and opportunities are effectively identified and managed. By delineating the boundaries of the system, the organization can focus its efforts on areas that significantly impact health and safety, fostering a comprehensive approach to risk management and enhancing overall workplace safety.

   Example: A logistics company defines its scope to encompass all warehouse operations, including receiving, storage, and dispatch activities, as well as transportation services. It ensures that the health and safety of all employees, contractors, and stakeholders involved in these operations are prioritized. By clearly outlining this scope, the company can effectively manage risks and opportunities, fostering a safer work environment and promoting compliance with relevant health and safety regulations.

4. **Determining Risks and Opportunities:** Organizations must systematically identify risks, which are hazards that could lead to adverse outcomes, and opportunities that could improve OH&S performance. This proactive approach ensures that potential negative impacts are mitigated while simultaneously enhancing the effectiveness and efficiency of the OH&S management system, ultimately supporting the achievement of its intended outcomes and fostering a safer workplace environment for all stakeholders involved.

   Example: During a risk assessment, an organization identifies the hazard of falls from scaffolding, recognizing it as a significant risk to worker safety. In response, they identify the opportunity to enhance safety by implementing a comprehensive training program focused on proper scaffolding usage. This initiative not only aims to mitigate the risk of falls but also promotes a culture of safety awareness and responsibility among workers, ultimately improving overall workplace safety.

5. **Assessment before Changes:** Organizations must evaluate risks and opportunities prior to implementing changes to processes or the OH&S management system. This proactive assessment helps identify potential hazards and impacts on employee safety, ensuring that

necessary control measures are established. By involving relevant stakeholders in the evaluation process, organizations can make informed decisions that enhance safety and compliance, while also fostering a culture of continuous improvement within their operations and management practices.

Example: When a company plans to introduce new machinery, it must assess the potential risks, such as operator safety, equipment maintenance, and the need for training. Simultaneously, the company should evaluate opportunities like improved efficiency and reduced manual labor. By conducting a thorough risk and opportunity assessment before installation, the organization can implement necessary safety measures and maximize the benefits of the new machinery, ensuring a smoother transition and enhanced productivity.

6. **Documented Information:** Organizations must keep comprehensive documented information regarding identified risks and opportunities, along with the processes and actions taken to address them. This documentation ensures accountability and provides a clear reference for future assessments and decision-making. It also helps track progress over time, facilitates effective communication among stakeholders, and supports continuous improvement efforts in the organization's OH&S management system, ensuring that all safety measures remain relevant and effective.

   Example: A construction company maintains a comprehensive risk register that documents identified hazards, detailed risk assessments, and control measures implemented to mitigate those risks. Additionally, the register includes opportunities for improvement, allowing the company to track progress and ensure on-going compliance with safety regulations. This systematic approach enhances accountability and promotes a culture of safety, enabling the organization to proactively address potential issues and continuously improve its occupational health and safety management practices.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Context of the Organization:** Auditors should review context analysis reports that identify internal and external factors affecting OH&S. This includes understanding the organization's culture, industry practices, economic influences, and technological advancements to assess how these elements impact the OH&S management system.

2. **Scope of the OH&S Management System:** The defined scope document outlines all operations included in the OH&S management system. Auditors must check for exclusions and limitations, ensuring justifications are provided, which helps clarify the boundaries and applicability of the OH&S system within the organization.

3. **Leadership and Worker Participation:** Evidence of leadership commitment can be found in meeting minutes and communications demonstrating support for the OH&S management system. Auditors should also review records that illustrate worker participation, ensuring their involvement in decision-making and safety initiatives.

4. **Risk and Opportunity Assessment:** Auditors should examine risk assessment methodologies and documentation identifying hazards and risks. This includes Job Safety Analysis and risk registers, which must show how risks are prioritized and the actions taken to address identified risks and opportunities effectively.

5. **Legal and Other Requirements:** Auditors need to review lists of applicable legal requirements and compliance evidence, such as licenses and permits. This documentation demonstrates that the organization is aware of and adheres to relevant health and safety regulations governing its operations.

6. **OH&S Objectives and Planning:** Documentation should reflect OH&S objectives, targets, and plans to achieve them. Auditors verify that these objectives align with overall business goals and include assigned responsibilities and timelines, ensuring a structured approach to improving workplace health and safety.

7. **Support:** Records of competence training and skills assessments for personnel involved in OH&S are crucial. Auditors should also review communication strategies and documented information, ensuring that all staff are adequately informed and equipped to meet OH&S management system requirements.

8. **Operation Planning and Control:** Auditors should assess operational control procedures, including standard operating procedures and work instructions. Evidence of risk assessments related to specific operational activities and records of incidents should demonstrate that safety measures are effectively implemented and maintained.

9. **Performance Evaluation:** Auditors need to examine monitoring records, including safety performance indicators and audit reports. Management review minutes should show how performance evaluations contribute to continuous improvement efforts and highlight areas for further action or refinement within the OH&S management system.

10. **Improvement:** Documentation must illustrate corrective actions taken in response to incidents or non-conformities. Auditors review records of continual improvement initiatives, evaluating how effectively the organization addresses safety issues and enhances the OH&S management system's overall performance.

4. OBJECTIVE EVIDENCES:

1. **Risk Assessment Report:** This document details identified hazards, associated risks, and implemented mitigation measures, reflecting the organization’s proactive approach to managing occupational health and safety. It highlights the steps taken to prevent incidents and ensure a safe work environment verified. Example: Risk Assessment Report No. RA-2024-003, dated 2024-01-15, conducted by John Smith.

2. **Legal Compliance Checklist:** This checklist ensures compliance with applicable occupational health and safety legal and regulatory requirements. It serves as a tool for verifying that all necessary standards are met, helping the organization maintain a safe and legally compliant work environment. This shows that the organization is aware of and complies with relevant laws reviewed. Example: Legal Compliance Checklist No. LC-2024-005, reviewed on 2024-02-20 by Emily Johnson.

3. **Training Records:** Records confirm that employees have undergone essential training in health and safety procedures, showcasing the organization's dedication to improving workforce competence. This initiative enhances their ability to manage risks effectively and contribute to safer work environment evidence. Example: Training Record No. TR-2024-

007, for "Emergency Response Training," conducted on 2024-03-05 for 15 employees by David Lee.

4. **Incident Report:** Documentation of a reported incident includes detailed investigation findings and the corrective actions implemented. This record demonstrates the organization's commitment to addressing safety issues effectively, ensuring a proactive approach to preventing future incidents and maintaining a safe work environment reviewed. Example: Incident Report No. IR-2024-002, reported on 2024-04-10, investigated by Sarah Brown, with corrective actions completed by 2024-04-15.

5. **Internal Audit Report:** A report detailing the findings from an internal audit of the OH&S management system includes identified non-conformities and proposed action plans for improvement. This documentation reflects the organization's commitment to on-going evaluation and continuous enhancement of safety practices and compliance verified. Example: Internal Audit Report No. IA-2024-001, conducted on 2024-05-12 by Michael Green, with non-conformities documented under Section 6.1.

6. **Management Review Minutes:** Minutes from management review meetings document discussions on OH&S performance, including objectives, identified risks, and potential opportunities for improvement. This record demonstrates leadership's active engagement and commitment to enhancing the effectiveness of the OH&S management system within the organization evidence. Example: Management Review Minutes No. MR-2024-004, dated 2024-06-20, recorded by Lisa White, covering performance reviews from Q1 and Q2 2024.

7. **Emergency Preparedness Plan:** Documented procedures for emergency response and evacuation plans outline the organization's preparedness for potential incidents affecting employee safety. These procedures ensure that employees are aware of actions to take during emergencies, promoting a safe and organized response to unforeseen situations verified. Example: Emergency Preparedness Plan No. EPP-2024-006, issued on 2024-07-01, reviewed by the OH&S Committee on 2024-07-15.

8. **Corrective Action Report:** The report outlines actions taken to address identified non-conformities and evaluates their effectiveness. This documentation illustrates the organization's commitment to continual improvement in occupational health and safety (OH&S), ensuring compliance and enhancing safety practices within the workplace evidence. Example: Corrective Action Report No. CAR-2024-009, dated 2024-08-10, with corrective actions implemented by the Maintenance Team by 2024-08-20.

9. **Supplier Evaluation Records:** Records indicate that suppliers are evaluated for their occupational health and safety (OH&S) performance prior to procurement. This process ensures that safety standards are maintained throughout the supply chain, promoting a culture of safety and compliance within the organization reviewed. Example: Supplier Evaluation Record No. SER-2024-003 for Supplier YYYYY, completed on 2024-09-05 by Purchasing Manager James Wilson.

10. **Employee Feedback Survey:** Results from employee surveys evaluate the effectiveness of the occupational health and safety (OH&S) management system and workplace safety culture. These findings reflect employee engagement levels and highlight areas that require improvement, fostering safer and more compliant work environment evidence. Example:

Employee Feedback Survey No. EFS-2024-001, conducted from 2024-09-10 to 2024-09-20, analyzed by HR Specialist Anna Taylor, with a response rate of 85%.

5. INTERVIEW QUESTIONS:

1. How does the organization ensure that the issues identified in the context analysis (Clause 4.1) are considered when planning the OH&S management system? Can you provide an example?
2. How does the organization identify and analyze the needs and expectations of interested parties (Clause 4.2) that could affect the OH&S management system?
3. Can you explain how the scope of the OH&S management system (Clause 4.3) has been defined? How is this scope communicated within the organization?
4. How do you determine the risks and opportunities related to the OH&S management system? Can you show me documented information that outlines these risks and opportunities?
5. What process does the organization follow to assess hazards in the workplace (Clause 6.1.2.1)? Can you provide a recent example of a hazard assessment?
6. How do you assess OH&S risks and other risks that may impact the achievement of the OH&S management system's intended outcomes (Clause 6.1.2.2)?
7. How do you identify opportunities for improving OH&S performance? Can you show me examples of any OH&S opportunities (Clause 6.1.2.3) that have been acted upon recently?
8. How does the organization ensure compliance with legal and other requirements related to OH&S (Clause 6.1.3)? Can you provide documented evidence of compliance tracking?
9. When planning for changes, how does the organization assess the potential risks and opportunities before implementing changes (Clause 8.1.3)? Can you give an example of a recent change where this assessment was applied?
10. How does the organization ensure that permanent and temporary changes (e.g., process changes, organizational changes) are assessed for OH&S risks and opportunities before being implemented?
11. What specific actions have been taken to address the identified OH&S risks and opportunities? How does the organization ensure that these actions are carried out as planned?
12. Can you show me documented information regarding the processes and actions taken to address OH&S risks and opportunities? How are these records maintained and reviewed?
13. How does the organization monitor the effectiveness of actions taken to address OH&S risks and opportunities? Can you provide evidence showing how the effectiveness of these actions has been measured?
14. How does the organization ensure that the OH&S management system achieves its intended outcomes? What performance metrics or KPIs are used to track progress?
15. How does the organization ensure continual improvement of the OH&S management system, especially in relation to addressing risks and opportunities? Can you give an example of a recent improvement initiative?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Risk Assessment Framework:** The organization has established a structured and comprehensive risk assessment process, ensuring all potential risks and opportunities are systematically identified, evaluated, and managed. This proactive approach enhances the organization's ability to prevent incidents and safeguard employee safety.

2. **Alignment with Organizational Context:** The auditee has effectively integrated the OH&S management system into the organization's broader context, ensuring that internal and external factors influencing health and safety are fully considered. This alignment ensures consistent and relevant management of occupational health and safety risks.

3. **Engagement with Interested Parties:** The organization has actively engaged with all relevant stakeholders, understanding and incorporating their needs and expectations into the OH&S management system. This comprehensive stakeholder involvement ensures the system remains responsive to external pressures, enhancing workplace safety and trust.

4. **Clear Scope Definition:** The organization has clearly defined the scope of its OH&S management system, covering relevant functions, departments, and processes. This ensures transparency in what is included and provides clarity for staff and auditors, enhancing system effectiveness and accountability.

5. **Proactive Hazard Identification:** The organization has implemented a proactive approach to hazard identification, regularly assessing workplace conditions and activities to detect risks early. This thorough identification process enables timely mitigation efforts, reducing the likelihood of incidents and improving employee protection.

6. **Consideration of Opportunities:** Beyond managing risks, the auditee has actively identified and pursued opportunities to improve OH&S performance, showing innovation and forward-thinking. This focus on continuous improvement elevates safety standards and promotes a healthier, safer work environment for all employees.

7. **Legal Compliance Awareness:** The organization has established a robust mechanism to ensure compliance with legal and other relevant OH&S requirements. Through effective monitoring and documentation, the auditee demonstrates strong commitment to meeting regulatory standards and continuously adapting to evolving legal obligations.

8. **Thorough Change Management:** The organization has demonstrated a thorough process for evaluating risks and opportunities related to changes, whether temporary or permanent. By assessing potential impacts before implementation, the auditee minimizes disruption and ensures health and safety remains a priority during transitions.

9. **Documented Risk and Opportunity Information:** The auditee has meticulously maintained comprehensive documentation of identified risks and opportunities, as well as actions taken to address them. This documented information provides transparency, enabling continuous monitoring, review, and improvement of the OH&S management system's effectiveness.

10. **Focus on Continual Improvement:** The organization has a clear focus on continual improvement by regularly reviewing the effectiveness of actions taken to address OH&S risks and opportunities. This commitment fosters a dynamic safety culture, ensuring the system evolves and improves over time.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inconsistent Risk Identification Process:** The organization's risk identification process is not uniformly applied across all departments, potentially leaving some critical OH&S risks and hazards unaddressed. Standardizing this process across the board could ensure a more comprehensive risk management approach.

2. **Insufficient Documentation of Risks and Opportunities:** Documented records of risks and opportunities are incomplete, making it difficult to verify whether all relevant hazards are being managed effectively. Improving this documentation will ensure greater traceability and accountability in addressing OH&S risks and opportunities.

3. **Limited Stakeholder Involvement:** The organization has not adequately engaged key stakeholders (employees, contractors) in identifying OH&S risks and opportunities, potentially overlooking critical risks. Expanding stakeholder involvement would enhance risk assessments by incorporating broader perspectives and operational insights.

4. **Lack of Focus on OH&S Opportunities:** The organization primarily addresses risks without adequately identifying opportunities for improvement in safety performance. Emphasizing OH&S opportunities could lead to proactive measures that enhance workplace safety and overall performance in a positive manner.

5. **Gaps in Hazard Identification and Assessment:** The hazard identification process does not fully cover all workplace conditions and tasks, leading to possible unaddressed hazards. Expanding this process will ensure that all hazards are accounted for and risk mitigation measures are applied comprehensively.

6. **Inadequate Monitoring of Actions Taken:** The organization does not consistently monitor or follow up on actions taken to address OH&S risks, creating uncertainty about the effectiveness of those actions. Regular monitoring ensures that corrective measures are achieving their intended outcomes.

7. **Lack of Legal and Regulatory Requirement Updates:** The risk assessments do not reflect updates in legal or regulatory requirements, potentially leading to non-compliance. Regularly reviewing legal obligations would ensure that the organization stays compliant and incorporates all necessary safety regulations into their processes.

8. **No Formal Process for Identifying Opportunities from Incidents:** The organization does not have a formalized process to extract opportunities for improvement from incidents or near misses. Creating such a process would enable learning from past events and continuous improvement in occupational health and safety practices.

9. **Insufficient Communication of Risks to Workers:** Communication of identified OH&S risks to workers is inadequate, resulting in a lack of awareness among employees. Strengthening communication channels will ensure that employees are well-informed about the risks they face and necessary safety measures.

10. **Lack of a Structured Continual Improvement Process:** The organization has not fully integrated a systematic process for continual improvement in its OH&S management system. Implementing a structured approach to identifying and evaluating opportunities would drive continuous enhancements in workplace safety practices.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Incomplete Risk Identification:** The organization has not conducted a thorough assessment to identify all workplace hazards, resulting in potential risks being overlooked. This lack of comprehensive hazard identification may compromise employee safety and hinder effective implementation of necessary preventive measures.

   Example: The Hazard Identification Report (HID-002) exclusively addresses mechanical hazards, neglecting to include ergonomic risks present in the assembly area. This oversight may leave workers vulnerable to injuries and hinder the organization's overall effectiveness in ensuring a safe work environment. FORM NO: XXX

2. **Failure to Assess OH&S Opportunities:** The organization does not conduct regular assessments of opportunities for improving OH&S performance. This lack of evaluation can result in missed chances to enhance safety practices, leading to potential risks and reduced overall effectiveness in managing occupational health and safety.

   Example: The Risk and Opportunity Log (ROL-003) shows no documented OH&S opportunities identified over the past 12 months. This absence indicates a failure to recognize potential enhancements in safety practices, which could compromise the organization's overall effectiveness in managing occupational health and safety. FORM NO: XXX

3. **Lack of Stakeholder Involvement in Risk Assessment:** Key stakeholders, including employees and contractors, were not actively engaged in the risk and opportunity identification process. This lack of involvement may hinder the effectiveness of the organization's OH&S management system and limit the identification of critical safety improvements.

   Example: Meeting minutes from Risk Review (RRM-004) indicate that only top management participated in discussions, lacking input from operational staff and contractors. This absence of diverse perspectives may limit the effectiveness of risk identification and mitigation strategies within the organization. FORM NO: XXX

4. **Absence of Legal Requirements in Risk Assessments:** The organization’s risk assessment process fails to encompass all relevant legal and regulatory requirements, potentially exposing the organization to compliance risks. This oversight may hinder effective risk management and compromise the organization’s commitment to adhering to health and safety standards.

Example: The Risk Assessment Report (RAR-007) neglects to mention compliance with Regulation XXXXX concerning chemical handling in the storage facility. This omission indicates a significant gap in the organization's risk assessment process, potentially compromising safety and regulatory adherence related to chemical management. FORM NO: XXX

5. **Failure to Update Risk Assessments for Organizational Changes:** Risk assessments have not been updated following the installation of the new production line. This oversight could expose the organization to unrecognized hazards and increase the likelihood of incidents due to insufficient evaluation of the new equipment and processes.

   Example: The Change Management Report (CMR-009) lacks a risk assessment conducted prior to the installation of Line 5 in July 2023. This omission raises concerns about potential hazards and the organization's preparedness to manage associated risks effectively. FORM NO: XXX

6. **Ineffective Risk Control Measures**
   The current control measures implemented to mitigate identified OH&S risks have proven ineffective, as evidenced by recurring incidents and safety audits. This indicates a need for a thorough review and enhancement of existing safety protocols to improve overall workplace safety.

   Example: Incident Report (IR-014) reveals on going injuries related to machinery operation, despite existing control measures outlined in Risk Control Plan (RCP-012). This highlights the ineffectiveness of the current measures and indicates a need for re-evaluation and improvement in safety protocols. FORM NO: XXX

7. **Insufficient Documentation of Opportunities:** The organization lacks sufficient documentation regarding identified OH&S opportunities, hindering the ability to track improvements and implement effective strategies. This absence of records may result in missed chances to enhance workplace safety and overall health management practices.

   Example: The Risk and Opportunity Log (ROL-003) shows no documented OH&S opportunities for the past year, despite regular safety review meetings. This lack of records suggests missed opportunities for improvement and may impede the organization's ability to enhance safety practices. FORM NO: XXX

8. **Inconsistent Risk Control Hierarchy Application:** The organization primarily relies on administrative controls, with insufficient application of the risk control hierarchy. This inconsistent approach may lead to inadequate protection against hazards, increasing the likelihood of incidents and undermining the effectiveness of the overall safety management system.

   Example: The Risk Control Plan (RCP-016) mandates PPE usage as the primary control for chemical exposure, neglecting to consider elimination or substitution measures. This approach may leave unaddressed risks and hinder the effectiveness of the overall safety management strategy. FORM NO: XXX

9. **Delayed Assessment of Temporary Changes:** The organization failed to conduct risk assessments for temporary changes, such as the introduction of subcontractors, prior to implementation. This oversight may expose employees to unrecognized hazards, undermining safety protocols and compromising the effectiveness of the OH&S management system.

   Example: The Temporary Change Report (TCR-008) lacks a pre-implementation risk assessment for introducing Subcontractor ZZZZZ in October 2023. This omission raises concerns about potential hazards and risks associated with the subcontractor's operations, jeopardizing the organization's safety protocols and procedures. FORM NO: XXX

10. **Inadequate Monitoring of Risk Control Effectiveness:** The organization fails to conduct regular evaluations of the effectiveness of implemented risk controls, resulting in potential gaps in safety measures and a lack of assurance that identified hazards are being adequately managed to protect worker safety.

    Example: The Risk Control Review (RCR-011) does not contain any follow-up monitoring records following the implementation of machine guarding measures in February 2023. This absence raises concerns about the effectiveness and on-going assessment of the safety measures put in place. FORM NO: XXX

6 PLANNING

1. STANDARD REQUIREMENTS:

6.1.2 HAZARD IDENTIFICATION AND ASSESSMENT OF RISKS AND OPPORTUNITIES

6.1.2.1 HAZARD IDENTIFICATION

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

a) how work is organized, social factors (including workload, work hours, victimization, harassment and bullying), leadership and the culture in the organization;

b) routine and non-routine activities and situations, including hazards arising from:

   1. infrastructure, equipment, materials, substances and the physical conditions of the workplace;
   2. product and service design, research, development, testing, production, assembly, construction, service delivery, maintenance and disposal;
   3. human factors;
   4. how the work is performed;

c) past relevant incidents, internal or external to the organization, including emergencies, and their causes;

d) potential emergency situations;

e) people, including consideration of:

   1. those with access to the workplace and their activities, including workers, contractors, visitors and other persons;
   2. those in the vicinity of the workplace who can be affected by the activities of the organization;
   3. workers at a location not under the direct control of the organization;

f) other issues, including consideration of:

   1. the design of work areas, processes, installations, machinery/equipment, operating procedures and work organization, including their adaptation to the needs and capabilities of the workers involved;
   2. situations occurring in the vicinity of the workplace caused by work-related activities under the control of the organization;
   3. situations not controlled by the organization and occurring in the vicinity of the workplace that can cause injury and ill health to persons in the workplace;
   4. actual or proposed changes in organization, operations, processes, activities and the OH&S management system (see 8.1.3);
   5. Changes in knowledge of, and information about, hazards.

2. EXPLAINATION:

Overview:

Organizations must create and maintain an on-going hazard identification process, focusing on workplace organization, activities, and associated risks. This proactive approach considers physical conditions, employee behaviour, equipment use, and environmental factors. Regular evaluations ensure that new hazards are identified as operations evolve, such as during changes in processes or work environments, allowing for timely mitigation and enhanced safety for all employees.

a) Organizational Factors: This aspect focuses on understanding the organization's work structure, including leadership styles, organizational culture, and social factors. It considers how workplace dynamics, such as workload, harassment, and bullying, can affect employee health and safety, influencing overall well-being and performance. By addressing these elements, the organization can foster a healthier, safer work environment that promotes both productivity and employee morale.

Example: In a manufacturing company, a culture that promotes high workloads with minimal breaks can lead to employee stress and fatigue, increasing the risk of accidents. To address this, management should conduct regular workload assessments, ensure fair task distribution, and implement anti-bullying training. These proactive measures can improve employee well-being and safety, fostering a healthier work environment that prioritizes both productivity and the mental and physical health of workers.

b) Routine and Non-Routine Activities: Organizations must identify hazards from both routine and non-routine activities by assessing risks related to infrastructure, equipment, and the physical conditions of the workplace. This process also includes evaluating human factors, such as employee behaviour, fatigue, and stress, and understanding how tasks are performed. For example, machinery maintenance or emergency shutdown procedures may pose different risks compared to regular operations and require tailored safety measures.

Example: On a construction site, routine activities like daily equipment use may present hazards such as falling objects, while non-routine activities, such as emergency repairs, might involve risks like electrical hazards from temporary installations. Regular safety inspections and employee training on emergency protocols can help mitigate these risks, ensuring preparedness for both common and unexpected situations and enhancing overall workplace safety.

c) Past Relevant Incidents: Organizations should review past internal and external incidents to analyze their root causes and identify recurring patterns. This historical analysis helps uncover trends in workplace hazards and informs future risk assessments, allowing the organization to proactively address potential issues. By learning from past incidents, organizations can improve safety procedures, minimize future risks, and continuously enhance their occupational health and safety (OH&S) management systems.

Example: If a warehouse has had multiple slips and falls caused by wet floors, an incident analysis might uncover inadequate signage and poor housekeeping practices as contributing factors. By rectifying these issues—such as improving cleaning schedules and enhancing signage—the organization can significantly reduce the risk of future incidents, fostering a safer working environment. This proactive approach demonstrates a commitment to employee safety and effective hazard management within the workplace.

d) Potential Emergency Situations: Organizations must proactively identify potential emergency situations arising from their activities, such as fires, chemical spills, or equipment failures. Assessing the risks associated with these foreseeable emergencies involves evaluating their likelihood and potential impact on employees and operations. Implementing effective emergency response plans and conducting regular drills can ensure preparedness, minimize harm, and safeguard both personnel and resources during actual emergency situations. This approach fosters a culture of safety and resilience within the organization.

Example: In a chemical processing facility, potential emergencies, such as chemical spills or fires, pose significant risks. The organization should implement comprehensive emergency response plans and conduct regular drills to prepare employees for these situations. By training staff on proper procedures and safety protocols, the facility can minimize risks and harm, ensuring a swift and effective response during an actual emergency. This proactive approach enhances overall safety and preparedness within the workplace.

e) People Affected: Organizations must take into account the safety of everyone impacted by their activities, not just employees. This includes contractors working on-site, visitors to the premises, and nearby residents who might be affected by operations or emergencies. By conducting comprehensive risk assessments that consider all stakeholders, organizations can develop effective safety protocols and mitigation strategies, fostering a safe environment for everyone and ensuring compliance with relevant health and safety regulations.

Example: In a logistics company, not only are drivers and warehouse staff directly affected by operations, but visitors and nearby residents are also at risk due to heavy vehicle traffic. To enhance safety, the organization can implement measures such as clear signage, designated walking paths, and effective traffic management plans. These actions help minimize hazards, ensuring a safer environment for all individuals involved while maintaining compliance with health and safety regulations.

f) Other Issues

- **Design of Work Areas, Processes, and Equipment:** Organizations should evaluate the design of workspaces, equipment, and procedures to understand their impact on health and safety. By considering ergonomic principles and the specific needs of workers, they can make necessary adaptations, such as adjustable workstations or improved tool designs. These changes not only enhance employee comfort and productivity but also significantly reduce the risk of injuries and promote a healthier work environment overall.

  Example: In an office environment, ergonomic assessments may reveal that desks are too low for some employees, causing repetitive strain injuries. To address this, organizations can adjust desk heights or provide ergonomic equipment, such as adjustable chairs and keyboard trays. These modifications promote better posture, reduce discomfort, and minimize the risk of injuries, ultimately leading to improved employee well-being and productivity in the workplace.

- **Situations in the Vicinity of the Workplace:** Organizations must consider external situations that could affect worker safety, such as nearby construction projects or heavy traffic. For instance, construction activities may generate noise, dust, or hazards that can impact employees working nearby. Implementing safety measures, like providing proper signage, establishing designated routes for pedestrians, and conducting regular safety briefings, can help mitigate these risks and ensure a safer work environment for all employees.

  Example: A manufacturing plant located near a busy road may expose employees to traffic hazards, increasing the risk of accidents. To mitigate these external risks, the organization can implement controlled access points and safety barriers to restrict vehicle movement around the facility. Additionally, installing clear signage and providing safety training for employees can enhance awareness of traffic risks, ensuring a safer working environment while minimizing exposure to potential accidents.

- **External Situations Not Controlled by the Organization:** Hazards can emerge from external situations beyond an organization's control, yet still pose risks to workers. For instance, natural disasters like earthquakes or severe weather can disrupt operations and endanger employee safety. Additionally, factors such as nearby industrial activities or environmental contamination may lead to exposure risks. Organizations should develop contingency plans and implement safety measures to address these external hazards, ensuring worker safety despite uncontrollable circumstances.

  Example: In a laboratory setting, an earthquake poses significant risks to worker safety. The organization must establish an emergency plan that includes clear evacuation routes, safety protocols for securing hazardous materials, and regular drills to prepare employees. This proactive approach ensures that staff is aware of procedures to follow during a natural disaster, minimizing panic and ensuring a coordinated response to protect everyone’s safety during such uncontrollable events.

- **Changes in Organization or Operations:** Organizations must evaluate any actual or proposed changes, such as new equipment, revised processes, or shifts in staffing, that may impact health and safety. This assessment should include a thorough analysis of potential hazards introduced by these changes and involve consultation with employees. By proactively addressing these issues, organizations can implement necessary controls and ensure that health and safety standards are maintained, protecting all personnel from increased risks.

  Example: When a company introduces new machinery, it is essential to conduct a thorough risk assessment to evaluate the impact on existing workflows and employee safety. This assessment should identify potential hazards associated with the machinery, such as moving parts or noise exposure, and determine necessary control measures. Engaging employees in this process can provide valuable insights and help ensure a smooth transition while maintaining high safety standards throughout the organization.

- **Changes in Knowledge about Hazards:** Organizations must remain vigilant in staying updated with the latest information about potential hazards, including industry trends, regulatory changes, and emerging risks. Regularly revising their risk assessment processes ensures that they address new threats effectively and incorporate best practices. This proactive approach not only enhances workplace safety but also fosters a culture of continuous improvement, enabling organizations to adapt to evolving challenges and protect the well-being of their employees and stakeholders.

  Example: If new research reveals that a previously used chemical carries greater risks than initially understood, the organization must promptly update its safety protocols. This includes revising material safety data sheets (MSDS), implementing enhanced control measures, and providing targeted training to employees on the newly identified hazards. Such proactive adaptations ensure that workers are informed and equipped to handle the chemical safely, thereby minimizing potential health risks and maintaining a safe work environment.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The OH&S policy outlines the organization's commitment to providing a safe and healthy work environment. It should clearly state the intent to prevent work-related injury and ill health, comply with legal and other requirements, and continually improve the OH&S management system. The policy should be communicated to all employees and be readily accessible.

2. **Hazard Identification and Risk Assessment Records:** These records should detail the processes and methods used to identify hazards in the workplace. This includes both routine and non-routine activities. Risk assessments should document the likelihood and severity of potential risks associated with these hazards, along with control measures implemented to mitigate them. Auditors should look for evidence that risk assessments are regularly reviewed and updated based on changing circumstances.

3. **Legal and Other Requirements:** Organizations must identify and comply with applicable legal requirements related to occupational health and safety. This documentation should include a list of relevant laws, regulations, and standards. Auditors should verify that the organization regularly reviews these requirements and that any changes in legislation are promptly integrated into their policies and procedures.

4. **Objectives and Targets:** The organization should establish measurable OH&S objectives and targets that align with its policy and compliance obligations. Documentation should show how these objectives are communicated across the organization, the progress towards achieving them, and any actions taken to address gaps. Auditors should evaluate whether objectives are specific, measurable, achievable, relevant, and time-bound (SMART).

5. **Planning Documents:** Planning documents should outline the steps the organization takes to achieve its OH&S objectives and targets. This includes identifying potential risks and opportunities, as well as specific actions, responsibilities, and timelines for implementation.

Auditors should assess whether the planning process involves consultation with employees and stakeholders.

6. **Training and Competence Records:** Training records should demonstrate that employees are adequately trained to perform their jobs safely. This includes initial training, refresher courses, and specialized training for high-risk tasks. Competence assessments should also be documented, showing that employees possess the necessary skills and knowledge to fulfil their responsibilities regarding health and safety.

7. **Incident Reports:** Incident reports should include detailed information on accidents, near misses, and any work-related injuries. These reports should outline the circumstances of the incident, investigation findings, and any corrective actions taken to prevent recurrence. Auditors should evaluate how effectively the organization analyses incidents to identify trends and root causes.

8. **Emergency Preparedness and Response Plans:** Emergency preparedness plans should outline procedures for responding to potential emergencies, such as fires, chemical spills, or natural disasters. Documentation should include emergency contact numbers, evacuation routes, and roles and responsibilities during an emergency. Auditors should verify that regular drills are conducted and that employees are trained on emergency procedures.

9. **Internal Audit Records:** Internal audit records should detail the frequency and scope of audits conducted on the OH&S management system. Reports should highlight findings, including non-conformities and areas for improvement, along with action plans developed to address these issues. Auditors should check whether internal audits are performed objectively and if results are communicated to relevant stakeholders.

10. **Management Review Records:** Records from management review meetings should include discussions on the performance of the OH&S management system, assessments of its effectiveness, and decisions regarding improvements. Documentation should show that management actively participates in reviewing policies, objectives, and results, as well as ensuring that necessary resources are allocated for continuous improvement.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** The organization's Occupational Health and Safety (OH&S) policy is a foundational document that outlines the commitment to providing a safe working environment. The policy was reviewed during the audit and confirmed to align with ISO 45001:2018 standards, demonstrating that the organization prioritizes employee health and safety verified. Example: Document No. OHSP-2024, revised on 2024-01-15, signed by John Doe, OH&S Manager. This indicates that the policy is regularly updated and approved by the responsible authority.

2. **Hazard Identification Report:** A thorough hazard identification report was created, identifying potential hazards present in the workplace. This report follows a systematic approach to ensure that all relevant aspects are considered, thereby enhancing safety measures and reducing risks to employees reviewed. Example: Report No. HIR-2024-03,

dated 2024-03-20, conducted by Sarah Smith, Safety Officer. This shows that a designated safety professional was responsible for the identification of hazards, ensuring accountability.

3. **Risk Assessment Records:** The audit revealed that risk assessments for various high-risk activities were documented and regularly reviewed. These assessments include detailed evaluations of risks associated with specific tasks, ensuring that appropriate controls are implemented to mitigate these risks verified. Example: Assessment No. RISK-2024-05, conducted on 2024-05-10, covering activities in production areas. This data illustrates that risk assessments are not only performed but also cover critical operational areas.

4. **Training Attendance Records:** Training sessions focused on safety protocols were conducted to enhance employee awareness of OH&S practices. Attendance records for these sessions were meticulously maintained, indicating a commitment to continuous improvement in workplace safety evidence. Example: Training Session ID: TRAIN-2024-07, attended by 25 employees on 2024-07-15, led by Mark Johnson. This evidence confirms the organization's proactive approach to training, ensuring that a significant number of employees are informed about safety procedures.

5. **Incident Report:** An incident report was filed detailing a workplace accident, which documented the event, its causes, and the corrective actions taken. This report is crucial for identifying trends in workplace incidents and implementing changes to prevent future occurrences evidence. Example: Incident Report No. IR-2024-09, dated 2024-09-05, detailing corrective action by the Safety Team on 2024-09-10. This data shows that not only was the incident reported, but actions were also taken to address it in a timely manner.

6. **Emergency Preparedness Plan:** The emergency preparedness plan was reviewed during the audit, confirming its relevance and comprehensiveness in addressing potential emergency situations in the workplace. This plan is essential for ensuring that employees are equipped to respond effectively in emergencies verified. Example: Plan No. EPP-2024, updated on 2024-02-25, approved by Emily White, Operations Manager. This indicates that the plan is not only current but also endorsed by management, reflecting the organization's commitment to preparedness.

7. **Internal Audit Records:** Internal audit records demonstrate effective evaluation and monitoring of the OH&S management system. These records provide insights into compliance levels, helping to identify areas for improvement and ensuring that the system functions as intended evidence. Example: Audit Report No. IA-2024-04, dated 2024-04-15, findings reviewed by the management team on 2024-04-20. This shows that the organization regularly audits its processes and uses the findings for continual improvement.

8. **Management Review Meeting Minutes:** Minutes from management review meetings documented discussions about OH&S performance, trends, and proposed improvement actions. These records are vital for ensuring management's on-going commitment to health and safety reviewed. Example: Meeting Minutes No. MR-2024-06, dated 2024-06-30, chaired by Peter Black. The records highlight key performance indicators and decisions made regarding OH&S strategies.

9. **Corrective Action Records:** Corrective action records document the steps taken to resolve identified non-conformities within the OH&S management system. This evidence is crucial for demonstrating how the organization addresses issues and strives for continuous improvement reviewed. Example: Corrective Action No. CA-2024-08, issued on 2024-08-05, resolved by the Safety Team by 2024-08-20. This indicates prompt action taken to rectify issues, reinforcing the organization's commitment to safety.

10. **Supplier Safety Performance Records:** Records of supplier safety performance were maintained to ensure that all external partners comply with the organization's OH&S standards. These records help mitigate risks associated with third-party operations verified. Example: Supplier Audit No. SA-2024-11, conducted on 2024-11-10, reported findings on supplier YYYYY's safety practices. This documentation shows that the organization actively monitors supplier compliance with safety requirements.

5. INTERVIEW QUESTIONS:

1. Can you describe the process your organization has established for on-going hazard identification, and how is it maintained?
2. How do you ensure that social factors, such as workload, work hours, and workplace culture, are considered in your hazard identification process?
3. What methods do you use to identify hazards associated with both routine and non-routine activities in the workplace?
4. Can you provide examples of hazards identified from the infrastructure, equipment, and physical conditions of the workplace?
5. How do you incorporate human factors into your hazard identification process, and what specific considerations are taken into account?
6. What procedures are in place to review past incidents, both internal and external, and how are these used to inform hazard identification?
7. Can you explain how potential emergency situations are assessed and included in your hazard identification efforts?
8. How do you consider the activities of different groups, such as contractors and visitors, when identifying hazards in the workplace?
9. What steps are taken to assess risks to individuals outside your organization who may be affected by your activities?
10. Can you show me how you adapt work areas, processes, and equipment to meet the needs and capabilities of your workers?
11. How do you address situations in the vicinity of the workplace that could potentially cause injury or ill health to employees?
12. Are there any recent changes in operations or processes that have prompted a reassessment of hazard identification? If so, how was this managed?
13. What sources of information do you use to stay updated on changes in knowledge about hazards that may impact your workplace?

14. How often are hazard identification processes reviewed for effectiveness, and who is involved in that review?

15. Can you provide documentation that demonstrates how identified hazards have been communicated to employees and how they are trained to manage these risks?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Hazard Identification:** The organization has implemented a dynamic and on-going hazard identification process that actively seeks out potential risks. This commitment reflects a strong safety culture, promoting employee engagement and vigilance in maintaining a safe and healthy work environment.

2. **Comprehensive Social Factors Assessment:** By incorporating social factors such as workload, workplace harassment, and organizational culture into their hazard assessment, the organization demonstrates a holistic approach. This consideration enhances employee well-being and fosters a supportive work environment that prioritizes mental health.

3. **Inclusion of Routine and Non-Routine Activities:** The organization effectively evaluates both routine and non-routine activities in their hazard identification process. This comprehensive assessment ensures that all aspects of work are scrutinized, minimizing the likelihood of oversights and enhancing overall workplace safety.

4. **Utilization of Past Incident Data:** The auditee leverages data from past incidents, including emergencies, to inform their hazard identification process. By learning from previous experiences, they enhance safety measures, demonstrating a proactive commitment to preventing future occurrences of similar incidents.

5. **Emergency Situation Preparedness:** The organization identifies potential emergency situations and establishes protocols to address them effectively. This preparedness not only enhances safety but also instills confidence among employees, knowing that there are plans in place for unexpected scenarios.

6. **Consideration of All Stakeholders:** The organization recognizes and includes a diverse range of individuals—workers, contractors, and visitors—in their hazard identification process. This inclusive approach ensures that all potential risks are identified, contributing to a safer environment for everyone.

7. **Adaptation to Workers' Needs:** The design and organization of workspaces, processes, and equipment are tailored to meet the specific needs and capabilities of employees. This commitment to ergonomics enhances comfort, reduces the risk of injury, and promotes employee productivity and satisfaction.

8. **Awareness of External Hazards:** By taking into account external situations beyond their direct control, the organization demonstrates a thorough understanding of the broader risk landscape. This awareness allows them to proactively mitigate risks that may affect their employees' safety.

9. **Continuous Improvement in Hazard Knowledge:** The auditee actively pursues updated knowledge regarding hazards and safety practices. This dedication to continuous improvement ensures they remain informed about emerging risks and effective mitigation strategies, ultimately enhancing workplace safety and compliance.

10. **Effective Communication of Hazards:** The organization has established robust communication strategies to inform employees about identified hazards and safety measures. This transparency fosters a safety-conscious culture where employees are empowered to take proactive steps in managing their own safety.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Enhance Employee Training Programs:** Providing comprehensive training on hazard identification empowers employees to recognize risks proactively. Regular workshops and refresher courses can ensure that all staff, including temporary workers, understand safety protocols and can contribute effectively to hazard reporting and resolution.

2. **Regular Review of Hazard Identification Processes:** Consistently reviewing and updating hazard identification processes ensures their relevance in changing work environments. Incorporating employee feedback and lessons learned from incidents can refine these processes, making them more effective in identifying and mitigating risks promptly.

3. **Integration of Technology:** Adopting technology solutions like hazard identification software can enhance reporting efficiency. By digitizing the process, the organization can track identified hazards, analyze data trends, and facilitate communication across departments, ultimately improving safety management and compliance.

4. **Improvement in Data Collection Methods:** Enhancing data collection methods for past incidents is vital for thorough hazard assessments. Implementing detailed reporting forms and consistent data analysis will provide insights into recurring issues, helping to identify root causes and develop targeted preventive measures.

5. **Broader Inclusion of Stakeholders:** Engaging all relevant stakeholders, including contractors and temporary staff, in hazard identification processes enriches perspectives. This inclusivity fosters a comprehensive understanding of risks, ensuring that everyone's experience contributes to a safer workplace environment and better overall safety practices.

6. **Increase Focus on Human Factors:** Emphasizing the assessment of human factors like workload, fatigue, and stress can significantly enhance safety outcomes. Understanding how these elements affect performance and hazard awareness allows organizations to implement targeted interventions that support employee well-being and safety.

7. **Document Emergency Procedures More Clearly:** Clear documentation of emergency procedures is essential for effective response during crises. Regularly reviewing and updating these procedures ensures that all employees are aware of their responsibilities, leading to improved coordination and faster recovery in emergency situations.

8. **Assess External Risks:** Conducting regular assessments of external risks, such as environmental hazards or community activities, can help organizations anticipate potential threats to workplace safety. By staying informed, companies can implement proactive measures to mitigate these external risks effectively.

9. **Strengthen Communication Channels:** Enhancing communication channels for reporting hazards encourages more employees to voice concerns. Establishing anonymous reporting mechanisms and regular safety meetings can create a culture of openness, leading to increased hazard identification and improved workplace safety overall.

10. **Evaluate Workplace Design:** Regular evaluations of workplace design can identify ergonomic improvements that reduce physical strain on employees. By adjusting layouts and providing appropriate equipment, organizations can minimize hazards related to workspace, ultimately promoting employee health and productivity.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Proactive Hazard Identification Process:** The organization has not implemented a continuous and proactive hazard identification process, leading to potential oversights in recognizing workplace risks. This lack of on-going assessment may result in increased incidents and inadequate measures to protect employee health and safety.

   Example: There are no documented procedures or records demonstrating regular hazard assessments. Interviews indicate a lack of systematic approaches for identifying new hazards, potentially compromising the organization's ability to effectively manage risks and ensure a safe working environment for employees. FORM NO: XXX

2. **Insufficient Consideration of Social Factors:** The organization fails to adequately evaluate social factors, including workload, victimization, and bullying, within its hazard identification process. This oversight may lead to unaddressed risks that negatively impact employee health, safety, and overall workplace well-being.

   Example: There are no mechanisms in place for employee feedback or surveys concerning workplace culture. Additionally, records indicate a lack of investigation into reported incidents of workplace bullying, suggesting inadequate attention to employee concerns and a failure to address a toxic environment. FORM NO: XXX

3. **Failure to Address Non-Routine Activities:** The hazard identification processes overlook non-routine activities and situations that may present risks, leading to potential oversights in safety measures. This gap could result in unaddressed hazards, increasing the likelihood of incidents during irregular operations or emergency situations.

   Example: Incident reports from one-off activities indicate unaddressed hazards, while employee interviews reveal uncertainty regarding procedures for special projects. This lack of clarity may lead to increased risk during these unique tasks, emphasizing the need for better guidance and training. FORM NO: XXX

4. **Inadequate Infrastructure and Equipment Assessment:** The organization does not sufficiently evaluate hazards related to infrastructure, equipment, and materials, leading to potential risks. This oversight can result in unsafe working conditions, emphasizing the need for comprehensive assessments to ensure employee safety and regulatory compliance.

   Example: Inspection reports highlight outdated or malfunctioning equipment, coupled with photographs depicting unsafe workplace conditions. Despite these findings, no corrective actions have been implemented, raising concerns about the organization's commitment to maintaining a safe and compliant working environment for employees. FORM NO: XXX

5. **Neglecting Human Factors in Risk Assessments:** The hazard identification process overlooks critical human factors impacting safety, such as employee fatigue, training levels, and situational awareness. This omission may lead to unaddressed risks, ultimately compromising workplace safety and increasing the likelihood of incidents and injuries.

   Example: There is insufficient documentation regarding ergonomic assessments, and training records reveal a lack of initiatives aimed at reducing physical strain on employees. This oversight may contribute to increased discomfort and injury risk, adversely affecting overall employee well-being and productivity. FORM NO: XXX

6. **Ignoring Past Incident Data:** The organization fails to incorporate data from previous incidents into its hazard identification and assessment processes. This oversight limits the ability to recognize patterns and effectively address recurring issues, potentially compromising the safety and well-being of employees and stakeholders.

   Example: Records reveal that incident investigations are not reviewed during hazard identification meetings, and there is a lack of trend analysis on past injuries or near misses. This gap hampers the organization's ability to learn from incidents and improve safety measures effectively. FORM NO: XXX

7. **Insufficient Emergency Preparedness**
   The organization does not sufficiently identify potential emergency situations, resulting in a lack of preparedness. There are no established emergency response plans or drills, leaving employees untrained and vulnerable during actual emergencies, which could significantly impact safety and health outcomes.

   Example: Absence of documented emergency response plans or regular drills; training records reveal that employees are unaware of emergency procedures, resulting in inadequate preparedness for potential emergencies, which may lead to increased risks during critical situations and jeopardize overall safety. FORM NO: XXX

8. **Lack of Stakeholder Consideration:** The organization fails to evaluate the activities of all individuals accessing the workplace, including contractors and visitors. This oversight may lead to increased risks and safety hazards, as their presence and actions are not adequately accounted for in safety protocols.

   Example: Visitor logs are incomplete, and there is no documentation of safety briefings provided to contractors. Interviews reveal that visitors are often unaware of potential hazards, leading to increased risk for all individuals present in the workplace environment. FORM NO: XXX

9. **Failure to Address External Risk Factors:** The organization neglects to evaluate external risks impacting workplace safety, such as nearby construction activities or environmental hazards. This oversight could leave employees vulnerable to unforeseen dangers, compromising their safety and well-being in the work environment.
   Example: Records indicate no assessment of nearby construction activities or environmental hazards; there is a lack of coordination with local emergency services to address potential risks. This gap may compromise safety and preparedness for incidents that could impact the workplace. FORM NO: XXX

10. **Inadequate Review of Work Area Designs:** There are no records of regular reviews or assessments of work area designs for safety and ergonomic factors. This oversight may lead to unsafe conditions and increased risk of injuries due to inadequate workspace layout and equipment placement.

    Example: There are no records of periodic assessments or updates to work area designs. Additionally, employees have raised complaints about layouts causing discomfort and hazards, highlighting the need for a thorough review to enhance safety and ergonomic conditions. FORM NO: XXX

6 PLANNING

1. STANDARD REQUIREMENTS:

6.1.2.2 ASSESSMENT OF OH&S RISKS AND OTHER RISKS TO THE OH&S MANAGEMENT SYSTEM.

The organization shall establish, implement and maintain a process (es) to:

a) Assess OH&S risks from the identified hazards, while taking into account the effectiveness of existing controls;
b) Determine and assess the other risks related to the establishment, implementation, operation and maintenance of the OH&S management system.

The organization's methodology(ies) and criteria for the assessment of OH&S risks shall be defined with respect to their scope, nature and timing to ensure they are proactive rather than reactive and are used in a systematic way. Documented information shall be maintained and retained on the methodology (ies) and criteria.

2. EXPLAINATION:

a) **Establish, Implement, and Maintain a Process:** Organizations should establish a systematic process for assessing OH&S and related risks by developing clear procedures. These procedures must outline how risks are identified, evaluated, and controlled to prevent incidents. The process should involve risk identification through inspections, evaluations using severity and likelihood criteria, and implementing control measures. Continuous monitoring and review ensure effective risk management and compliance with OH&S standards, safeguarding employee health and safety.

Example: A manufacturing company introduces monthly workplace inspections led by safety officers to identify hazards like machinery malfunctions, slippery floors, and toxic substance exposure. Using a comprehensive checklist, they systematically assess potential risks across the facility. The checklist ensures thorough evaluations of equipment, surfaces, and environmental conditions. Identified hazards are documented, and corrective actions are promptly implemented to enhance workplace safety and prevent accidents.

b) **Assessment of OH&S Risks from Identified Hazards:** Organizations must evaluate the OH&S risks linked to identify hazards, factoring in the effectiveness of existing controls. This assessment involves analysing the likelihood and severity of potential incidents, while determining whether current measures sufficiently mitigate risks. Gaps in controls are addressed through enhanced safety protocols or additional safeguards. Regular reassessment ensures continuous improvement in risk management and adherence to safety standards, protecting employee health and safety.

Example: In the manufacturing company, a hazard of loud machinery noise is identified, posing a risk of hearing loss. Upon assessing existing controls like earplugs and soundproofing, the organization discovers inconsistent earplug usage among workers. To address this, they implement additional training on hearing protection and enforce stricter compliance with safety gear requirements, ensuring better adherence to protective measures and reducing the risk of hearing damage.

c) **Determining Other Risks Related to the OH&S Management System:** Organizations must assess risks linked to the establishment, implementation, operation, and maintenance of their OH&S management system. This includes evaluating potential gaps in compliance, resource allocation, system functionality, and stakeholder engagement. The process ensures that the system operates effectively, identifying weaknesses that could impact worker safety. Continuous monitoring and improvement of the management system mitigate these risks, ensuring alignment with OH&S objectives and regulatory requirements.

Example: The manufacturing company identifies a risk of OH&S management system failure due to inadequate training of personnel, potentially leading to increased incidents. After assessing the risk, the organization decides to implement a regular training program for all employees, emphasizing the importance of safety compliance and the OH&S system. This proactive approach ensures that staff understands their roles, reducing the likelihood of system failure and enhancing workplace safety.

d) **Defined Methodology (ies) and Criteria for Risk Assessment:** The methodology for assessing OH&S risks must be clearly defined and documented, outlining the steps for identifying, evaluating, and prioritizing risks. This includes establishing specific criteria for identifying hazards, determining the likelihood and severity of potential incidents, and assessing the effectiveness of existing controls. By setting clear parameters for risk significance, organizations ensure a consistent, systematic approach to risk management, enhancing workplace safety and compliance.

Example: The Company uses a risk matrix to categorize risks by likelihood and potential severity. A risk rated as "high likelihood and severe impact" demands immediate corrective action, while a "low likelihood and moderate impact" risk is monitored periodically. This structured approach prioritizes risk management efforts, focusing resources on the most critical hazards first while maintaining awareness of lesser risks for on-going evaluation and potential future action.

e) **Proactive Rather than Reactive Approach:** The assessment process should be proactive, focusing on identifying and mitigating risks before they result in incidents. By anticipating potential hazards and implementing controls early, organizations prevent accidents and improve workplace safety. This approach contrasts with a reactive method, which only responds to issues after they occur, often leading to costly consequences. Proactive risk management fosters a safer environment and supports continuous improvement in OH&S practices.

Example: Instead of waiting for slip-related incidents, the company proactively reviews and updates its hazard assessments. By regularly identifying potential slip hazards, they implement effective control measures such as anti-slip flooring and clear warning signage. This on-going commitment to risk management enhances workplace safety, reduces the likelihood of accidents, and demonstrates the organization’s dedication to maintaining a safe environment for all employees through preventive action.

f) **Documented Information:** Organizations must maintain documented information outlining their methodologies and criteria for risk assessment. This documentation ensures transparency and accountability in the risk management process, providing a clear framework for assessing hazards. It serves as a vital reference for continuous improvement, enabling organizations to track changes, evaluate the effectiveness of controls, and make informed decisions about safety measures, ultimately fostering a culture of proactive risk management.

Example: The Company maintains a comprehensive safety management system manual that details the risk assessment process, completed assessments, and the effectiveness of implemented controls. This manual serves as a critical reference for ensuring on-going compliance and safety improvement. It is regularly reviewed and updated to incorporate new findings, operational changes, and emerging risks, ensuring that the safety management system remains relevant and effective in safeguarding employee well-being.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Statement:** This document articulates the organization's commitment to occupational health and safety, defining objectives, responsibilities, and principles guiding the management of OH&S risks, ensuring alignment with organizational goals and compliance with applicable legal and regulatory requirements.

2. **Risk Assessment Procedure:** A detailed procedure outlining the steps for identifying, assessing, and managing OH&S risks. It specifies methodologies, roles, and responsibilities, ensuring systematic, consistent, and proactive approaches to risk management within the organization's OH&S management system.

3. **Risk Assessment Records:** Completed records detailing identified hazards, risk assessments conducted, risk ratings assigned, and control measures evaluated. These documents provide evidence of the organization's proactive approach to managing risks and demonstrate compliance with established risk assessment procedures.

4. **Safety Inspection Checklists:** Checklists used during routine safety inspections to identify hazards and evaluate compliance with safety standards. These documents should include findings, corrective actions taken, and any follow-up measures, ensuring continuous monitoring of workplace safety.

5. **Incident and Accident Reports:** Documentation of all workplace incidents, accidents, and near misses, including investigation outcomes and root cause analyses. These reports serve to track incidents over time and guide improvements in safety measures and risk management strategies.

6. **Control Measures Documentation:** Evidence of implemented control measures, such as safety protocols, equipment, and training programs. This documentation should demonstrate the effectiveness of measures in mitigating identified risks, along with monitoring and evaluation of their impact.

7. **Training Records:** Records detailing occupational health and safety training provided to employees, including content covered, training dates, and attendance. These documents ensure that employees are equipped with necessary knowledge and skills to recognize and manage OH&S risks.

8. **Management Review Minutes:** Minutes from management review meetings discussing the OH&S management system, including risk assessments, policy updates, performance evaluations, and action plans for improvement. These records highlight management's commitment to continuous improvement in health and safety practices.

9. **Internal Audit Reports:** Reports from internal audits assessing the effectiveness of the OH&S management system, including compliance with procedures and identification of areas for improvement. These reports provide objective insights into the organization's adherence to ISO 45001 requirements.

10. **Documented Information on Methodology:** Comprehensive documentation describing the methodologies used for risk assessment, ensuring a systematic approach to identifying and evaluating OH&S risks. This information should detail how the methodologies are proactive and align with organizational objectives.

4. OBJECTIVE EVIDENCES

1. **Risk Assessment Procedure Document:** The documented procedure details the systematic process for identifying and assessing OH&S risks, including steps for hazard recognition, risk evaluation, and prioritization. This ensures a consistent approach to risk management, promoting safety and compliance within the organization verified. Example: Document Number: RA-PRO-001, Revision Date: 2024-05-15.

2. **Completed Risk Assessment Record:** A completed risk assessment for identified hazards within the organization includes detailed evaluations of each hazard, assessing their likelihood and severity, along with documented findings and recommended control measures to mitigate risks, ensuring a safer workplace environment reviewed. Example: Risk Assessment Report Number: RA-2024-001, Date Conducted: 2024-06-01, Assessed by: John Doe.

3. **Safety Inspection Checklist:** The safety inspection checklist, completed during the monthly safety audit, documents identified hazards along with corresponding corrective actions taken. This ensures that all safety concerns are addressed systematically, promoting accountability and continuous improvement in workplace safety practices reviewed. Example: Inspection Checklist Number: SIC-2024-08, Inspection Date: 2024-08-10, Completed by: Jane Smith.

4. **Incident and Accident Report:** Documentation of a workplace incident includes a comprehensive report detailing the incident's circumstances, investigation findings, and corrective measures implemented. This record promotes accountability, aids in preventing future occurrences, and enhances overall safety management within the organization verified. Example: Incident Report Number: IR-2024-045, Incident Date: 2024-07-15, Investigated by: Emily Johnson.

5. **Control Measures Implementation Records:** Evidence of control measures implemented to mitigate identified risks includes records of training sessions conducted for employees and documentation of safety equipment provided. This demonstrates the organization's commitment to risk reduction and ensures compliance with safety regulations reviewed. Example: Control Measures Document Number: CM-2024-002, Implementation Date: 2024-07-20, Equipment Serial Number: EQ-12345.

6. **Training Records for Employees:** Documentation confirms that employees have completed OH&S training related to identify risks. This includes training records, attendance sheets, and certificates, ensuring that all personnel are equipped with the knowledge to manage safety effectively and comply with organizational standards verified. Example: Training Session Number: TS-2024-009, Date: 2024-06-25, Attendees: 25 employees.

7. **Management Review Meeting Minutes:** Minutes from the management review meeting document discussions on OH&S risk assessments and the effectiveness of implemented controls. They summarize key points, decisions made, and action items, ensuring accountability and facilitating on-going improvements in the organization's safety management practices reviewed. Example: Meeting Minutes Number: MRM-2024-03, Meeting Date: 2024-08-15, Attendees: Executive Team.

8. **Internal Audit Report:** The internal audit report evaluates the OH&S management system, focusing on the effectiveness of risk assessment processes and compliance with relevant regulations. It includes findings, recommendations for improvement, and a summary of overall system performance to enhance safety measures reviewed. Example: Internal Audit Report Number: IA-2024-002, Audit Date: 2024-07-30, Auditor: Mark Lee.

9. **Employee Feedback on Safety Measures:** Records of employee feedback regarding the effectiveness of safety measures and risk management practices include surveys, questionnaires, and meeting notes. This documentation helps assess employee perceptions and experiences, guiding continuous improvement efforts in workplace safety and risk management strategies evidence. Example: Feedback Form Number: FB-2024-010, Collected on: 2024-08-05, Respondents: 50 employees.

10. **Action Plan for Risk Mitigation:** A documented action plan outlines specific steps to address identified risks, assigning responsibilities to relevant personnel and establishing clear timelines for implementation. This structured approach ensures accountability and facilitates timely resolution of safety issues, enhancing overall risk management effectiveness verified. Example: Action Plan Document Number: AP-2024-004, Issued Date: 2024-08-20, Responsible Person: Sarah Brown.

5. INTERVIEW QUESTIONS:

1. Can you describe the process your organization has established to assess OH&S risks from identified hazards?
2. What methodologies are used to assess the effectiveness of existing controls in managing these risks?
3. How do you determine which hazards are significant enough to warrant a risk assessment?
4. Can you provide examples of recent risk assessments conducted within your organization, including the identified hazards and the associated risks?
5. What criteria do you use to evaluate the level of risk associated with specific hazards?
6. How often are OH&S risk assessments reviewed and updated, and what triggers a review?
7. Can you demonstrate how the assessment process takes into account the potential impact of existing control measures?
8. What documentation is maintained regarding your risk assessment methodologies and criteria, and where can it be found?
9. How do you ensure that the risk assessment processes are systematic and proactive rather than reactive
10. Are there any other risks associated with the establishment, implementation, operation, and maintenance of the OH&S management system? How are these assessed?
11. How do you engage employees in the risk assessment process, and what feedback mechanisms are in place?
12. Can you provide records of training sessions conducted on risk assessment and management for employees?
13. How is the information from risk assessments communicated to relevant stakeholders, including employees and management?
14. What actions have been taken as a result of findings from previous risk assessments, and how do you track the effectiveness of these actions?
15. How does your organization ensure compliance with legal and other requirements related to OH&S risk management?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Established Risk Assessment Process:** The organization has effectively developed a structured risk assessment process, enabling systematic identification and evaluation of OH&S risks. This proactive approach highlights their commitment to enhancing workplace safety and minimizing potential hazards for employees.

2. **Incorporation of Existing Controls:** By evaluating the effectiveness of current controls in the risk assessment process, the auditee shows a dedication to continuous improvement. This practice not only strengthens the safety framework but also ensures resources are used efficiently to mitigate risks.

3. **Clear Methodologies Defined:** The auditee has documented specific methodologies for risk assessment, which promote consistency across various departments. This clarity in approach ensures all employees understand the risk evaluation process, facilitating better decision-making regarding safety practices throughout the organization.

4. **Regular Reviews and Updates:** The organization actively conducts regular reviews of its risk assessment process. By doing so, they remain responsive to changes in operations or regulations, ensuring that the OH&S management system stays relevant and effective in mitigating emerging risks.

5. **Engagement with Employees:** The auditee encourages employee participation in risk assessments, fostering a strong safety culture. By involving staff in identifying hazards, they enhance awareness and ownership of safety practices, leading to a more informed and engaged workforce.

6. **Comprehensive Documentation:** The organization maintains thorough documentation regarding risk assessment methodologies and criteria. This extensive record-keeping not only demonstrates accountability but also facilitates easy access to information, which can be critical for training, audits, and continual improvement efforts.

7. **Proactive Risk Management Approach:** The organization adopts a proactive stance in managing OH&S risks, utilizing systematic methods to identify and address potential issues before they escalate. This forward-thinking approach minimizes incidents and creates a safer working environment for all employees.

8. **Integration with Overall Management System:** The assessment of OH&S risks is seamlessly integrated into the overall management system, demonstrating that health and safety are prioritized at every organizational level. This integration helps align safety objectives with business goals, enhancing overall performance.

9. **Effective Communication of Findings:** The auditee has established robust communication channels to relay findings from risk assessments to all stakeholders. This transparency fosters a collaborative environment where safety concerns are addressed collectively, enhancing the organization's commitment to maintaining a safe workplace.

10. **Training and Competence Development:** The organization prioritizes training for employees on risk assessment methodologies, improving their competence and confidence in identifying hazards. This commitment to skill development not only enhances safety awareness but also empowers employees to contribute to a safer workplace actively.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inadequate Documentation of Methodologies:** The organization may not have comprehensive documentation detailing the methodologies for risk assessments. This gap can lead to inconsistencies in application and hinder effective training, ultimately reducing the reliability of risk management practices across the organization.
2. **Insufficient Employee Involvement:** Limited employee participation in the risk assessment process may result in overlooked hazards and control measures. Engaging staff members who are directly exposed to risks can significantly enhance hazard identification and foster a stronger safety culture within the organization.
3. O**utdated Risk Assessment Data:** Risk assessment records may not be reviewed or updated regularly, leading to reliance on outdated information. This oversight can compromise the effectiveness of safety measures and fail to reflect current operational conditions and potential hazards accurately.
4. **Lack of Proactive Measures:** The organization might primarily employ reactive strategies instead of proactive measures for risk identification and management. This approach can result in preventable incidents, emphasizing the need for a shift toward anticipating and addressing risks before they manifest.
5. **Limited Training on Risk Assessment:** Employees may not receive sufficient training on risk assessment methodologies, resulting in inconsistencies and ineffective hazard recognition. Comprehensive training programs are essential to ensure all staff are equipped to identify and assess risks competently.
6. **Insufficient Communication of Findings:** Gaps in communicating risk assessment findings to stakeholders can lead to a lack of awareness and understanding of risks. Effective communication channels are crucial for ensuring that all employees are informed and engaged in safety practices.
7. **Inadequate Evaluation of Existing Controls:** The organization may not thoroughly evaluate the effectiveness of existing control measures during risk assessments. This shortfall can perpetuate the use of ineffective safety practices, increasing the likelihood of incidents and undermining employee safety.
8. **Absence of a Risk Prioritization System:** Without a structured approach to prioritize risks based on severity and likelihood, the organization may struggle to allocate resources effectively for mitigation efforts. Establishing a prioritization system is vital for targeted risk management.
9. **Failure to Assess External Risks:** Insufficient consideration of external factors impacting the OH&S management system can leave the organization vulnerable. Awareness of changes in regulations, industry standards, or socio-economic conditions is crucial for comprehensive risk assessment and management.

10. **Lack of Integration with Other Management Systems:** The risk assessment process may operate in isolation from other management systems, such as quality or environmental management. This lack of integration can hinder a holistic approach to risk management and create operational silos.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Established Processes:** The organization lacks documented processes for assessing OH&S risks, resulting in potential gaps in hazard identification and risk management. This absence hinders effective compliance and may increase the likelihood of incidents, emphasizing the need for structured risk assessment protocols.

   Example: The risk assessment procedure document (e.g., Document No. QHSE-PRO-002) is either missing or incomplete, which compromises the organization's ability to systematically identify and evaluate OH&S risks. This gap highlights the need for urgent documentation and procedural updates. FORM NO: XXX

2. **Insufficient Risk Assessment Methodology:** The methodology for assessing OH&S risks is either undefined or inadequately documented, leading to inconsistencies in hazard identification and evaluation processes. This lack of clarity impedes effective risk management, increasing the likelihood of incidents and non-compliance with safety standards.

   Example: The absence of a defined risk assessment methodology in the OH&S management system (e.g., Methodology Document No. QHSE-METH-005) creates uncertainty in identifying and managing risks. This gap limits the organization's ability to implement effective safety measures and ensure compliance. FORM NO: XXX

3. **Inadequate Evaluation of Existing Controls:** The organization fails to evaluate the effectiveness of existing control measures during risk assessments, resulting in unaddressed weaknesses in safety protocols. This oversight increases the likelihood of incidents and hinders continuous improvement in the OH&S management system.

   Example: Risk assessment reports, such as Risk Assessment Report No. RAR-2024-03, do not include evaluations of current controls, limiting the organization's understanding of their effectiveness. This omission hampers informed decision-making and may lead to inadequate risk management strategies. FORM NO: XXX

4. **No Review of Risk Assessment Data:** Risk assessment data is not reviewed or updated regularly, leading to outdated information that fails to reflect current hazards and conditions. This negligence undermines the effectiveness of the OH&S management system and increases the potential for incidents.

   Example: The last update of the risk assessment records is dated over a year ago (e.g., Last Reviewed Date: 2023-01-15), indicating a lack of timely review. This delay compromises the effectiveness of risk management and safety protocols within the organization. FORM NO: XXX

5. **Lack of Employee Involvement:** Employees are not involved in the risk assessment process, resulting in overlooked hazards and unaddressed risks. Their exclusion limits the identification of practical safety concerns, reducing the effectiveness of the OH&S management system and potentially compromising workplace safety.

   Example: Minutes from risk assessment meetings, such as Meeting Minutes No. MM-2024-04, indicate a lack of employee representation. This absence restricts valuable input from frontline workers, which can lead to insufficient hazard identification and ineffective risk management practices. FORM NO: XXX

6. **Failure to Document Other Risks:** The organization does not document risks associated with the establishment and maintenance of the OH&S management system, leading to potential oversights in identifying vulnerabilities. This lack of documentation hinders effective risk management and may compromise the system's overall effectiveness.

   Example: The absence of a documented risk register that includes operational risks (e.g., Missing Risk Register Document) prevents the organization from systematically tracking and managing identified risks. This oversight increases the likelihood of incidents and undermines effective risk management strategies. FORM NO: XXX

7. **Reactive rather Than Proactive Approach:** The organization primarily reacts to incidents instead of proactively assessing risks, resulting in a cycle of addressing issues post-occurrence. This reactive approach limits opportunities for preventive measures, increasing the likelihood of future incidents and compromising overall workplace safety.

   Example: Evidence shows only post-incident assessments are conducted, with no proactive measures documented (e.g., Incident Report No. IR-2024-02). This reactive approach undermines the organization's ability to prevent future incidents and improve overall safety management practices. FORM NO: XXX

8. **Inconsistent Application of Criteria:** Risk assessment criteria are applied inconsistently across different departments, leading to varying levels of risk identification and management effectiveness. This lack of standardization hampers the organization's overall safety efforts and increases the potential for unaddressed hazards.

   Example: Risk assessments from different departments demonstrate varied criteria application (e.g., Risk Assessment Report A vs. Report B), indicating inconsistencies in hazard identification and evaluation methods. This disparity undermines the organization's overall risk management effectiveness and safety assurance efforts. FORM NO: XXX

9. **Failure to Communicate Risk Assessment Findings:** The organization fails to effectively communicate findings from risk assessments to relevant stakeholders, resulting in a lack of awareness and understanding of identified hazards. This communication gap hinders timely actions and compromises overall safety and risk management efforts.

   Example: There is no distribution list or communication records regarding risk assessment findings (e.g., Communication Log No. CL-2024-05), indicating a failure to share critical information with relevant stakeholders. This oversight impedes effective risk management and informed decision-making processes. FORM NO: XXX

10. **Insufficient Training on Risk Assessment:** Employees lack adequate training on the risk assessment process and methodologies, resulting in insufficient understanding of how to identify and evaluate hazards. This knowledge gap increases the likelihood of unrecognized risks and diminishes the overall effectiveness of safety measures.

    Example: Training records indicate that no risk assessment training sessions have been held in the past year (e.g., Training Record No. TR-2024-06). This absence of training limits employee knowledge and effectiveness in identifying and managing workplace risks. FORM NO: XXX

6 PLANNING

1. STANDARD REQUIREMENTS:

6.1.2.3 ASSESSMENT OF OH&S OPPORTUNITIES AND OTHER OPPORTUNITIES FOR THE OH&S MANAGEMENT SYSTEM

The organization shall establish, implement and maintain a process(es) to assess:

a) OH&S opportunities to enhance OH&S performance, while taking into account planned changes to the organization, its policies, its processes or its activities and:

   1) opportunities to adapt work, work organization and work environment to workers;
   2) opportunities to eliminate hazards and reduce OH&S risks;

b) Other opportunities for improving the OH&S management system.

NOTE: OH&S risks and OH&S opportunities can result in other risks and other opportunities for the organization.

2. EXPLAINATION:

1. **Establishing a Process to Assess OH&S Opportunities:** Organizations must adopt a systematic approach to identify and evaluate opportunities for improving OH&S performance. This involves developing a structured framework or methodology that facilitates consistent assessment of potential enhancements over time. By regularly reviewing these opportunities, organizations can proactively implement changes that foster a safer work environment, enhance employee well-being, and ensure compliance with safety regulations, ultimately contributing to continuous improvement in their OH&S management systems.

   Example: A manufacturing company could establish a quarterly review process involving a cross-functional team that evaluates new technologies and methods to enhance workplace safety. This process would include conducting comprehensive risk assessments and soliciting employee feedback to identify potential improvements. By integrating diverse perspectives, the company can ensure that safety enhancements are practical and effective, ultimately fostering a safer work environment and demonstrating a commitment to continuous improvement in occupational health and safety.

2. **Opportunities to Enhance OH&S Performance:** The organization should prioritize assessing how planned changes, such as new policies, processes, or activities, can positively impact OH&S performance. This involves evaluating potential benefits to employee health and safety during the design phase of changes. By proactively considering the implications of modifications, the organization can ensure that enhancements not only meet regulatory requirements but also promote a safer work environment, ultimately fostering a culture of health and safety awareness among employees.

   Example: If a company plans to implement a new production line, it should assess the layout and equipment to incorporate ergonomic designs that minimize physical strain on workers. This proactive assessment can identify areas for improvement, potentially leading to a redesign of workstations that better fit employees' needs. By prioritizing ergonomics,

the company not only enhances worker comfort and productivity but also reduces the risk of injury, promoting overall health and safety.

3. **Adapt Work, Work Organization, and Work Environment to Workers:** Organizations should actively identify opportunities to make work easier and safer for employees by adapting tasks, organizing work processes, and modifying the physical environment to better suit workers' needs. This proactive approach fosters a culture of safety and efficiency, ensuring that employees can perform their duties with reduced risk of injury.

   Example: A warehouse could assess its picking process to identify repetitive tasks that contribute to employee fatigue. This evaluation may lead to implementing job rotation to minimize the risk of repetitive strain injuries. Additionally, installing conveyor belts can significantly reduce manual lifting, making the work environment less physically demanding. By proactively addressing these issues, the warehouse enhances employee well-being, increases productivity, and fosters a safer and more efficient workplace.

4. **Opportunities to Eliminate Hazards and Reduce OH&S Risks:** This point underscores the importance of actively seeking ways to eliminate hazards and reduce associated risks in the workplace. Organizations should continuously assess potential improvements that can lead to the removal of hazards or the reduction of risks. By implementing effective safety measures, fostering a culture

   Example: In a chemical processing plant, an assessment might identify opportunities to replace certain hazardous chemicals with safer alternatives. This proactive change not only reduces the risk of chemical spills but also minimizes employee exposure to harmful substances. By prioritizing safer options, the plant enhances workplace safety and promotes a healthier environment for employees, ultimately leading to improved compliance with safety regulations and a stronger commitment to occupational health and safety.

5. **Other Opportunities for Improving the OH&S Management System:** Beyond direct improvements to OH&S performance, organizations should also evaluate other aspects of their OH&S management system that may require enhancement. This includes reviewing and updating policies, refining training programs, and improving communication methods to ensure all employees are informed and engaged. By addressing these elements, organizations can create a more comprehensive safety culture, leading to increased awareness, compliance, and overall effectiveness in managing occupational health and safety risks.

   Example: An organization might assess its training programs and discover that they are not effectively engaging employees. To address this, they could adopt interactive training methods, such as simulations or hands-on workshops, which foster active participation. These approaches enhance knowledge retention and make learning more applicable to real-world situations. By improving training engagement, the organization can significantly boost overall safety culture, leading to better awareness and adherence to safety protocols among employees.

6. **Consideration of Risks and Opportunities in Context:** The note in the clause emphasizes that when assessing occupational health and safety (OH&S) opportunities, organizations must remain aware of how these opportunities could also give rise to other associated risks and opportunities. This highlights the interconnected nature of risk management, encouraging a comprehensive approach that not only seeks to enhance safety and well-

being but also considers the broader implications and potential impacts on overall organizational performance and resilience.

Example: A company implementing remote work for specific positions aims to enhance work-life balance, presenting an occupational health and safety (OH&S) opportunity. However, this transition may introduce new risks, such as cyber security vulnerabilities and employee isolation. By thoroughly assessing these implications, the organization can develop strategies to mitigate emerging risks, such as offering mental health support programs and robust cyber security training, ultimately ensuring a safe and productive remote work environment.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The OH&S policy document should articulate the organization's commitment to maintaining a safe workplace. It must outline objectives, responsibilities, and the framework for implementing effective safety measures, demonstrating top management's support for continual improvement in occupational health and safety.

2. **Risk Assessment Reports:** Risk assessment reports detail the identification and evaluation of workplace hazards. They should include methodologies, findings, and the reasoning behind identified risks and opportunities, supporting management in making informed decisions to enhance overall health and safety performance.

3. **Opportunities Assessment Records:** Documentation of assessments identifying OH&S opportunities must be maintained. This includes details on stakeholder input, evaluation processes, and outcomes, ensuring that potential enhancements to health and safety performance are systematically identified and acted upon in the workplace.

4. **Meeting Minutes of Safety Committees:** Safety committee meeting minutes provide insights into discussions about OH&S opportunities and risks. They should capture actions taken, decisions made, and follow-up items, illustrating how the organization actively engages in improving health and safety practices through collaborative efforts.

5. **Training Records:** Training records are essential for demonstrating that employees have received relevant instruction on OH&S procedures and practices. These should include topics covered, attendance logs, and evaluations to ensure workers are competent and aware of safety responsibilities and protocols.

6. **Internal Audit Reports:** Internal audit reports assess the effectiveness of the OH&S management system. They should highlight strengths, weaknesses, and compliance levels while providing recommendations for improvements, ensuring that safety practices are consistently evaluated and enhanced according to established standards.

7. **Management Review Meeting Records:** Documentation from management review meetings illustrates how top management evaluates the OH&S management system's performance. It includes assessments of opportunities, necessary changes, and resource requirements, ensuring strategic alignment and commitment to continuous improvement in health and safety.

8. **Incident and Accident Reports:** Incident and accident reports should analyze workplace events to identify trends and root causes. This documentation helps assess the effectiveness of safety measures, guiding the organization in identifying opportunities for further improving workplace safety and minimizing risks.

9. **Action Plans for Improvement:** Action plans should outline specific steps to implement identified OH&S opportunities. They must detail responsible parties, timelines, and required resources, facilitating accountability and tracking progress towards enhancing workplace health and safety performance over time.

10. **Stakeholder Consultation Records:** Records demonstrating stakeholder consultation on OH&S opportunities and risks are vital. These may include surveys, feedback mechanisms, or interviews that inform the organization's health and safety decision-making processes, ensuring diverse perspectives contribute to continuous safety improvements.

4. OBJECTIVE EVIDENCES

1. **OH&S Policy Document:** The organization's OH&S policy document was reviewed and confirmed to be current and effective. This review demonstrates the organization's on-going commitment to health and safety, ensuring that policies are relevant and aligned with best practices and regulatory requirements verified. Example: Document No. OHSP-001, Revision 3, dated 2024-08-15, signed by John Smith, OH&S Manager.

2. **Risk Assessment Report:** The risk assessment report identified and evaluated workplace hazards, detailing the risks associated with each. It provides clear evidence of the risk management practices implemented, demonstrating the organization's commitment to maintaining a safe working environment and mitigating potential hazards evidence. Example: Risk Assessment Report No. RAR-2024-02, completed on 2024-09-10, conducted by Emily Johnson, Safety Officer.

3. **Opportunities Assessment Record:** The record of opportunities assessment reflects a systematic approach to identifying and documenting potential enhancements in OH&S performance. This thorough process ensures that all opportunities for improvement are captured, fostering a proactive safety culture and commitment to continuous improvement reviewed. Example: Opportunities Assessment Form No. OAF-005, dated 2024-10-05, completed by the Safety Committee.

4. **Meeting Minutes of Safety Committee:** The minutes from the safety committee meeting were reviewed, highlighting discussions and decisions focused on improving OH&S performance. These records demonstrate the committee's proactive approach in addressing safety concerns and implementing strategies to enhance workplace health and safety standards verified. Example: Safety Committee Meeting Minutes No. SCM-2024-04 dated 2024-10-01, attended by: Sarah Brown, Mark Lee, and Rachel Green.

5. **Training Records:** Training records confirm that employees have undergone essential OH&S training, significantly enhancing their competence in safety practices. This documentation reflects the organization's commitment to fostering a knowledgeable workforce capable of effectively identifying and managing health and safety risks reviewed.

Example: Training Completion Record No. TCR-2024-15 dated 2024-09-25, for Employee ID: E12345, Training conducted by David Adams.

6. **Internal Audit Report:** The internal audit report assessed the effectiveness of the OH&S management system, highlighting areas of compliance as well as opportunities for improvement. This evaluation provides valuable insights that support the organization's on-going commitment to enhancing workplace health and safety standards evidence. Example: Internal Audit Report No. IAR-2024-07, completed on 2024-10-15, by Audit Team Lead: Karen White.

7. **Management Review Meeting Records:** Documentation from management review meetings provides clear evidence of top management's evaluation of the OH&S management system. These records reflect discussions on performance metrics, compliance, and necessary improvements, demonstrating leadership's commitment to maintaining and enhancing workplace health and safety verified. Example: Management Review Minutes No. MRM-2024-03 dated 2024-09-20, led by CEO: Michael Thompson.

8. **Incident and Accident Reports:** Analyzed incident reports provide evidence of trends and the corrective actions taken by the organization, demonstrating its responsiveness to OH&S issues. This analysis highlights the commitment to continuously improving safety measures and mitigating future risks in the workplace reviewed. Example: Incident Report No. IR-2024-16, dated 2024-09-30, reported by: Lisa Carter, involving Employee ID: E67890.

9. **Corrective Action Records:** Corrective action records detail the actions taken in response to identified nonconformities, showcasing effective resolution processes. These documents illustrate the organization's commitment to addressing issues promptly and preventing recurrence, ultimately enhancing overall OH&S management and compliance verified. Example: Corrective Action Record No. CAR-2024-11, initiated on 2024-10-10, resolved by: Tom Brown.

10. **External Audit Report:** The external audit report offers an independent assessment of the OH&S management system, confirming its compliance with ISO 45001 standards. This validation reinforces the organization's commitment to maintaining high occupational health and safety practices and continuous improvement evidence. Example: External Audit Report No. EAR-2024-01 dated 2024-10-12, conducted by Auditor: Susan Lee, Audit Firm: Safety Compliance Ltd.

5. INTERVIEW QUESTIONS:

1. Can you describe the process your organization has established to assess OH&S opportunities for enhancing performance?
2. How does your organization ensure that planned changes to policies, processes, or activities are considered during the assessment of OH&S opportunities?
3. What methods are used to identify opportunities for adapting work, work organization, and the work environment to better suit workers?
4. Can you provide examples of specific opportunities identified that aimed to eliminate hazards and reduce OH&S risks?

5. How frequently does your organization conduct assessments to identify OH&S opportunities and risks?
6. What documentation exists to support the assessment process for OH&S opportunities?
7. How are employees involved in the identification and assessment of OH&S opportunities and risks?
8. Can you show me records or reports that demonstrate how identified opportunities have led to actual improvements in OH&S performance?
9. What criteria does your organization use to prioritize the identified OH&S opportunities for implementation?
10. How does the organization communicate identified OH&S opportunities and the processes for their assessment to relevant stakeholders?
11. Are there any recent planned changes in the organization that have been assessed for their impact on OH&S performance? If so, can you provide details?
12. Can you explain how your organization tracks the effectiveness of implemented opportunities aimed at enhancing OH&S performance?
13. What mechanisms are in place to capture and assess other opportunities for improving the overall OH&S management system?
14. Can you share examples of how your organization has leveraged lessons learned from past incidents or near misses to identify new OH&S opportunities?
15. How does your organization ensure that the assessment process for OH&S opportunities remains relevant and updated to reflect changes in operations or external factors?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Approach:** The organization demonstrates a proactive approach by regularly identifying and assessing OH&S opportunities. This commitment goes beyond compliance, showing a desire to foster a safe workplace culture that prioritizes employee health and well-being continuously.
2. **Comprehensive Assessment Processes:** The auditee has established detailed processes to systematically evaluate OH&S opportunities and risks. This comprehensive approach ensures that all potential safety enhancements are identified and assessed, leading to well-informed decisions that bolster workplace safety and health.
3. **Employee Involvement:** By actively involving employees in identifying OH&S opportunities, the organization promotes a culture of safety. This engagement not only empowers employees but also encourages shared responsibility for safety, enhancing overall effectiveness in mitigating workplace hazards.
4. **Adaptation to Changes:** The organization effectively adapts its assessment processes in response to planned changes, demonstrating flexibility and foresight. This adaptability ensures that safety measures remain relevant and effective, even as organizational policies and operational activities evolve over time.

5. **Focus on Hazard Elimination:** The auditee prioritizes initiatives aimed at eliminating hazards and minimizing OH&S risks. This focus reflects a deep commitment to creating a safer work environment and aligns with best practices in occupational health and safety management.

6. **Documentation and Record-Keeping:** The organization maintains meticulous documentation of assessments, actions taken and identified opportunities. This thorough record-keeping enhances transparency, facilitates tracking progress, and ensures accountability, making it easier to review and improve OH&S practices over time.

7. **Continuous Improvement Culture:** The auditee fosters a strong culture of continuous improvement within its OH&S management system. By regularly evaluating safety practices and outcomes, the organization demonstrates a commitment to refining processes and enhancing overall workplace safety.

8. **Training and Awareness Programs:** The organization implements effective training and awareness initiatives that educate employees about OH&S opportunities. These programs empower employees to actively participate in safety measures, ensuring that everyone is informed and engaged in maintaining a safe work environment.

9. **Utilization of Data and Feedback:** By leveraging data and feedback from past incidents, the organization informs its assessments of OH&S opportunities. This analytical approach enables the identification of trends, enhances risk mitigation strategies, and fosters a culture of learning and safety.

10. **Integration of OH&S into Business Processes:** The auditee integrates OH&S considerations into its broader business processes, reflecting a holistic approach to safety management. This integration ensures that occupational health and safety are prioritized alongside operational objectives, enhancing overall organizational effectiveness.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Formal Assessment Process:** The absence of a documented assessment process for OH&S opportunities can lead to inconsistent evaluations across the organization. This inconsistency may result in overlooked opportunities for improving safety performance, potentially compromising worker health and safety.

2. **Insufficient Employee Involvement:** Limited engagement of employees in identifying OH&S opportunities diminishes the pool of insights and perspectives that can enhance safety practices. Employees who are directly involved in operations often have valuable input that can lead to effective improvements.

3. **Inadequate Training on OH&S Opportunities:** Insufficient training on recognizing and reporting OH&S opportunities can hinder employees' ability to contribute effectively to safety initiatives. Without proper education, workers may not be aware of how to identify potential improvements or hazards.

4. **Absence of Regular Reviews:** The lack of scheduled reviews of the assessment process for OH&S opportunities can impede the organization's ability to adapt to changing conditions. Regular reviews are essential for identifying new risks and evaluating the effectiveness of implemented measures.

5. **Limited Use of Data Analysis:** Failing to leverage data analytics in the assessment of OH&S opportunities may result in decisions based on assumptions rather than concrete evidence. An evidence-based approach is crucial for effectively identifying and prioritizing safety improvements.

6. **Failure to Address Past Incidents:** Neglecting to analyze past incidents or near misses can prevent the organization from identifying recurring issues. Learning from previous experiences is essential for preventing future occurrences and enhancing overall safety measures in the workplace.

7. **Unclear Communication of Opportunities:** Lack of clear communication about identified OH&S opportunities and assessment processes can lead to employee disengagement. Effective communication fosters an informed workforce that is more likely to participate actively in safety improvement initiatives.

8. **Overlooking Organizational Changes:** Not considering planned changes in policies or processes when assessing OH&S opportunities can lead to the emergence of new hazards. Proactive evaluation ensures that safety measures evolve alongside organizational changes, maintaining a safe work environment.

9. **Ineffective Documentation Practices:** Insufficient documentation of assessments and decisions regarding OH&S opportunities can hinder accountability and progress tracking. Proper record-keeping is vital for evaluating the effectiveness of implemented changes and facilitating future assessments.

10. **Neglected Follow-Up Actions:** Identified OH&S opportunities lacking designated follow-up actions or timelines may result in delays in implementation. Establishing clear follow-up procedures ensures that improvements are addressed promptly, enhancing overall safety performance.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Absence of a Documented Process:** No documented procedures or protocols for assessing OH&S opportunities were found in the organization's safety management system. This absence indicates a lack of systematic approach to identifying potential improvements, which may hinder overall safety performance and compliance.

   Example: The procedure document, referenced as "OH&S Procedure No. 001," is missing. This absence hampers the organization's ability to implement a structured approach to occupational health and safety, potentially impacting compliance and effective risk management practices. FORM NO: XXX

2. **Failure to Conduct Regular Assessments:** The organization has not conducted scheduled assessments to identify OH&S opportunities over the past year. This lack of proactive evaluation may hinder the identification of potential improvements, negatively impacting overall occupational health and safety performance and compliance efforts.

   Example: The audit report dated "2023-08-15" indicates that no assessments were conducted from "2022-08-15" to "2023-08-15." This gap in evaluations suggests a lack of on-going oversight and may hinder the organization's ability to improve OH&S performance effectively. FORM NO: XXX

3. **Lack of Employee Involvement:** Employees have not been consulted or engaged in the identification of OH&S opportunities during assessments. This lack of involvement may result in missed insights and potential improvements, undermining the effectiveness of the organization's health and safety management efforts.

   Example: Meeting minutes from Meeting No. 12, dated "2023-06-20," indicate a lack of employee input in OH&S discussions. This absence of participation may hinder the identification of opportunities for improvement and undermine the effectiveness of the safety management system. FORM NO: XXX

4. **No Training on OH&S Opportunities:** Training records indicate that employees have not received training on identifying and reporting OH&S opportunities. This lack of training may limit their ability to contribute to the safety management system and recognize potential areas for improvement effectively.

   Example: Training records show that the last OH&S training session occurred on "2022-05-10," and did not address the identification of opportunities related to occupational health and safety. This gap may hinder employees' ability to contribute to safety improvements effectively. FORM NO: XXX

5. **Inadequate Analysis of Past Incidents:** The organization has not conducted an analysis of past incidents to identify potential opportunities for improving occupational health and safety. This lack of review may prevent the implementation of effective measures that could enhance overall safety performance.

   Example: Incident reports dated "2023-03-22" fails to include any analysis or evaluation of prior incidents to identify opportunities for enhancing occupational health and safety. This absence limits the organization's ability to learn from past events and improve safety measures. FORM NO: XXX

6. **Failure to Document Identified Opportunities:** There is no documentation of identified OH&S opportunities, hindering the organization's ability to track their implementation and assess progress. This lack of records limits accountability and impedes continuous improvement efforts within the occupational health and safety management system.

   Example: There are no records in the OH&S Management System documenting identified opportunities from assessments conducted on "2023-03-01." This absence of documentation hampers the organization's ability to track improvements and implement effective actions for enhancing occupational health and safety. FORM NO: XXX

7. **Inconsistent Communication of Opportunities:** Employees have not been adequately informed about identified OH&S opportunities and the processes for assessing them. This lack of communication may hinder employee engagement and awareness, ultimately affecting the organization's ability to improve occupational health and safety effectively.

   Example: Email communications dated “2023-07-05” reveals that staff was not updated about safety opportunities. This lack of communication can lead to employee disengagement and may impede the organization's efforts to enhance occupational health and safety practices effectively. FORM NO: XXX

8. **Ignoring Organizational Changes:** There is no documentation showing that planned changes in processes or activities have been evaluated for their potential OH&S impacts, which could lead to unaddressed risks and undermine the organization's commitment to maintaining a safe working environment.

   Example: The project proposal dated “2023-04-01” does not include an OH&S impact assessment concerning the proposed changes, indicating a failure to evaluate potential health and safety implications before proceeding with the project. This oversight could jeopardize employee safety. FORM NO: XXX

9. **Failure to Prioritize Opportunities:** The organization has not prioritized identified OH&S opportunities for implementation, leading to significant delays in addressing potential improvements. This lack of prioritization can hinder overall safety performance and prevent timely enhancements to the workplace environment.

   Example: Action items from safety meetings, as documented in the minutes dated "2023-09-10," indicate a failure to prioritize identified OH&S opportunities. This oversight can lead to prolonged safety risks and hinder the implementation of necessary improvements. FORM NO: XXX

10. **No Integration with Other Management Systems:** The organization fails to integrate identified OH&S opportunities into its broader management systems, such as quality or environmental frameworks. This lack of integration may result in missed chances to enhance overall organizational performance and safety outcomes across various processes.

    Example: The management system review document dated “2023-02-15” reveals that safety initiatives are being conducted separately and without coordination. This disjointed approach may hinder the effectiveness of the overall safety management system and compromise employee health and safety. FORM NO: XXX

6 PLANNING

1. STANDARD REQUIREMENTS:

6.1.3 DETERMINATION OF LEGAL REQUIREMENTS AND OTHER REQUIREMENTS

The organization shall establish, implement and maintain a process(es) to:

a) determine and have access to up-to-date legal requirements and other requirements that are applicable to its hazards, OH&S risks and OH&S management system;

b) determine how these legal requirements and other requirements apply to the organization and what needs to be communicated;

c) Take these legal requirements and other requirements into account when establishing, implementing, maintaining and continually improving its OH&S management system.

The organization shall maintain and retain documented information on its legal requirements and other requirements and shall ensure that it is updated to reflect any changes.

NOTE: Legal requirements and other requirements can result in risks and opportunities for the organization.

2. EXPLAINATION:

1. **Establishing a Process:** This process involves continuously reviewing and updating legal requirements and relevant standards to maintain compliance. It includes monitoring changes in local, national, and international laws impacting workplace safety, ensuring all practices align with current regulations. Regular assessments help identify any updates needed to comply with evolving legal obligations, safeguarding a safe and legally compliant work environment.

   Example: A manufacturing company establishes a dedicated team to oversee legal compliance, focusing on occupational health and safety (OH&S) legislation. This team subscribes to legal update services or employs software tools that alert them to changes relevant to their industry. By staying informed of legislative updates, the company proactively ensures its practices align with current OH&S requirements, maintaining a safe and compliant workplace.

2. **Access to Up-to-Date Information:** To ensure compliance, organizations must access up-to-date information by implementing a reliable system for tracking legal updates. This can include monitoring government websites, consulting legal advisors, or engaging with industry associations. By staying informed of new regulations and standards, organizations can swiftly adapt their practices to meet current compliance requirements, effectively minimizing risks and maintaining alignment with legal obligations.

   Example: A construction firm routinely monitors the local labor department's website for updates on safety equipment and worker training regulations. They maintain a digital library containing essential laws, standards, and guidelines to ensure compliance. By staying informed of regulatory changes and having accessible resources, the firm supports a proactive approach to worker safety and aligns its practices with current industry standards.

3. **Determining Applicability:** Organizations should perform a gap analysis to assess how well current practices align with legal requirements. This helps identify areas needing improvement and ensures compliance. Additionally, they should determine what essential information, like training on specific legal standards, must be communicated to employees. By addressing gaps and enhancing awareness, organizations foster a compliant, informed workforce aligned with regulatory standards.

   Example: Organizations should perform a gap analysis to assess how well current practices align with legal requirements. This helps identify areas needing improvement and ensures compliance. Additionally, they should determine what essential information, like training on specific legal standards, must be communicated to employees. By addressing gaps and enhancing awareness, organizations foster a compliant, informed workforce aligned with regulatory standards.

4. **Integration into OH&S Management System:** Organizations should integrate compliance into the core of their OH&S management system, rather than treating it as a separate task. This approach ensures that safety practices consistently align with legal requirements and become part of daily operations. By embedding compliance within regular processes, organizations promote a culture of safety and accountability, ensuring legal adherence is maintained seamlessly across all activities.

   Example: A logistics company incorporates legal compliance into its risk assessment procedures, ensuring that transportation-related hazards are identified, documented, and mitigated within its safety protocols. By integrating compliance with regulatory standards directly into their risk management process, the company proactively addresses potential legal risks, maintains safety standards, and aligns operations with current transportation laws to protect employees, assets, and the public.

5. **Documentation and Retention:** Proper documentation creates a continuous record of compliance and simplifies the audit process. Organizations should implement a system to document legal requirements and track updates, ensuring all changes are recorded and accessible. This approach not only supports regulatory alignment but also provides clear evidence of compliance efforts, making it easier to demonstrate adherence during audits and maintain up-to-date practices across operations.

   Example: An organization leverages compliance management software to store and update legal requirements, receiving alerts when new laws are enacted or current ones are amended. This ensures the safety manager can quickly revise company policies and training materials to reflect regulatory changes. By using this tool, the organization maintains real-time compliance, streamlines policy updates, and reinforces a proactive approach to regulatory adherence.

6. **Communication of Requirements:** Effective communication is essential for ensuring all employees comprehend their compliance responsibilities. This can include conducting training sessions, providing updates during safety meetings, and displaying notices in common areas to reinforce key information. By employing multiple communication channels, organizations enhance awareness, promote accountability, and create a culture of compliance, ensuring that every employee understands their role in maintaining adherence to legal and safety standards.

Example: A manufacturing plant conducts regular safety meetings to discuss updates on legal requirements, ensuring that all employees are informed of any changes. Additionally, the plant creates posters that summarize key legal obligations, prominently displaying them throughout the workplace. This dual approach enhances awareness and understanding among staff, fostering a culture of compliance and reinforcing the importance of adhering to legal standards in daily operations.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Legal and Regulatory Register:** This register serves as a central repository for all relevant legal and regulatory requirements related to occupational health and safety. It should include the identification of specific laws, regulations, and standards, along with their applicability and review dates for compliance tracking.

2. **Process for Identifying Legal Requirements:** Documented procedures should outline the systematic approach the organization employs to identify and evaluate applicable legal and other requirements. This includes details on the roles, responsibilities, frequency of reviews, and methodologies used to ensure on-going compliance.

3. **Evidence of Legal Updates:** Records demonstrating the organization's efforts to stay current with legal changes are crucial. This may include subscription confirmations to legal update services, newsletters, or internal meeting notes where legal requirements were discussed and necessary actions determined for compliance.

4. **Gap Analysis Reports:** Documentation of gap analyses helps identify discrepancies between current organizational practices and legal requirements. These reports should detail specific gaps found, recommended corrective actions, and timelines for implementation to ensure compliance with OH&S regulations.

5. **Training Records:** Training records provide evidence that employees have been educated on relevant legal and other requirements. These documents should include attendance sheets, training materials, and evaluations, demonstrating that personnel are informed about compliance expectations and safety protocols.

6. **Communication Materials:** Materials used for communicating legal requirements to employees should be documented. This includes posters, emails, newsletters, and internal memos. Evidence of dissemination methods and employee engagement ensures that all personnel are aware of their legal responsibilities.

7. **Risk Assessment Documentation:** Records of risk assessments should illustrate how legal requirements are considered in hazard identification and risk evaluation processes. These documents demonstrate that the organization proactively addresses legal compliance while assessing workplace hazards and mitigating associated risks.

8. **Management Review Minutes:** Minutes from management review meetings should reflect discussions about compliance with legal and other requirements. These records are essential for demonstrating leadership commitment, actions taken to address compliance issues, and responsibilities assigned for on-going monitoring and improvement.

9. **Audit Reports:** Internal or external audit reports evaluating compliance with legal requirements should be readily available. These documents provide insights into findings, non-conformities, and recommendations for corrective actions, showcasing the organization's commitment to maintaining legal compliance.

10. **Corrective Action Records:** Documentation of corrective actions taken in response to identified non-compliance with legal requirements is crucial. This includes records of investigations, root cause analyses, and follow-up actions to ensure that effective measures are implemented to prevent recurrence.

4. OBJECTIVE EVIDENCES:

1. **Legal and Regulatory Register Review:** The organization maintains an updated legal and regulatory register that reflects current occupational health and safety (OH&S) requirements. This register ensures compliance by providing accessible information about relevant laws and regulations, enabling the organization to adapt its practices accordingly verified. Example: Legal and Regulatory Register Document No. LR-2024-001, last updated on 2024-10-15 by John Doe, Compliance Officer.

2. **Gap Analysis Report:** A gap analysis report was conducted to identify compliance gaps between current practices and legal requirements. The assessment revealed areas needing improvement, leading to the development of targeted action plans to address these gaps. By outlining specific steps and responsibilities, the organization aims to enhance compliance, align practices with legal standards, and foster a proactive approach to meeting regulatory obligations effectively e3vidence. Example: Gap Analysis Report No. GA-2024-003, dated 2024-09-20, reviewed by Sarah Smith, Health and Safety Manager.

3. **Training Records for Legal Compliance:** Training records confirm that employees received training on relevant legal requirements specific to their roles. This documentation ensures accountability and supports compliance efforts by demonstrating that staff are informed and prepared to adhere to applicable regulations in their work reviewed. Example: Training Attendance Sheet for Legal Compliance Training, Form No. T-2024-007, dated 2024-09-25, attended by 30 employees, conducted by Mark Johnson, Training Coordinator.

4. **Risk Assessment Documentation:** Risk assessments incorporate legal requirements and associated hazards, showcasing a proactive approach to compliance. By identifying and addressing these factors, the organization enhances safety measures and ensures adherence to regulations, ultimately protecting employees and minimizing potential legal risks verified. Example: Risk Assessment Report No. RA-2024-005, conducted on 2024-10-05, signed by Emily White, Safety Officer.

5. **Corrective Action Records:** Corrective action records detail responses to identified non-compliance with legal requirements, including comprehensive root cause analysis. This documentation ensures accountability and facilitates continuous improvement by addressing the underlying issues, preventing recurrence, and enhancing overall compliance within the organization verified. Example: Corrective Action Report No. CA-2024-009, issued on 2024-09-30, addressing non-compliance regarding PPE usage, resolved by Alex Brown, Operations Manager.

6. **Audit Reports:** Internal audit reports provide an assessment of compliance with legal requirements, highlighting key findings and offering recommendations for improvement. This documentation ensures that the organization remains accountable, addresses any deficiencies, and enhances its overall adherence to regulatory standards verified. Example: Internal Audit Report No. IA-2024-002, dated 2024-10-10, conducted by the Audit Team, led by Linda Green, Internal Auditor.

7. **Management Review Meeting Minutes:** Minutes from management review meetings reflect discussions regarding compliance with legal and other requirements. This documentation underscores the organization's commitment to regulatory adherence, highlighting the importance of on-going evaluation and improvement of compliance practices within the management framework verified. Example: Management Review Meeting Minutes No. MR-2024-004, dated 2024-10-12, recorded by Jennifer Blue, Executive Assistant.

8. **Consultation with Legal Experts:** Documentation of consultations with legal experts outlines interpretations of legal requirements relevant to occupational health and safety (OH&S). This record ensures that the organization stays informed about regulatory obligations and enhances its compliance efforts through expert guidance and insights reviewed. Example: Consultation Record No. CR-2024-001, dated 2024-08-28, with Legal Advisor, David Black, including recommendations for compliance.

9. **Document Control Procedures:** Document control procedures guarantee that all legal requirement documentation is up-to-date and accessible to relevant personnel. This ensures that staffs have the necessary information to comply with regulations, promoting a culture of adherence and accountability within the organization reviewed. Example: Document Control Procedure Manual No. DCP-2024-001, issued on 2024-09-15, reviewed by Rachel Silver, Document Control Coordinator.

10. **Stakeholder Engagement Records:** Records of stakeholder engagement highlight communication about occupational health and safety (OH&S) legal requirements and include feedback mechanisms. This documentation ensures transparency, fosters collaboration, and encourages continuous improvement by actively involving stakeholders in compliance discussions and decision-making processes verified. Example: Stakeholder Engagement Summary Report No. SE-2024-006, dated 2024-10-01, including feedback from 10 stakeholders, compiled by Thomas Grey, Community Liaison.

5. INTERVIEW QUESTIONS:

1. Can you explain the process your organization uses to identify and access up-to-date legal and other requirements related to occupational health and safety (OH&S)?
2. What sources do you rely on for obtaining information about applicable legal requirements, and how often are these sources reviewed for updates?
3. How do you ensure that the legal and other requirements identified are relevant to the specific hazards and OH&S risks present in your organization?
4. Can you provide an example of a recent change in legal requirements that your organization has incorporated into its OH&S management system?

5. How is the applicability of legal and other requirements communicated to employees and stakeholders within the organization?
6. Are there any specific roles or responsibilities assigned for maintaining compliance with legal and other requirements, and how are these roles communicated?
7. How do you monitor compliance with the identified legal requirements, and what measures are in place to address any instances of non-compliance?
8. Can you show me documented evidence of your legal and regulatory register? How frequently is it updated?
9. What training programs are in place to ensure that employees understand their responsibilities regarding legal and other requirements?
10. How do you evaluate the effectiveness of your processes for determining legal and other requirements in relation to your OH&S management system?
11. Can you provide documentation that demonstrates the integration of legal requirements into your risk assessment and management processes?
12. How do you ensure that changes to legal requirements are communicated effectively to all relevant personnel within the organization?
13. Are there any recent audit findings related to compliance with legal requirements, and how were these findings addressed?
14. How is the documented information on legal requirements maintained, and what processes are in place to ensure it remains current and accessible?
15. In what ways does your organization strive for continual improvement regarding the identification and implementation of legal and other requirements within the OH&S management system?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Approach to Compliance:** The organization consistently demonstrates a proactive approach by establishing a systematic review process for its legal and regulatory register. This ensures that all applicable legal requirements are not only current but also readily accessible, promoting a culture of compliance.
2. **Clear Documentation Processes:** Well-defined procedures are in place for identifying and documenting legal requirements. This systematic approach reflects the organization's commitment to thoroughness, providing clear guidance on compliance obligations and facilitating a better understanding among employees regarding their responsibilities related to OH&S.
3. **Effective Communication Channels:** The organization has implemented effective communication strategies to disseminate legal requirements throughout all levels of staff. Regular updates, training sessions, and accessible resources ensure that employees are well-informed of their responsibilities, enhancing overall awareness and adherence to OH&S standards.

4. **Dedicated Compliance Personnel:** Specific individuals or teams have been assigned responsibility for monitoring compliance with legal and other requirements. This clearly defined accountability fosters strong leadership commitment to occupational health and safety, ensuring a focused approach to maintaining and improving OH&S management practices.

5. **Integration into Risk Management:** The organization has successfully integrated legal and other requirements into its risk assessment processes. This ensures that compliance is considered during hazard identification and risk evaluation, promoting a comprehensive approach to safety and minimizing potential non-compliance risks.

6. **Regular Training Initiatives:** The auditee prioritizes employee education through regular training programs focused on legal requirements and OH&S practices. This commitment to on-going education fosters a culture of safety; ensuring employees understand their roles in compliance and promoting overall organizational effectiveness.

7. **Continuous Improvement Mechanism:** The organization actively seeks and encourages feedback on its legal requirement determination processes. By implementing mechanisms for continuous improvement based on audit findings and employee suggestions, the organization enhances its compliance strategies and fosters a culture of accountability.

8. **Maintenance of Documented Information:** The auditee effectively maintains comprehensive documented information regarding legal and other requirements. Regular reviews and updates ensure that documentation reflects any changes in legislation or organizational operations, promoting transparency and ensuring employees have access to current compliance information.

9. **Engagement with Legal Experts:** The organization regularly consults with legal experts to ensure accurate interpretation and application of legal requirements. This engagement underscores its commitment to thorough compliance practices, minimizing the risk of non-compliance and fostering a proactive approach to OH&S management.

10. **Positive Audit Findings:** Previous internal and external audits have yielded no significant non-conformities related to legal requirements. This positive track record reflects the effectiveness of the organization's processes and their on-going commitment to maintaining compliance with occupational health and safety regulations.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inconsistent Documentation Updates:** The organization's documented information regarding legal requirements may not be consistently updated, resulting in potential compliance gaps. Establishing a regular review schedule for these documents would enhance their accuracy and relevance, thereby ensuring adherence to the latest regulations and standards.

2. **Limited Accessibility of Legal Information:** Employees may face challenges accessing vital legal requirement documents, especially those directly implementing safety measures. By improving visibility through centralized digital platforms, the organization can enhance awareness among employees, promoting better compliance and understanding of occupational health and safety standards.

3. **Lack of Employee Training:** Insufficient training programs focusing on legal requirements could leave employees unaware of their compliance responsibilities. By developing comprehensive training sessions on occupational health and safety regulations, the organization would ensure that staff understands the importance of adherence and the implications of non-compliance.

4. **Absence of a Compliance Audit Process:** The lack of a structured audit process to assess compliance with legal requirements can lead to unidentified gaps. Implementing regular compliance audits would systematically evaluate adherence to legal obligations, allowing for timely corrective actions and fostering a culture of accountability.

5. **Limited Communication of Legal Changes:** Changes to legal requirements might not be effectively communicated organization-wide. By introducing a formal communication plan for updates on legal changes, the organization can ensure that relevant personnel are informed promptly, thereby enhancing compliance and minimizing potential risks.

6. **Inadequate Risk Assessment Integration:** Legal and other requirements may not be sufficiently integrated into existing risk assessment processes. Enhancing this integration would improve the organization's capability to identify and mitigate occupational health and safety risks associated with non-compliance, promoting a safer work environment.

7. **Lack of Stakeholder Engagement:** The determination of legal requirements might lack input from key stakeholders, including employees and legal advisors. Actively engaging stakeholders in the review process would provide valuable insights and strengthen the organization’s compliance framework, ensuring comprehensive consideration of all relevant requirements.

8. **No Tracking Mechanism for Legal Changes:** The absence of a mechanism to track changes in legal requirements can result in missed updates. Implementing a proactive system to monitor regulatory changes would help the organization maintain compliance and minimize risks associated with outdated or overlooked obligations.

9. **Limited Evaluation of Compliance Effectiveness:** The organization may not regularly evaluate the effectiveness of its compliance processes regarding legal requirements. Establishing key performance indicators (KPIs) for compliance would provide measurable insights, facilitating continuous improvement and ensuring adherence to occupational health and safety regulations.

10. **Poor Documentation of Legal Applicability:** The organization may not clearly document how specific legal requirements apply to its operations, leading to confusion. Improving documentation practices would enhance understanding among employees regarding their obligations, ensuring that all relevant legal requirements are adequately addressed and complied with.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Documented Procedures:** The organization lacks documented procedures for identifying legal requirements, which may hinder its ability to ensure compliance. Without these procedures, there is a risk of overlooking important regulations, potentially leading to non-compliance and associated legal consequences.

   Example: The organization lacks a procedure document, such as the "Legal Requirements Identification Procedure" (Document No. LRI-001), or has outdated procedures that do not align with current practices. This gap can compromise compliance and effective management of legal obligations. FORM NO: XXX

2. **Outdated Legal Requirements:** The organization's records of legal requirements are outdated and fail to reflect the latest regulatory changes. This oversight can lead to non-compliance risks and hinder the organization's ability to implement current safety practices, ultimately affecting overall operational effectiveness and safety standards.

   Example: The legal requirements document, such as the "Legal Compliance Document," is over a year old, with the last update recorded as January 2022. This outdated information increases the risk of non-compliance and may not align with current regulations and standards. FORM NO: XXX

3. **Inadequate Access to Legal Information:** Employees lack adequate access to current legal requirements pertinent to their roles, which may hinder their ability to perform tasks in compliance with regulations. This gap can lead to misunderstandings, potential violations, and a diminished commitment to safety and legal adherence.

   Example: Employee feedback forms indicate challenges in accessing legal documentation, highlighting issues with an inaccessible shared drive folder containing essential legal requirements. This lack of access can impede employees' ability to comply with regulations, potentially leading to operational and legal risks. FORM NO: XXX

4. **Failure to Communicate Legal Requirements:** There is no established system for communicating applicable legal requirements to all employees. This absence can result in a lack of awareness regarding regulatory obligations, increasing the risk of non-compliance and undermining the organization's commitment to maintaining a safe workplace.

   Example: There is a lack of communication logs, such as records of legal updates shared during team meetings or through internal newsletters. This absence hinders transparency and prevents employees from staying informed about important regulatory changes, potentially leading to compliance gaps. FORM NO: XXX

5. **Missing Compliance Review Records:** The organization fails to maintain records of compliance reviews concerning legal requirements. This lack of documentation can hinder the ability to demonstrate adherence to regulations, obstructing accountability and continuous improvement efforts in managing legal and safety obligations effectively.

   Example: Records of compliance audits are missing, such as the "OH&S Compliance Audit Report" (Report No. CA-2023-04). This absence of documentation compromises the organization's ability to demonstrate adherence to safety regulations and limits the effectiveness of its compliance monitoring efforts. FORM NO: XXX

6. **No Evidence of Training on Legal Requirements:** Employees have not received training on relevant legal requirements that impact their job functions. This lack of training can lead to misunderstandings of regulatory obligations, increasing the risk of non-compliance and potentially jeopardizing workplace safety and operational effectiveness.

   Example: There is an absence of training records, such as the "Training Attendance Sheet" for legal compliance training, dated within the last two years. This lack of documentation hinders accountability and demonstrates potential gaps in employee awareness of regulatory requirements. FORM NO: XXX

7. **Inadequate Integration into OH&S Management System:** Legal requirements are not adequately integrated into the organization's occupational health and safety (OH&S) management system. This lack of integration can lead to compliance gaps, ineffective safety practices, and increased risk of regulatory violations, ultimately jeopardizing employee safety and well-being.

   Example: Documentation, such as the "Risk Assessment Report" (Document No. RA-2023), reveals gaps in the risk assessment process, notably the absence of references to legal requirements. This oversight may undermine compliance efforts and hinder the effectiveness of safety measures within the organization. FORM NO: XXX

8. **Lack of Updates for Documented Information:** Documented information on legal requirements is not regularly updated to reflect changes, compromising the organization's compliance efforts. This neglect can lead to outdated practices, increased risks of violations, and a lack of awareness among employees regarding their legal obligations.

   Example: The documented requirements list, such as the "Legal Requirement List" (Last Updated: March 2020), shows no updates for several years. This stagnation poses a significant risk of non-compliance and suggests a lack of responsiveness to evolving legal obligations and standards. FORM NO: XXX

9. **Inconsistent Application across Departments:** Different departments exhibit inconsistent practices concerning the application of legal requirements. This lack of uniformity can lead to compliance gaps, increased risk of legal violations, and potential confusion among employees, underscoring the need for standardized procedures and enhanced communication across the organization.

   Example: Comparative audit reports, such as the "Department Compliance Comparison" (Document No. DCC-2023), indicate discrepancies in compliance practices across departments. These inconsistencies highlight the need for corrective actions to align practices with legal requirements and enhance overall organizational compliance efforts. FORM NO: XXX

10. **Absence of Stakeholder Input:** There is no documented process for gathering input from relevant stakeholders regarding legal requirements. This absence may lead to overlooked insights and concerns, diminishing the organization's ability to address compliance issues effectively and hindering collaboration in maintaining regulatory adherence.

    Example: Meeting minutes and feedback forms reveal a lack of discussions on legal compliance during stakeholder meetings. This oversight can hinder effective communication regarding regulatory obligations, reducing awareness of compliance issues and potentially compromising the organization's ability to address legal requirements adequately. FORM NO: XXX

6 PLANNING

1. STANDARD REQUIREMENTS:

6.1.4 PLANNING ACTION

The organization shall plan:

a) actions to:

1. Address these risks and opportunities (see 6.1.2.2 and 6.1.2.3);
2. Address legal requirements and other requirements (see 6.1.3);
3. Prepare for and respond to emergency situations (see 8.2);

b) how to:

1. Integrate and implement the actions into its OH&S management system processes or other business processes;
2. Evaluate the effectiveness of these actions.

The organization shall take into account the hierarchy of controls (see 8.1.2) and outputs from the OH&S management system when planning to take action.

When planning its actions, the organization shall consider best practices, technological options and financial, operational and business requirements.

2. EXPLAINATION:

a) Actions to Plan

1. **Address Risks and Opportunities (Referencing 6.1.2.2 and 6.1.2.3):** Organizations must proactively identify potential risks and opportunities associated with their occupational health and safety (OH&S) management system. By systematically assessing these factors, they can develop targeted action plans to mitigate risks and capitalize on opportunities. This proactive approach not only enhances workplace safety and improves regulatory compliance but also fosters a culture of continuous improvement, ensuring that the organization remains resilient and responsive to changing safety dynamics and legal requirements.

   Example: A construction company recognizes that operating heavy machinery presents a significant risk to worker safety. In response, they plan to implement comprehensive safety training programs to educate employees on safe machinery operation practices. Additionally, the company will provide personal protective equipment (PPE) to ensure that workers are adequately protected while on the job. This proactive approach aims to enhance safety, reduce accidents, and promote a culture of safety awareness among employees.

2. **Address Legal and Other Requirements (Referencing 6.1.3):** Organizations must thoroughly understand and comply with legal obligations concerning health and safety, which encompass national regulations, industry standards, and other relevant requirements. Adhering to these obligations is essential for ensuring a safe work environment, minimizing risks, and protecting employee well-being. Compliance not only helps organizations avoid legal penalties but also fosters a culture of safety, promoting trust and engagement among employees while enhancing overall operational effectiveness and reputation.

Example: An organization in the chemical manufacturing sector is required to comply with stringent regulations regarding the handling and storage of hazardous materials. To ensure adherence to these regulations, they plan to conduct regular audits that evaluate compliance practices. By identifying and addressing any gaps discovered during these audits, the organization aims to enhance safety protocols, mitigate risks associated with hazardous materials, and maintain a secure working environment for all employees.

3. **Prepare for and Respond to Emergency Situations (Referencing 8.2):** Organizations should develop and implement comprehensive emergency response plans to effectively address potential emergency situations, prioritizing worker safety and minimizing damage. These plans should outline clear procedures for evacuation, communication, and resource allocation during emergencies. Regular training and drills are essential to ensure that employees are familiar with the protocols and can respond swiftly. By fostering a culture of preparedness, organizations can enhance resilience and protect both personnel and assets.

   Example: A manufacturing facility has developed a comprehensive emergency response plan that includes detailed evacuation procedures to ensure the safe exit of employees during emergencies. The plan incorporates first-aid training for staff, equipping them with essential skills to respond effectively in crisis situations. Additionally, regular fire drills are conducted to enhance preparedness for potential incidents, such as chemical spills or fires, ensuring that all personnel are familiar with emergency protocols and can act swiftly when necessary.

b) How to Plan

1. **Integrate and Implement Actions into OH&S Management System Processes:** The planned actions must be seamlessly integrated into existing occupational health and safety (OH&S) processes as well as other relevant business operations. This integration ensures that safety measures become a fundamental part of the organizational culture and daily activities. By aligning OH&S initiatives with broader business objectives, organizations can enhance overall safety performance, improve compliance, and foster a proactive approach to risk management, ultimately promoting a safer workplace for all employees.

   Example: A logistics company has successfully integrated safety checks into its daily operations by mandating that drivers complete a pre-trip safety checklist before using any vehicles. This proactive measure ensures that safety actions become a routine part of operational processes, enhancing accountability and reducing the risk of accidents on the road. By fostering a culture of safety, the company not only protects its drivers but also promotes overall operational efficiency and compliance with safety regulations.

2. **Evaluate the Effectiveness of These Actions:** Organizations should implement methods to evaluate the effectiveness of their planned actions, ensuring a commitment to continuous improvement. This can involve establishing key performance indicators (KPIs), conducting regular reviews, and soliciting feedback from employees. By analysing the outcomes of safety initiatives and identifying areas for enhancement, organizations can adapt their strategies, refine processes, and foster a culture of proactive risk management, ultimately leading to a safer and more efficient workplace.

   Example: The facility prioritizes safety by conducting regular audits and gathering employee feedback on safety practices. These audits assess compliance with safety

protocols, while employee surveys provide insights into perceptions of safety measures. Additionally, the organization tracks incidents and near misses to evaluate the effectiveness of implemented safety measures. This comprehensive approach allows the facility to identify areas for improvement and take further actions as needed to enhance workplace safety continuously.

- **Additional Considerations**

1. **Hierarchy of Controls (Referencing 8.1.2):** When planning actions, organizations should consider the hierarchy of controls, a systematic approach that prioritizes methods for effectively managing risks. This framework encourages the use of elimination or substitution of hazards whenever possible, followed by engineering controls, administrative measures, and personal protective equipment (PPE). By applying this hierarchy, organizations can minimize exposure to hazards and enhance workplace safety, ensuring that risk management strategies are both effective and sustainable in the long term.

   Example: Instead of solely relying on personal protective equipment (PPE), a factory has chosen to implement engineering controls, such as machine guards and ventilation systems, to effectively reduce exposure to hazardous substances. By prioritizing these higher-level controls, the factory aims to minimize risks at the source, enhancing worker safety. This proactive approach not only protects employees but also fosters a safer work environment, demonstrating the organization's commitment to effective risk management and compliance with safety regulations.

2. **Outputs from the OH&S Management System:** The organization should leverage outputs from its existing occupational health and safety (OH&S) management system, including previous audit findings and incident reports, when planning new actions. By analysing this data, the organization can identify trends, recurring issues, and areas for improvement, ensuring that new initiatives address specific risks and enhance overall safety performance. This informed approach not only strengthens compliance but also promotes a culture of continuous improvement within the workplace.

   Example: After reviewing past incident reports, an organization identifies a recurring pattern of slips and falls in the warehouse. In response, they plan to enhance floor maintenance procedures by implementing more frequent cleaning schedules and conducting regular inspections. Additionally, the organization decides to install anti-slip flooring as a preventive measure to significantly reduce the risk of accidents. This proactive approach aims to create a safer work environment and improve overall employee well-being.

3. **Consideration of Best Practices, Technological Options, and Financial, Operational, and Business Requirements:** Organizations should actively explore best practices and technological advancements to enhance their safety initiatives while ensuring that actions align with their financial and operational capabilities. By integrating innovative solutions and proven methodologies, organizations can improve efficiency and risk management. This strategic approach enables them to optimize resource allocation, enhance employee safety, and maintain compliance with regulations, ultimately fostering a culture of continuous improvement and resilience in an ever-evolving business landscape.

Example: A healthcare organization evaluates the implementation of automated safety systems designed to monitor staff interactions with hazardous materials. They conduct a thorough assessment of the costs associated with these technologies against the potential benefits, such as enhanced safety, reduced incidents, and improved compliance. This evaluation takes into account the organization's budget and operational capacity, ensuring that any investment aligns with their overall strategic goals and commitment to workplace safety and efficiency.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The OH&S policy document outlines the organization's commitment to occupational health and safety. It serves as a framework for establishing objectives, ensuring compliance with legal requirements, and promoting a culture of safety. Auditors should verify its alignment with the organization’s strategic goals.

2. **Risk Assessment Reports:** Risk assessment reports detail the identification and evaluation of workplace hazards. They should include the methodology used, identified risks, severity ratings, and actions taken to mitigate those risks. Auditors must check for updates and effectiveness of implemented controls.

3. **Legal and Other Requirements Register:** This register lists all applicable legal regulations and industry standards affecting OH&S practices. It should include details on compliance obligations and the methods used to monitor changes in legislation. Auditors will review this register to ensure legal compliance.

4. **OH&S Objectives and Targets:** Documented OH&S objectives and targets are essential for measuring performance and progress. They should be specific, measurable, achievable, relevant, and time-bound (SMART). Auditors will assess whether these objectives align with the organization's policy and the effectiveness of actions taken.

5. **Training Records:** Training records demonstrate the organization’s commitment to employee competence regarding health and safety practices. These should include training materials, attendance logs, certifications, and feedback forms. Auditors will ensure that training is adequate, relevant, and regularly updated.

6. **Emergency Preparedness and Response Plans:** Emergency preparedness plans outline procedures for responding to workplace emergencies. They should detail roles, responsibilities, and evacuation routes. Auditors will examine training records for drills conducted and the effectiveness of the plans in practice to ensure preparedness.

7. **Incident Reports and Investigation Records:** Incident reports document accidents, near misses, and unsafe conditions. Investigation records should include root cause analyses and corrective actions taken. Auditors will evaluate these records to assess the organization’s response to incidents and effectiveness in preventing future occurrences.

8. **Audit and Inspection Reports:** Audit and inspection reports provide insights into the organization’s compliance and performance regarding OH&S standards. They should

outline findings, corrective actions, and timelines. Auditors will review these documents to assess how well the organization monitors and improves its processes.

9. **Meeting Minutes:** Minutes from management reviews and safety committee meetings capture discussions on OH&S performance and improvement initiatives. They should include attendees, topics discussed, decisions made, and action items. Auditors will check for follow-up on previously identified issues and commitments.

10. **Workplace Inspection Checklists:** Checklists used during workplace inspections help identify hazards and ensure compliance with safety regulations. They should be systematic and regularly updated. Auditors will review completed checklists to assess the thoroughness of inspections and actions taken in response to identified issues.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document Review:** Reviewed the organization's occupational health and safety (OH&S) policy document to ensure alignment with ISO 45001:2018 requirements and the organization's objectives. This assessment is crucial for maintaining compliance and promoting a culture of safety throughout the organization evidence. Example: OH&S Policy Document No. OHSP-2023-01, dated January 15, 2023, signed by John Doe, Managing Director.

2. **Risk Assessment Report:** Verified the risk assessment report detailing identified hazards and the implemented controls designed to mitigate risks in the workplace. This review is essential for ensuring that appropriate measures are in place to protect employee health and safety effectively evidence. Example: Risk Assessment Report No. RAR-2023-045, completed on February 20, 2023, identifying risks associated with chemical handling.

3. **Legal and Other Requirements Register:** Examined the legal requirements register to confirm that the organization is aware of and complies with relevant regulations. This review is vital for maintaining legal compliance and avoiding potential penalties associated with non-compliance in the organization's operations reviewed. Example: Legal Register No. LEG-2023-007, updated on March 5, 2023, covering compliance with Occupational Safety and Health Act 1970.

4. **Training Records:** Reviewed training records to confirm that all employees received mandatory health and safety training in accordance with organizational policy. This verification ensures that the workforce is adequately equipped with the necessary knowledge to maintain a safe working environment reviewed. Example: Training Attendance Record No. TAR-2023-023, dated April 10, 2023, for "Workplace Safety Training" attended by 30 employees.

5. **Emergency Preparedness Plan:** Evaluated the emergency preparedness plan for completeness and effectiveness, confirming it includes detailed procedures for various scenarios. This assessment is crucial for ensuring that the organization can respond appropriately to emergencies and protect the safety of all personnel verified. Example: Emergency Response Plan No. ERP-2023-012, established on April 30, 2023, includes comprehensive procedures for responding to fire incidents and chemical spills. This plan is

essential for ensuring prompt and effective actions to safeguard employees and minimize potential hazards.

6. **Incident Report Documentation:** Checked incident report documentation for accidents and near misses, verifying that thorough investigations were conducted and appropriate corrective actions were implemented. This review is vital for enhancing workplace safety and preventing recurrence of similar incidents in the future evidence. Example: Incident Report No. IR-2023-018, dated May 15, 2023, documenting a near-miss incident involving a forklift and corrective actions implemented.

7. **Internal Audit Report:** Reviewed the internal audit report for findings related to the occupational health and safety (OH&S) management system, ensuring that corrective actions were identified and implemented. This review is essential for maintaining compliance and continuously improving safety performance within the organization verified. Example: Internal Audit Report No. IAR-2023-027, conducted on June 5, 2023, identifying three non-conformities and action plans.

8. **Meeting Minutes:** Assessed minutes from safety committee meetings to confirm that health and safety issues were discussed and appropriate actions were taken. This evaluation is crucial for ensuring accountability and fostering a proactive approach to workplace safety within the organization reviewed. Example: Safety Committee Meeting Minutes No. SCMM-2023-004, dated July 1, 2023, discussing training needs and incident reviews.

9. **Corrective Action Records:** Evaluated records of corrective actions taken to address identified non-conformities within the occupational health and safety (OH&S) management system. This assessment is critical for ensuring that issues are resolved effectively and preventing recurrence, thereby enhancing overall workplace safety verified. Example: Corrective Action Log No. CAL-2023-009, updated on July 20, 2023, detailing corrective actions for non-conformity identified in audit.

10. **Performance Monitoring Data**
    Analyzed performance monitoring data to assess the organization's progress against occupational health and safety (OH&S) objectives and targets. This analysis is essential for identifying areas of improvement and ensuring that safety goals are met effectively within the organization verified. Example: Performance Measurement Report No. PMR-2023-015, dated August 15, 2023, indicating a 25% reduction in incident rates compared to the previous year.

5. INTERVIEW QUESTIONS:

1. Can you describe the process used to identify and evaluate the risks and opportunities related to occupational health and safety within the organization?
2. What specific actions have been planned and implemented to address the identified risks and opportunities, and how do these actions align with the organization's OH&S objectives?
3. How does the organization ensure compliance with legal and other requirements related to occupational health and safety, and can you provide examples of how these requirements have been integrated into your planning process?

4. Can you provide documentation that demonstrates the actions taken to prepare for and respond to potential emergency situations, including the roles and responsibilities defined for these scenarios?

5. How the planned actions are integrated into the organization's OH&S management system processes, and what steps have been taken to ensure consistency across other business processes?

6. What criteria does the organization use to evaluate the effectiveness of the actions implemented to address risks, legal requirements, and emergency preparedness?

7. Can you provide examples of how the hierarchy of controls has been considered when planning actions to mitigate identified risks?

8. How does the organization monitor and review the outputs from the OH&S management system to inform its planning and decision-making processes?

9. In planning actions, what best practices and technological options has the organization considered, and how were these factors evaluated?

10. Can you share any instances where financial, operational, or business requirements influenced the planning of OH&S actions, and what were the outcomes?
11. How often does the organization review and update its risk assessments and associated action plans to ensure they remain relevant and effective?

12. What mechanisms are in place to ensure that employees are involved in the planning and implementation of actions related to occupational health and safety?

13. Can you describe any training or resources provided to staff to ensure they understand their roles in implementing the planned actions for OH&S?

14. How does the organization ensure that lessons learned from previous incidents are incorporated into the planning of future actions?

15. What evidence can you provide that demonstrates on-going monitoring and review of the effectiveness of the implemented actions, and how does this information influence future planning?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Risk Management:** The organization effectively identifies and assesses risks and opportunities related to occupational health and safety. Their documented processes emphasize continuous improvement, demonstrating a proactive stance that minimizes potential hazards and promotes a safer workplace for all employees.

2. **Comprehensive Legal Compliance:** The organization has established a thorough system for monitoring legal requirements and relevant obligations. By ensuring compliance with applicable regulations, they demonstrate a strong commitment to maintaining high standards of occupational health and safety, protecting both employees and the organization.

3. **Emergency Preparedness:** The organization has implemented detailed emergency preparedness plans, which are regularly reviewed and practiced. This proactive approach ensures that employees understand their roles during emergencies, significantly enhancing the organization's ability to respond effectively to various crisis situations.

4. **Integration into Business Processes:** The integration of OH&S actions into broader business processes reflects the organization's commitment to embedding safety in its operational framework. This alignment fosters a safety-first culture, enhancing overall performance and demonstrating the importance of health and safety at all levels.

5. **Effective Evaluation Mechanisms:** The establishment of clear metrics and criteria for evaluating the effectiveness of planned actions enables the organization to make informed, data-driven decisions. This systematic approach ensures that safety initiatives are continuously improved, leading to enhanced occupational health and safety outcomes.

6. **Use of Hierarchy of Controls:** The consistent application of the hierarchy of controls showcases the organization's structured approach to risk mitigation. By prioritizing preventive measures, they effectively minimize hazards, contributing to a safer work environment and demonstrating a strong understanding of risk management principles.

7. **Stakeholder Involvement:** The organization places significant emphasis on involving employees and stakeholders in the planning process. This inclusive approach fosters a culture of safety, encouraging active participation in occupational health and safety initiatives and empowering employees to contribute to their well-being.

8. **Adoption of Best Practices:** Actively seeking and implementing best practices in occupational health and safety demonstrates the organization's commitment to excellence. Staying current with industry standards and innovations not only enhances safety performance but also positions the organization as a leader in the field.

9. **Resource Allocation:** By allocating adequate resources—financial, technological, and human—the organization ensures the successful implementation and maintenance of planned actions. This commitment to resource management reflects a strong dedication to achieving occupational health and safety objectives effectively.

10. **Continuous Review and Improvement:** The organization's commitment to regularly reviewing risk assessments and action plans ensures they remain relevant and effective. This proactive approach allows the organization to adapt to changing conditions and emerging risks, fostering a culture of continuous improvement in occupational health and safety practices.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Insufficient Documentation of Risks:** The organization may lack comprehensive documentation of identified risks and opportunities, leading to potential oversights in critical areas. This could result in unaddressed hazards, ultimately jeopardizing employee safety and compliance with established occupational health and safety standards.

2. **Lack of Regular Updates:** Without regular reviews and updates of risk assessments and action plans, the organization risks using outdated information. This could hinder their ability to respond effectively to current operational conditions and emerging safety concerns, impacting overall safety performance.

3. **Limited Stakeholder Engagement:** The planning process might not adequately involve input from employees or stakeholders. This limited engagement can result in a lack of practical insights, reducing employee buy-in and ownership of health and safety initiatives, ultimately affecting implementation effectiveness.

4. **Weak Integration into Business Processes:** Actions related to occupational health and safety may not be seamlessly integrated into broader business processes. This misalignment can cause health and safety considerations to be deprioritized, leading to potential lapses in safety measures across the organization.

5. **Inadequate Emergency Preparedness:** Emergency preparedness plans may be poorly defined or inadequately communicated, creating unpreparedness among employees during emergencies. This could lead to confusion and ineffective responses, significantly increasing the risk of injury or harm in crisis situations.

6. **Deficiencies in Legal Compliance Tracking:** The organization may lack a robust system for tracking legal and other requirements. This deficiency could lead to unintentional non-compliance, exposing the organization to legal liabilities and potentially damaging its reputation in the industry.

7. **Limited Use of Hierarchy of Controls:** Insufficient application of the hierarchy of controls may result in the organization relying on less effective measures for risk mitigation. This can diminish the effectiveness of safety interventions, leaving employees exposed to potentially hazardous conditions.

8. **Lack of Evaluation Metrics:** The absence of clear metrics for evaluating the effectiveness of implemented actions can hinder performance assessment. This lack of evaluation may prevent the organization from identifying areas for improvement, ultimately stalling progress in achieving OH&S objectives.

9. **Inadequate Training on Best Practices:** The organization might not provide sufficient training on best practices and technological options for occupational health and safety. This inadequacy limits employees' understanding of safety protocols, potentially compromising their ability to implement effective safety measures in their roles.

10. **Financial Resource Constraints:** Insufficient financial resources allocated for planned actions can restrict the organization’s capacity to address identified risks adequately. This constraint can lead to a failure in implementing necessary safety improvements, ultimately affecting the overall effectiveness of the OH&S management system.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Documented Action Plans:** The organization currently lacks documented action plans for addressing identified risks and opportunities, which may hinder its ability to effectively manage potential threats and capitalize on favourable situations, ultimately impacting its overall performance and strategic objectives.

   Example: No records or action plan documents, such as AP-2024-001, addressing the identified risks are available for review. This absence may limit the organization's capacity to effectively manage these risks and demonstrate compliance with established safety and operational standards. FORM NO: XXX

2. **Inadequate Legal Requirement Tracking:** The organization has not established a system for tracking applicable legal and other requirements, which may result in non-compliance with regulations and standards. This oversight can expose the organization to legal risks and potential penalties, affecting overall operational integrity.

   Example: There is no compliance matrix or register, such as CR-2024, detailing applicable laws and regulations. This absence of documentation could impair the organization's compliance efforts, heightening the risk of legal penalties and potential regulatory violations in its operations. FORM NO: XXX

3. **Insufficient Emergency Preparedness Plans:** Emergency response plans are either non-existent or lack sufficient detail, which could hinder the organization's ability to effectively respond to emergencies. This deficiency may result in confusion during critical situations, potentially compromising employee safety and organizational continuity.

   Example: The emergency response plan document, such as ERP-2024, lacks comprehensive details regarding evacuation procedures and defined roles during emergencies. This deficiency may lead to confusion and inefficiency in responding to critical situations, jeopardizing employee safety and organizational effectiveness. FORM NO: XXX

4. **Failure to Integrate OH&S into Business Processes:** Actions related to occupational health and safety (OH&S) are not adequately integrated into other business processes. This lack of integration may result in missed opportunities for enhancing workplace safety, reducing risks, and fostering a culture of health and safety within the organization.

   Example: Meeting minutes, such as MM-2024-02, indicate that health and safety considerations were excluded from strategic planning discussions. This oversight may hinder the organization's ability to prioritize safety initiatives, potentially compromising employee well-being and regulatory compliance in future operations. FORM NO: XXX

5. **Lack of Evaluation Metrics for Actions:** There are no defined metrics established to assess the effectiveness of the planned actions. This absence of evaluation criteria may hinder the organization's ability to measure progress, identify areas for improvement, and ensure accountability in achieving its objectives.

   Example: Evaluation reports, such as ER-2024, do not specify any performance indicators related to health and safety actions. This lack of relevant metrics may impede the organization's ability to assess the effectiveness of its safety initiatives and drive continuous improvement. FORM NO: XXX

6. **Poor Implementation of the Hierarchy of Controls:** The organization does not adequately apply the hierarchy of controls when planning risk mitigation actions. This oversight may lead to ineffective risk management strategies, increasing the likelihood of hazards and compromising overall workplace safety and employee well-being.

   Example: The risk assessment document, such as RA-2024, demonstrates a reliance on personal protective equipment (PPE) instead of focusing on eliminating or substituting hazards. This approach may leave underlying risks unaddressed, potentially compromising workplace safety and employee health. FORM NO: XXX

7. **Insufficient Stakeholder Involvement in Planning:** There is no evidence of stakeholder consultation during the planning process, which may result in overlooked insights and concerns. This lack of engagement can hinder the effectiveness of the plans and reduce stakeholder buy-in and support for implementation.

   Example: Planning meeting notes, such as PM-2024-03, indicate that employee representatives were neither involved nor consulted. This exclusion may result in a lack of diverse perspectives, potentially undermining the effectiveness of the planning process and diminishing employee engagement and morale. FORM NO: XXX

8. **Inconsistent Review of Action Plans:** Action plans are not regularly reviewed and updated in response to changes in risks or operational context. This lack of on-going evaluation may lead to outdated strategies, increasing vulnerability to unforeseen issues and compromising the organization's ability to effectively manage risks.

   Example: Action plan review logs, such as APR-2024, reveal that the last review took place over a year ago, despite significant operational changes. This delay may prevent the organization from adapting to new challenges and effectively managing associated risks. FORM NO: XXX

9. **Neglecting Technological Options:** The organization fails to consider technological options that could improve safety management. This oversight may result in missed opportunities to enhance safety protocols, streamline processes, and leverage innovative solutions to mitigate risks and protect employee well-being effectively.

   Example: Safety management meeting agendas, such as SM-2024-04, lack discussions regarding the adoption of new safety technologies. This absence of dialogue may hinder the organization's ability to explore innovative solutions that could enhance safety measures and improve overall workplace safety management. FORM NO: XXX

10. **Inadequate Training on New Processes:** Employees have not received adequate training on newly implemented occupational health and safety (OH&S) processes. This lack of training may lead to misunderstandings, improper execution of safety protocols, and increased risk of workplace incidents or injuries.

    Example: Training records, such as TR-2024, indicate that there are no scheduled training sessions for staff regarding recent changes to safety protocols. This gap may leave employees uninformed and unprepared to implement updated procedures, compromising workplace safety and compliance. FORM NO: XXX

6 PLANNING

1. STANDARD REQUIREMENTS:

6.2 OH&S OBJECTIVES AND PLANNING TO ACHIEVE THEM

6.2.1 OH&S OBJECTIVES

The organization shall establish OH&S objectives at relevant functions and levels in order to maintain and continually improve the OH&S management system and OH&S performance (see 10.3).

The OH&S objectives shall:

a) Be consistent with the OH&S policy;

b) Be measurable (if practicable) or capable of performance evaluation;

c) Take into account:

1) Applicable requirements;

2) The results of the assessment of risks and opportunities (see 6.1.2.2 and 6.1.2.3);

3) The results of consultation with workers (see 5.4) and, where they exist, workers' representatives;

a) Be monitored;

b) Be communicated;

c) Be updated as appropriate.

2. EXPLAINATION:

1. **Establishing OH&S Objectives:** The organization is required to establish occupational health and safety (OH&S) objectives at relevant functions and levels. This ensures that all employees clearly understand their roles and responsibilities in achieving OH&S goals. By setting specific, measurable objectives, the organization fosters a culture of safety, encourages accountability, and aligns efforts across various departments, ultimately enhancing overall safety performance and reducing workplace hazards for all employees.

   Example: A manufacturing company aims to reduce workplace injuries by 20% over the next year. To achieve this objective, each department, including production and maintenance, is tasked with identifying specific actions that contribute to this goal. By encouraging departments to devise targeted strategies—such as enhanced training, improved safety protocols, and regular equipment inspections—the organization promotes a proactive safety culture and ensures that every employee plays a vital role in injury reduction efforts.

2. **Consistency with OH&S Policy:** The objectives must align with the organization's overall Occupational Health and Safety (OH&S) policy to ensure consistency and coherence. This alignment guarantees that the goals support the overarching commitment to health and safety, reinforcing the organization's dedication to protecting employees and promoting a safe work environment. By integrating specific objectives with the broader policy, the organization fosters accountability and enhances the effectiveness of its health and safety initiatives across all levels.

Example: If the Occupational Health and Safety (OH&S) policy emphasizes a safe working environment and compliance with regulations, the objectives could focus on reducing incidents of non-compliance. This can be achieved by conducting regular audits, identifying areas for improvement, and implementing corrective actions. By setting specific, measurable objectives related to compliance, the organization reinforces its commitment to safety, promotes accountability, and ensures that employees understand the importance of adhering to safety regulations.

3. **Measurable Objectives:** Objectives should be measurable whenever practicable, enabling the organization to evaluate performance against set targets effectively. By establishing clear metrics, such as injury rates, compliance levels, or training completion percentages, the organization can track progress over time. This data-driven approach facilitates informed decision-making, allows for timely adjustments to strategies, and ensures that the organization remains focused on achieving its Occupational Health and Safety (OH&S) goals while promoting continuous improvement.

   Example: Instead of a vague objective like "improve training," a measurable objective could be "achieve a 95% completion rate for OH&S training sessions among employees by the end of Q2." This specific target provides clarity and focus, enabling the organization to track progress effectively. By setting quantifiable goals, it becomes easier to assess the impact of training initiatives and ensure that employees are well-prepared to contribute to a safer workplace environment.

4. **Consideration of Applicable Requirements:** Objectives should take into account applicable legal and regulatory requirements to ensure that the organization meets its legal obligations. For instance, a company might set an objective to maintain compliance with health and safety regulations by conducting quarterly audits. By integrating legal considerations into its objectives, the organization not only fulfils its responsibilities but also minimizes the risk of penalties and enhances its reputation as a compliant and responsible entity.

   Example: A construction company could establish an objective to fully comply with all local safety regulations concerning the use of protective equipment. This would involve ensuring that all workers have access to appropriate safety gear and consistently wear it on-site. By doing so, the company enhances workplace safety, reduces the risk of accidents, and demonstrates a commitment to adhering to legal requirements, ultimately fostering a culture of safety among employees.

5. **Assessment of Risks and Opportunities:** When establishing objectives, the organization must take into account the results of risk assessments, which highlight potential hazards and vulnerabilities. By prioritizing actions based on these identified risks, the organization can focus on areas that require immediate attention and resources. This approach ensures that safety measures effectively address the most critical issues, thereby enhancing the overall effectiveness of the Occupational Health and Safety (OH&S) management system and promoting a safer workplace environment.

   Example: If a risk assessment identifies slips and falls as a major hazard, the organization could establish a specific objective to implement anti-slip flooring in high-risk areas within six months. This measurable goal addresses the identified risk directly, enhancing workplace safety and reducing the likelihood of accidents. By setting a clear timeline for

this action, the organization demonstrates its commitment to proactively mitigating hazards and ensuring a safer environment for all employees.

6. **Consultation with Workers:** Involving workers and their representatives in setting objectives is essential for fostering relevance and gaining support from the workforce. By including employees in the process, the organization can ensure that objectives reflect real-world challenges and insights from those directly affected by safety policies. This collaboration enhances buy-in, motivation, and accountability, ultimately leading to more effective implementation of health and safety initiatives and improved workplace outcomes.

   Example: A warehouse manager conducts regular meetings with staff to discuss safety concerns and gather valuable input. After analysing the feedback, they identify inadequate lighting in certain areas as a significant issue. Consequently, they set a specific objective to enhance lighting in those high-risk zones within the next three months, ensuring a safer working environment. This proactive approach demonstrates the commitment to employee well-being and addresses the workers' concerns directly.

7. **Monitoring of Objectives:** Monitoring objectives is essential for assessing progress and ensuring that targets are being met. By regularly reviewing performance data, organizations can identify areas where goals are falling short and make necessary adjustments to strategies and actions. This proactive approach helps to maintain focus on health and safety objectives, enables timely interventions, and ensures continuous improvement within the organization's Occupational Health and Safety (OH&S) management system.

   Example: The Company could implement quarterly reviews to analyze incident reports and training completion rates, ensuring that objectives are effectively pursued. During these reviews, management can evaluate trends, identify areas needing improvement, and assess whether additional resources or adjustments to training programs are necessary. This structured approach promotes accountability and transparency, fostering a culture of safety and continuous improvement throughout the organization's Occupational Health and Safety (OH&S) management system.

8. **Communication of Objectives:** Objectives should be effectively communicated throughout the organization to ensure that all employees understand their importance and their roles in achieving them. Regular updates via meetings, newsletters, and visual displays can help reinforce these goals. Additionally, involving employees in discussions about objectives fosters engagement and accountability. When everyone is aligned and informed, it enhances teamwork and commitment to achieving the organization's Occupational Health and Safety (OH&S) goals.

   Example: The organization can utilize internal newsletters, meetings, and bulletin boards to effectively communicate established Occupational Health and Safety (OH&S) objectives. By highlighting the specific contributions of each department, employees will understand their roles and responsibilities. Regular updates and discussions will reinforce the importance of these objectives, fostering a culture of safety and accountability. This proactive communication approach ensures alignment and engagement across all levels of the organization.

9. **Updating Objectives as Appropriate:** As circumstances evolve or new information emerges, it is essential to regularly review and update the established objectives to maintain their relevance. This proactive approach ensures that the organization's goals align with current risks, regulations, and operational needs. Regular reviews also provide an opportunity to adjust strategies and initiatives based on performance data and stakeholder feedback, ultimately enhancing the effectiveness of the Occupational Health and Safety (OH&S) management system.

   Example: If a new regulatory requirement is introduced, the organization must revise its Occupational Health and Safety (OH&S) objectives to ensure compliance. This could involve enhancing training programs focused on the new regulations, ensuring all employees understand their responsibilities and the implications of the changes. Additionally, revisiting policies and procedures related to the regulation will help maintain a safe work environment and demonstrate the organization's commitment to health and safety standards.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The OH&S policy document outlines the organization's commitment to occupational health and safety, setting the framework for establishing objectives. Auditors should verify that the objectives align with this policy, demonstrating a clear connection between organizational values and safety practices.

2. **OH&S Objectives Statement:** This statement specifies the established OH&S objectives at various functions and levels within the organization. It should detail the goals' nature, intended outcomes, and how they contribute to overall safety performance, ensuring clarity and accountability in achieving these objectives.

3. **Risk Assessment Reports:** Risk assessment reports identify workplace hazards and associated risks, providing a foundation for setting relevant OH&S objectives. Auditors should review these reports to ensure that established objectives address significant risks and are grounded in thorough and systematic evaluations.

4. **Consultation Records:** Documentation of consultation processes should include minutes from meetings, feedback surveys, or suggestion forms. These records demonstrate how workers were involved in setting OH&S objectives, ensuring that employee concerns and insights are considered in decision-making, promoting engagement and compliance.

5. **Performance Evaluation Metrics:** Performance evaluation metrics outline how the organization will measure progress toward achieving OH&S objectives. Auditors should check these metrics for clarity and relevance, ensuring they provide a basis for assessing effectiveness, tracking improvements, and facilitating necessary adjustments to objectives.

6. **Training Records:** Training records document all training sessions related to OH&S objectives, including content, attendance, and evaluation methods. Auditors must verify that training effectively equips employees with the knowledge and skills needed to meet safety objectives and understand their roles in achieving them.

7. **Monitoring and Measurement Records:** These records detail the processes used to monitor and measure compliance with OH&S objectives, including audit results, inspection findings, and performance reviews. Auditors should evaluate these records for consistency, accuracy, and effectiveness in tracking the organization's safety performance.

8. **Internal Audit Reports:** Internal audit reports assess the effectiveness of the OH&S management system and its compliance with objectives. Auditors should review these reports to identify areas of improvement, non-conformities, and recommendations made to enhance the overall effectiveness of the management system.

9. **Management Review Minutes:** Minutes from management reviews capture discussions regarding the performance of OH&S objectives, including challenges faced and actions taken. Auditors should assess these records for evidence of leadership commitment, oversight, and strategic direction in improving health and safety performance.

10. **Action Plans:** Action plans outline specific steps taken to address non-conformities or enhance OH&S performance. Auditors should verify that these plans are documented, tracked, and effectively implemented, ensuring timely resolution of issues and continuous improvement in health and safety practices.

4. **OBJECTIVE EVIDENCES:**

1. **OH&S Policy Document Review:** The review confirms that the Occupational Health and Safety (OH&S) policy document aligns with the established objectives, ensuring that all goals support the organization’s commitment to maintaining a safe work environment and compliance with relevant regulations and standards verified. Example: Document Number: OHSP-001; Revision Date: 2024-03-01; Approved By: John Doe, Safety Manager.

2. **Establishment of OH&S Objectives:** A comprehensive record of established Occupational Health and Safety (OH&S) objectives for various departments outlines specific targets, responsibilities, and timelines, ensuring that each department contributes effectively to the organization’s overall commitment to health and safety in the workplace evidence. Example: Objective Document Number: OBJ-2024-02; Objectives Established Date: 2024-02-15; Department: Production.

3. **Risk Assessment Reports:** The risk assessment report provides a comprehensive overview of identified hazards, including their potential impacts and associated risks. It outlines necessary mitigation strategies to ensure workplace safety and compliance with Occupational Health and Safety regulations throughout the organization reviewed. Example: Report Number: RAR-2024-03-001; Assessment Date: 2024-03-10; Assessor: Jane Smith, HSE Officer.

4. **Consultation Meeting Minutes:** The meeting minutes document discussions where employees provided input on Occupational Health and Safety objectives. These records include feedback received, suggestions made, and the overall consensus, highlighting worker involvement in shaping effective health and safety initiatives within the organization verified. Example: Meeting Minutes Document Number: MIN-2024-03-005; Meeting Date: 2024-03-12; Attendees: 15 Employees.

5. **Training Completion Records:** Training session records document completed Occupational Health and Safety programs aimed at meeting established objectives. These records include participant lists, training dates, topics covered, and assessment results, ensuring accountability and compliance with the organization's health and safety goals evidence. Example: Training Record Number: TRN-2024-03-015; Training Date: 2024-03-20; Participants: 30 Employees.

6. **Performance Monitoring Reports:** Progress reports outline the organization's performance against established Occupational Health and Safety objectives. These reports include metrics such as incident rates, training completion percentages, and compliance audits, providing insights for necessary adjustments to strategies and on-going improvement efforts verified. Example: Monitoring Report Number: MON-2024-04-001; Report Date: 2024-04-05; Injury Rate: 2% Reduction.

7. **Internal Audit Reports:** The internal audit report evaluates the organization's adherence to established Occupational Health and Safety objectives, identifying areas of compliance and non-compliance. It includes recommendations for improvement, corrective actions taken, and a summary of findings to enhance safety management practices reviewed. Example: Internal Audit Report Number: AUD-2024-04-002; Audit Date: 2024-04-10; Auditor: Mark Johnson.

8. **Management Review Meeting Minutes:** Minutes from meetings document discussions on the performance of Occupational Health and Safety objectives, including evaluations of progress, challenges faced, and action items for improvement. These records ensure accountability and provide a framework for on-going safety enhancements within the organization verified. Example: Management Review Minutes Number: MRM-2024-04-003; Review Date: 2024-04-15; Participants: Executive Team.

9. **Corrective Action Records:** Documentation of corrective actions taken in response to non-conformities related to Occupational Health and Safety objectives includes detailed records of identified issues, actions implemented to address them, and evaluations of the effectiveness of these measures in achieving compliance evidence. Example: Corrective Action Number: CAR-2024-03-020; Action Taken Date: 2024-03-25; Responsible Person: Alice Brown, Safety Officer.

10. **Incident Report Documentation:** Records of workplace incidents provide essential data for evaluating Occupational Health and Safety objectives. These records detail the nature, frequency, and causes of incidents, allowing the organization to assess performance, identify trends, and implement necessary corrective actions effectively verified. Example: Incident Report Number: IR-2024-04-010; Incident Date: 2024-04-02; Involved Employee: Tom Wilson.

5. INTERVIEW QUESTIONS:

1. How does the organization ensure that the established OH&S objectives are consistent with the overall OH&S policy?
2. Can you provide examples of the specific OH&S objectives set for different functions or departments within the organization?
3. How do you measure or evaluate the performance of the established OH&S objectives? Are there any specific metrics used?
4. What applicable legal and other requirements have been taken into consideration when establishing the OH&S objectives?
5. Can you explain the process used to assess risks and opportunities that may influence the OH&S objectives?
6. How does the organization ensure the involvement of workers in the consultation process when establishing OH&S objectives?
7. Are there documented records of consultations with workers or their representatives regarding OH&S objectives? Can you show me these records?
8. What methods are used to monitor progress towards achieving the established OH&S objectives, and how frequently is this done?
9. Can you provide examples of how the organization communicates the OH&S objectives to employees at all levels?
10. How often are the OH&S objectives reviewed and updated to ensure they remain relevant and effective?
11. What corrective actions are taken if there is a failure to meet the established OH&S objectives? Can you provide any recent examples?
12. How are changes in legal requirements or organizational processes reflected in the updates to OH&S objectives?
13. Are there any documented performance evaluations that demonstrate the effectiveness of the established OH&S objectives?
14. How does management demonstrate its commitment to achieving the OH&S objectives within the organization?
15. Can you provide documentation or reports that reflect the outcomes of monitoring activities related to OH&S objectives?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Alignment with OH&S Policy:** The organization has successfully established OH&S objectives that directly align with its overarching OH&S policy, reflecting a strong commitment to maintaining a safe work environment. This alignment ensures that all safety initiatives support the organization's strategic goals.
2. **Measurable Objectives:** The organization has defined specific, measurable OH&S objectives, enabling effective performance evaluation. By quantifying targets, management can track progress accurately, fostering accountability at all levels and motivating employees to engage actively in achieving these safety-related goals.
3. **Inclusion of Applicable Requirements:** The auditee has taken significant steps to ensure that their OH&S objectives consider all applicable legal and regulatory requirements. This proactive approach not only aids compliance but also mitigates risks associated with potential legal ramifications related to workplace safety.
4. **Risk Assessment Integration:** The organization effectively integrates the findings from comprehensive risk assessments into its OH&S objectives. By addressing real risks identified through this process, the objectives remain relevant, ensuring that resources are allocated to the most critical areas for improvement.
5. **Worker Consultation:** The auditee prioritizes involving workers and their representatives in consultations to develop OH&S objectives. This inclusive approach fosters a culture of safety, encourages employee buy-in, and ensures that the objectives reflect the experiences and concerns of those most affected by them.
6. **Effective Monitoring Mechanisms:** Robust monitoring mechanisms are in place to track progress towards achieving OH&S objectives. Regular performance reviews and audits enable the organization to identify areas for improvement, making it possible to implement timely corrective actions when necessary.
7. **Transparent Communication:** The organization has established a clear communication strategy for disseminating OH&S objectives to all employees. This transparency not only promotes awareness but also encourages active participation and commitment from staff at all levels to enhance workplace safety.
8. **Regular Updates and Reviews:** A systematic process for reviewing and updating OH&S objectives is implemented, ensuring they remain relevant amidst evolving workplace conditions. Regular assessments allow the organization to adapt its safety goals to new challenges and opportunities, demonstrating flexibility and responsiveness.
9. **Documented Evidence of Commitment:** The presence of comprehensive documentation, such as meeting minutes and training records, highlights the organization's commitment to achieving OH&S objectives. This transparency reflects an organizational culture that values accountability and continuous improvement in safety practices.
10. **Positive Outcomes Demonstrated:** The auditee can provide compelling evidence of positive outcomes resulting from their OH&S objectives, such as reduced incident rates and improved employee safety perceptions. These outcomes not only reflect the effectiveness of their management system but also enhance overall workplace morale.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Objective Alignment:** Some established OH&S objectives may not align clearly with the organization's OH&S policy. This misalignment can lead to fragmented safety initiatives that fail to reinforce the organization's overall commitment to creating a safe working environment for employees.
2. **Measurable Criteria:** Certain OH&S objectives lack specific measurable criteria, which hinders the organization's ability to evaluate their effectiveness. Without clear metrics, it becomes challenging to track progress, hold teams accountable, or identify areas needing improvement in safety performance.
3. **Risk Assessment Integration:** There is an opportunity to enhance the integration of risk assessment findings into OH&S objectives. Some objectives may not adequately address the risks identified during assessments, leaving potential safety issues unmitigated and increasing the likelihood of incidents.
4. **Worker Consultation Involvement:** Insufficient evidence of worker involvement in establishing OH&S objectives may result in objectives that overlook critical employee concerns. Engaging workers ensures that safety objectives reflect real workplace conditions and improve overall safety culture through shared responsibility.
5. **Monitoring Frequency:** Current monitoring mechanisms may be too infrequent or lack rigor, which could allow safety issues to develop unnoticed. Increasing the frequency and thoroughness of monitoring can help identify potential hazards before they escalate into significant problems.
6. **Communication Strategy:** The communication of OH&S objectives may not be consistent across the organization, leading to gaps in employee awareness. A clear and effective communication strategy is essential for ensuring all employees understand their roles in achieving safety objectives.
7. **Update Process:** The absence of a defined process for regularly updating OH&S objectives can lead to stagnation. As workplace conditions and risks change, it's crucial to adapt safety objectives to remain relevant and effective in addressing current challenges.
8. **Documentation Gaps:** Incomplete or inconsistent documentation regarding the establishment and evaluation of OH&S objectives can hinder compliance verification during audits. Comprehensive documentation is essential for transparency, accountability, and continuous improvement in the OH&S management system.
9. **Training on OH&S Objectives:** Employees may not receive adequate training related to established OH&S objectives, resulting in a lack of understanding and engagement. Training programs should be implemented to ensure all staff comprehend their safety responsibilities and the importance of achieving objectives.
10. **Resource Allocation:** The organization might not allocate sufficient resources, including personnel and funding, to achieve OH&S objectives effectively. Ensuring appropriate resource allocation is critical for supporting safety initiatives and enhancing overall workplace safety performance.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Defined OH&S Objectives:** The organization lacks defined Occupational Health and Safety (OH&S) objectives across different functions. This absence hinders the ability to promote safety initiatives, evaluate performance effectively, and ensure compliance with health and safety regulations, potentially increasing risks within the workplace.

   Example: A review of the Occupational Health and Safety (OH&S) management system documentation indicates that there are no documented objectives. The related document is identified as "OH&S Policy 2023-001," highlighting a gap in the system's effectiveness and clarity. FORM NO: XXX

2. **Inconsistency with OH&S Policy:** Several established Occupational Health and Safety (OH&S) objectives do not align with the organization's OH&S policy. This misalignment may hinder the effectiveness of the safety management system and compromise the organization’s commitment to maintaining a safe working environment.

   Example: A comparison of documented objectives against the OH&S policy reveals significant misalignment, as detailed in the report titled "Policy Review 2023-004." This discrepancy raises concerns regarding the effectiveness of the organization’s commitment to achieving its health and safety goals. FORM NO: XXX

3. **Absence of Measurable Criteria:** The established OH&S objectives do not include specific, measurable criteria, making it difficult to evaluate performance effectively. This lack of clarity hinders the organization’s ability to track progress and ensure that safety goals are being achieved consistently.

   Example: The objective “Reduce accidents by 20%” is not supported by quantifiable metrics or performance indicators, as indicated in the document “Safety Performance Metrics 2023-005.” This absence limits the organization's ability to effectively measure progress towards achieving this goal. FORM NO: XXX

4. **Neglected Applicable Requirements:** The established OH&S objectives do not take into account relevant legal or regulatory requirements, potentially compromising the organization’s compliance. This oversight may expose the organization to legal risks and hinder its ability to ensure a safe working environment.

   Example: The organization lacks defined Occupational Health and Safety (OH&S) objectives across different functions. This absence hinders the ability to promote safety initiatives, evaluate performance effectively, and ensure compliance with health and safety regulations, potentially increasing risks within the workplace. FORM NO: XXX

5. **Ignored Risk Assessment Findings:** The established objectives fail to incorporate findings from recent risk assessments, indicating a disconnect between identified hazards and the organization's strategic goals. This oversight may hinder effective risk management and compromise workplace safety initiatives, as documented in the risk assessment report.

   Example: The "Risk Assessment Report 2023-007" identifies several risks that remain unaddressed within the OH&S objectives, highlighting a significant misalignment between assessed hazards and the organization's safety goals, which may undermine effective risk mitigation strategies and workplace safety. FORM NO: XXX

6. **Lack of Worker Consultation:** There is inadequate documentation showing that workers or their representatives were involved in the process of establishing OH&S objectives, which undermines the organization's commitment to inclusive practices and may result in objectives that do not address employee concerns effectively.

   Example: The meeting minutes from "OH&S Consultation Meeting 2023-008" reveal a lack of participation from worker representatives, demonstrating a failure to involve employees in the consultation process, which is essential for ensuring their perspectives are considered in OH&S decision-making. FORM NO: XXX

7. **Inadequate Monitoring of Objectives:** The organization does not have a systematic approach to monitor the progress of OH&S objectives, leading to potential gaps in performance evaluation. This oversight may hinder the ability to make informed adjustments and achieve desired safety outcomes effectively.

   Example: The monitoring report “Monthly Safety Review 2023-009” reveals inconsistencies in tracking OH&S objectives, with several objectives lacking documented progress updates. This lack of oversight may impede the organization's ability to identify areas needing improvement or corrective actions effectively. FORM NO: XXX

8. **Poor Communication of Objectives:** Employees lack awareness of the OH&S objectives because the organization has not implemented effective communication strategies. Internal newsletters, meetings, and other channels have not been utilized adequately to disseminate information, resulting in low engagement and understanding among staff.

   Example: Survey results from “Employee Safety Awareness Survey 2023-010” reveal that 70% of employees are unaware of the established OH&S objectives, indicating significant gaps in communication and awareness efforts regarding the organization's safety goals and initiatives among the workforce. FORM NO: XXX

9. **Failure to Update Objectives:** The organization fails to revise OH&S objectives to address changing conditions or emerging risks, which can lead to outdated safety measures and increased vulnerability. This lack of adaptability undermines the effectiveness of the health and safety management system.

   Example: The "Annual Safety Review 2023-011" indicates that OH&S objectives have not been updated, even though there have been significant operational changes. This oversight suggests a lack of responsiveness to evolving workplace conditions and potential safety risks. FORM NO: XXX

10. **Insufficient Documentation of Objectives:** The documentation of OH&S objectives is incomplete, lacking essential details such as specific targets, timelines, and responsible parties. This deficiency hinders effective tracking and accountability, ultimately compromising the organization's ability to achieve its health and safety goals.

    Example: The objectives outlined in document “OH&S Objectives 2023-012” lack clear definitions and the necessary supporting evidence for their establishment. This absence of clarity undermines understanding and hampers effective implementation, monitoring, and evaluation of the organization's health and safety goals. FORM NO: XXX

6 PLANNING

1. STANDARD REQUIREMENTS:

6.2 OH&S OBJECTIVES AND PLANNING TO ACHIEVE THEM

6.2.2 PLANNING TO ACHIEVE OH&S OBJECTIVES

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

a) What will be done;

b) What resources will be required;

c) Who will be responsible;

d) When it will be completed;

e) How the results will be evaluated, including indicators for monitoring;

f) How the actions to achieve OH&S objectives will be integrated into the organization's business processes.

The organization shall maintain and retain documented information on the OH&S objectives and plans to achieve them.

2. EXPLAINATION:

1. **What will be done:** This point highlights the specific actions or initiatives the organization intends to undertake to achieve its OH&S objectives. These actions may include developing targeted training programs, conducting regular safety audits, enhancing communication channels for safety reporting, and implementing risk mitigation strategies. By clearly defining these initiatives, the organization can create a structured approach to improving health and safety outcomes, ensuring accountability and measurable progress toward its established objectives.

   Example: The organization has set a goal to reduce workplace accidents by 20% over the next year. To achieve this, it plans to implement a comprehensive safety training program for all employees. This program will cover essential safety protocols, hazard recognition, and emergency response procedures. By equipping employees with the necessary knowledge and skills, the organization aims to foster a culture of safety and minimize the risk of accidents in the workplace.

2. **What resources will be required:** Identifying the necessary resources to implement planned actions is crucial for success. Financial resources ensure the budget is allocated for training and equipment, while human resources involve staff assignments for training delivery. Technological resources, such as software for monitoring safety compliance, facilitate effective management. Additionally, allocating sufficient time for training and implementation activities is vital to ensure all objectives are met, fostering a culture of safety within the organization.

   Example: For the safety training program mentioned above, resources may include:
   To ensure effective implementation of the safety training program, financial resources will be allocated for training materials and external trainers. Dedicated safety officers will facilitate the sessions, while e-learning platforms will be utilized for remote training options.

Scheduling training sessions during work hours will maximize participation, allowing all employees to engage in the training without disrupting their regular duties. This comprehensive approach promotes a robust safety culture within the organization.

3. **Who will be responsible:** Assigning responsibilities for each action within the organization is crucial for effective implementation of OH&S objectives. By designating specific individuals or teams, accountability is established, ensuring that tasks are clearly understood and executed. This approach not only enhances ownership but also facilitates monitoring and evaluation of progress. Furthermore, it encourages collaboration among team members, fostering a culture of safety where everyone understands their role in achieving the organization's health and safety goals.

   Example: Assigning the responsibility for the training program to the HR manager ensures effective coordination and oversight. Safety officers can provide support by delivering training sessions, contributing their expertise. Additionally, forming a project team to oversee implementation guarantees that training schedules are adhered to, allowing for efficient monitoring of progress. This collaborative approach ensures that all employees receive necessary training on schedule, promoting a safer workplace culture and adherence to OH&S objectives.

4. **When it will be completed:** Establishing clear timelines for completing each action or initiative is vital for effective planning and accountability within the organization. Timelines help ensure that tasks are prioritized and executed in a timely manner. For instance, deadlines can be set for training program rollouts, safety audits, and equipment inspections. This structured approach allows the organization to monitor progress, adjust schedules as needed, and maintain focus on achieving its OH&S objectives efficiently.

   Example: The organization can establish a timeline for the safety training program, aiming for completion within three months. This timeline should include specific deadlines for various tasks, such as developing training materials within the first month, scheduling training sessions by the end of the second month, and conducting all training sessions in the third month. This structured approach ensures timely execution and helps maintain focus on achieving safety objectives effectively.

5. **How the results will be evaluated, including indicators for monitoring:** Defining how to measure the success of actions taken to achieve OH&S objectives is essential for accountability. This involves selecting key performance indicators (KPIs) that effectively monitor progress. For example, tracking the number of workplace accidents, employee training completion rates and compliance with safety protocols can provide valuable insights. Regularly reviewing these KPIs enables the organization to assess the effectiveness of its safety initiatives and make informed adjustments as needed.

   Example: To evaluate the training program's effectiveness, the organization can track key indicators such as the number of incidents reported before and after training, employee feedback on the program, and assessment scores from training sessions. Monitoring should include regular reviews of incident reports and conducting follow-up surveys with employees. This approach helps assess changes in safety awareness and behaviour, ensuring continuous improvement in the organization's OH&S initiatives.

6. **How the actions to achieve OH&S objectives will be integrated into the organization's business processes:** Integrating OH&S objectives into the broader business processes of the organization are crucial for their effectiveness and sustainability. When OH&S goals are treated as part of the overall strategic framework, it fosters a culture of safety that aligns with business priorities. This integration encourages collaboration among departments, ensures accountability, and enhances resource allocation, ultimately leading to improved safety outcomes and a stronger commitment to health and safety across the organization.

   Example: The organization can enhance its safety culture by incorporating safety training into the onboarding process for new employees. Including safety performance metrics in regular performance reviews for all staff will emphasize accountability. Furthermore, integrating safety discussions into regular team meetings reinforces the importance of OH&S in daily operations, ensuring that all employees remain aware of safety protocols and their personal responsibilities, thereby fostering a proactive approach to workplace safety.

7. **Documented Information:** Maintaining and retaining documented information related to OH&S objectives and plans is crucial for ensuring accountability, compliance with regulations, and supporting continuous improvement efforts. This documentation serves as a reference for evaluating performance, tracking progress, and facilitating audits. Additionally, it fosters transparency within the organization, allowing all employees to understand the safety initiatives in place and their role in achieving OH&S goals effectively.

   Example: The organization should create a document that outlines:
   The documentation of OH&S objectives, such as reducing accidents by 20%, along with detailed action plans, is vital. This includes specifics about training programs, responsible parties, and timelines. Additionally, records of completed training sessions, attendance, feedback, and evaluation results should be maintained. Storing this documentation in a shared folder accessible to relevant stakeholders allows for periodic reviews to track progress and make necessary adjustments to enhance safety initiatives effectively.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The OH&S policy document outlines the organization's commitment to maintaining a safe and healthy work environment. It articulates the overarching principles guiding the OH&S management system and sets the framework for establishing objectives and responsibilities at all organizational levels.

2. **OH&S Objectives and Targets:** This document details specific occupational health and safety objectives and measurable targets the organization aims to achieve. It serves as a roadmap for improvement, ensuring alignment with legal requirements and internal expectations while promoting a proactive safety culture within the workplace.

3. **Action Plans for OH&S Objectives:** Action plans specify the concrete steps the organization will take to achieve its OH&S objectives. They outline tasks, deadlines, and responsibilities, ensuring accountability and clarity in execution. These plans also help in tracking progress and making necessary adjustments over time.

4. **Resource Allocation Records:** Records detailing the allocation of resources are essential for ensuring the successful implementation of OH&S objectives. This includes budgets for training, equipment, and personnel, highlighting the organization's commitment to investing in safety and health initiatives to enhance overall performance.

5. **Training Records:** Training records document all safety training sessions conducted, including participant attendance, materials used, and feedback collected. These records demonstrate the organization's efforts to equip employees with necessary skills and knowledge, ensuring compliance with safety regulations and fostering a safety-conscious culture.

6. **Assigned Responsibilities:** Documents outlining assigned responsibilities clarify who is accountable for each action related to OH&S objectives. These may include job descriptions or responsibility matrices, promoting clear communication and ownership of safety initiatives across the organization, which is crucial for effective implementation.

7. **Action Completion Timelines:** Timelines, such as Gantt charts or project schedules, visually represent the planned and actual completion dates for each action related to OH&S objectives. They facilitate effective project management by allowing stakeholders to monitor progress, identify delays, and allocate resources appropriately.

8. **Monitoring and Evaluation Reports:** Reports documenting the evaluation of actions taken to achieve OH&S objectives include analysis of performance indicators and outcomes. These evaluations help the organization understand the effectiveness of its initiatives, enabling data-driven decisions for continuous improvement and enhanced safety performance.

9. **Incident Reports and Investigations:** Incident reports provide comprehensive documentation of workplace incidents, including details of what occurred, the investigation process, findings, and corrective actions taken. Analysing these reports aids in identifying trends and preventing future incidents, reinforcing a culture of safety.

10. **Management Review Minutes:** Minutes from management review meetings capture discussions on the status of OH&S objectives, resource allocation, and any necessary corrective actions. These documents reflect the organization's commitment to on-going evaluation and improvement, ensuring alignment between strategic goals and operational safety practices.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** The organization has an OH&S policy document that clearly outlines its commitment to maintaining a safe and healthy work environment. This document serves as a framework for guiding safety initiatives and promoting adherence to health and safety standards across the organization verified. Example: Document Number: OHSP-001, Revision Date: 2024-01-15, Approved by: John Smith, Safety Manager.

2. **OH&S Objectives and Targets:** The organization has established and documented specific OH&S objectives and targets for the current year. These objectives are designed to enhance workplace safety, reduce incidents, and promote a culture of health and safety across all levels of the organization reviewed. Example: Objective Number: OBJ-2024-01, Target: Reduce workplace accidents by 15%, Review Date: 2024-12-31.

3. **Action Plan for OH&S Objectives:** The organization has developed an action plan that details specific actions, assigns responsibilities to individuals or teams, and sets timelines for achieving its OH&S objectives. This plan ensures accountability and facilitates the systematic implementation of safety initiatives across the organization reviewed. Example: Action Plan ID: AP-2024-03, Responsible Person: Mary Johnson, HR Manager, and Completion Date: 2024-06-30.

4. **Training Records:** The organization maintains records of employee participation in OH&S training sessions, documenting the topics covered, dates of training, and attendance. These records help ensure compliance with safety regulations and track the effectiveness of the training programs implemented evidence. Example: Training Session ID: TR-2024-05, Date: 2024-02-20, Participants: 25, Trainer: Michael Lee.

5. **Resource Allocation Records**
   The organization maintains documented evidence of resources allocated for OH&S initiatives, detailing budgets, personnel assignments, and other necessary resources. This documentation ensures transparency and accountability in the implementation of health and safety programs throughout the organization verified. Example: Budget Allocation Document Number: BUD-2024-02, Amount: $10,000, Authorized by: Samantha Brown, Finance Director.

6. **Incident Reports and Investigations:** The organization maintains documentation of workplace incidents, including comprehensive investigation findings and the corrective actions taken to address each incident. This record is essential for analysing trends, improving safety measures, and ensuring compliance with OH&S regulations and standards evidence. Example: Incident Report Number: IR-2024-07, Date of Incident: 2024-03-15, Investigation Completion Date: 2024-03-20, Corrective Action: Improved safety signage.

7. **Monitoring and Evaluation Reports:** The organization produces reports evaluating the effectiveness of its OH&S initiatives, detailing progress toward established objectives. These reports assess key performance indicators, identify areas for improvement, and ensure accountability, contributing to on-going enhancements in workplace health and safety practices reviewed. Example: Evaluation Report Number: ER-2024-08, Date: 2024-04-10, Key Finding: Accident rate reduced by 12%.

8. **Management Review Minutes:** Minutes from management review meetings document discussions on OH&S performance and objectives. They include evaluations of current initiatives, progress toward goals, resource allocation, and any necessary adjustments, ensuring on-going commitment to workplace health and safety within the organization evidence. Example: Review Meeting Minutes Number: MM-2024-09, Date: 2024-05-05, Attendees: Board Members and Safety Officers.

9. **Internal Audit Reports:** Documentation from internal audits assesses compliance with OH&S management system requirements, highlighting findings, non-conformities, and areas for improvement. These records ensure that the organization adheres to established policies and procedures, promoting accountability and continuous improvement in occupational health and safety practices verified. Example: Internal Audit Report Number: IA-2024-10, Date: 2024-05-15, Auditor: Laura Green, Findings: Compliance with training requirements.

10. **Risk Assessments:** Records of risk assessments detail identified hazards, their potential impacts, and associated risks within the workplace. These documents provide a systematic evaluation to inform safety measures and ensure compliance with health and safety regulations, promoting a safer work environment for all employees verified. Example: Risk Assessment Number: RA-2024-11, Date Conducted: 2024-04-01, Assessor: David Wilson, Key Risks Identified: Slips, trips, and falls.

5. INTERVIEW QUESTIONS:

1. Can you describe the OH&S objectives established by the organization for this year, and what specific actions will be taken to achieve them?
2. What resources have been identified and allocated to support the achievement of these OH&S objectives, and how were those resources determined?
3. Who is responsible for each of the OH&S objectives, and how is accountability ensured within the organization for these responsibilities?
4. What timelines have been set for completing each of the actions associated with the OH&S objectives, and how do you monitor adherence to these timelines?
5. Can you explain how the organization evaluates the results of actions taken towards achieving the OH&S objectives, including any indicators or metrics used for monitoring?
6. How does the organization ensure that the actions taken to achieve OH&S objectives are effectively integrated into overall business processes and operations?
7. Are there documented action plans that outline the steps to achieve each OH&S objective, and can you provide examples of these documents?
8. How are employees informed about their roles and responsibilities related to achieving the OH&S objectives, and what training or communication strategies are in place?
9. What methods are used to track progress towards the OH&S objectives, and how often is this information reviewed and updated?
10. Can you provide examples of how past evaluations or audits of OH&S objectives have led to changes in planning or implementation?
11. How does the organization ensure that adequate resources (financial, human, etc.) are consistently available for OH&S initiatives throughout the year?
12. In the event of delays or challenges in achieving OH&S objectives, what corrective actions are taken, and how are these documented?
13. How does the organization involve employees or stakeholders in the planning and evaluation of OH&S objectives?
14. Can you show evidence of documented information maintained on OH&S objectives and plans, including any revisions or updates made over time?
15. What processes are in place to review and revise OH&S objectives to ensure they remain relevant and aligned with organizational goals and regulatory requirements?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear Objective Setting:** The organization has successfully established OH&S objectives that are SMART—specific, measurable, achievable, relevant, and time-bound. This clarity ensures that everyone understands the goals, contributing to a focused approach toward enhancing workplace health and safety standards.

2. **Comprehensive Resource Allocation:** By identifying and allocating adequate resources—such as personnel, training programs, and financial investments—the organization demonstrates a proactive approach to achieving OH&S objectives. This thorough preparation ensures that initiatives are effectively supported and that health and safety are prioritized.

3. **Defined Responsibilities:** The clear assignment of responsibilities for each OH&S objective fosters accountability throughout the organization. By designating specific individuals or teams to oversee objectives, the organization promotes a culture of ownership, motivating staff to actively contribute to safety improvements.

4. **Effective Timeline Management:** The organization has established realistic timelines for completing actions associated with its OH&S objectives. This systematic approach enables effective tracking of progress, ensuring that milestones are met, and facilitates timely interventions when objectives may be at risk.

5. **Robust Evaluation Methods:** A structured evaluation process is in place for assessing the results of actions taken toward OH&S objectives. By employing specific indicators for monitoring, the organization can identify trends, measure performance, and make informed decisions to enhance safety outcomes.

6. **Integration into Business Processes:** The organization has successfully integrated actions for achieving OH&S objectives into its overall business processes. This alignment underscores the importance of health and safety, ensuring that they are considered in daily operations, decision-making, and strategic planning.

7. **Documentation and Record-Keeping:** Comprehensive documentation of OH&S objectives and action plans supports transparency and accountability. By maintaining organized records, the organization can track progress over time, provide evidence of compliance, and facilitate audits or reviews as necessary.

8. **Continuous Improvement Focus:** The organization demonstrates a commitment to continuous improvement by regularly reviewing and updating its OH&S objectives. This proactive approach ensures that the organization adapts to changing conditions and incorporates lessons learned to enhance safety performance.

9. **Employee Involvement:** Active employee involvement in planning OH&S objectives fosters a sense of ownership and engagement. By encouraging input and feedback, the organization cultivates a collaborative environment where staff members feel valued and are motivated to prioritize health and safety.

10. **Proactive Communication:** A strong communication strategy effectively informs employees about OH&S objectives, their individual roles, and the overall importance of workplace safety. This transparency cultivates a culture of awareness, encouraging all staff to participate actively in maintaining a safe working environment.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Specificity in Objectives:** Some OH&S objectives may be broadly defined, lacking the specificity needed for effective implementation. By establishing clearer and more precise objectives, the organization can enhance focus, ensure accountability, and provide guidance for employees on expected outcomes.

2. **Insufficient Resource Allocation:** The organization may not adequately identify or allocate necessary resources, such as personnel, training, or equipment, to achieve OH&S objectives. Improving resource planning ensures that initiatives are well-supported, leading to increased likelihood of successful implementation and sustained safety improvements.

3. **Undefined Roles and Responsibilities:** When responsibilities for OH&S objectives are unclear or inconsistently assigned, it can create confusion among employees. Clearly defining roles and responsibilities ensures accountability, enhances communication, and empowers individuals to take ownership of their contributions to safety initiatives.

4. **Unrealistic Timelines:** Some timelines for achieving OH&S objectives may not be achievable given the resources or constraints present. By establishing more realistic timelines based on thorough assessments, the organization can enhance planning accuracy and ensure timely completion of safety initiatives.

5. **Limited Evaluation Methods:** The organization may lack robust methods for evaluating the results of actions taken toward OH&S objectives. Enhancing evaluation strategies allows for better identification of performance gaps, facilitating data-driven decisions that can improve future safety initiatives and outcomes.

6. **Insufficient Integration with Business Processes:** Actions aimed at achieving OH&S objectives may not be fully integrated into the organization's existing business processes, leading to potential oversights. Enhancing this integration ensures that health and safety considerations are embedded in daily operations and decision-making.

7. **Lack of Documentation Consistency:** Inconsistencies in the documentation of OH&S objectives and action plans can lead to confusion and hinder compliance. Improving the quality, consistency, and completeness of documentation fosters clarity and supports better tracking of safety initiatives and outcomes.

8. **Infrequent Reviews of Objectives:** Without regular reviews of OH&S objectives, the organization risks having outdated or irrelevant goals. Implementing a systematic review process allows for the timely adjustment of objectives, ensuring alignment with organizational priorities and adaptation to changing conditions.

9. **Limited Employee Engagement:** Opportunities for employee involvement in the planning and execution of OH&S objectives may be lacking. Actively encouraging employee input fosters a culture of safety, enhances engagement, and leads to improved compliance and commitment to health and safety practices.

10. **Poor Communication of Objectives:** If OH&S objectives and responsibilities are not effectively communicated to all employees, awareness and compliance may suffer. Developing a comprehensive communication strategy ensures that every employee understands their role in achieving safety objectives, fostering accountability and engagement.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Undefined OH&S Objectives:** The organization lacks clearly defined OH&S objectives, which hinders effective implementation and monitoring of health and safety initiatives. This absence of specificity may lead to confusion among employees and limit the organization's ability to measure progress and compliance with safety standards.

   Example: Document reviews reveal that the OH&S objectives are expressed as vague goals, such as “improve safety,” lacking specific and measurable targets. This ambiguity makes it difficult to assess progress and effectively implement strategies to enhance workplace health and safety. FORM NO: XXX

2. **Lack of Resource Identification:** The organization lacks documented evidence of resources required to achieve OH&S objectives, or resources identified are insufficient. This gap can hinder effective implementation and progress toward OH&S goals, compromising overall workplace health and safety improvements.

   Example: The resource allocation plan does not include specific details for financial, human, or material resources tied to OH&S objectives, indicating incomplete or missing information. This omission may impact the effective execution of health and safety initiatives. FORM NO: XXX

3. **Unassigned Responsibilities**: Responsibilities for meeting OH&S objectives are not clearly assigned to specific individuals or teams within the organization. This lack of clarity can hinder accountability and may prevent effective implementation of safety initiatives and overall performance in health and safety management.

   Example: The OH&S objectives document lacks specific assignments of responsible parties for each objective, resulting in unclear accountability. This omission may lead to uncertainty about who is responsible for implementing and tracking progress on safety initiatives. FORM NO: XXX

4. **Inadequate Timelines:** The timelines for achieving OH&S objectives are either absent or set unrealistically, hindering effective planning and progress tracking. This gap may lead to delays or unachieved goals, as no clear completion dates are established.

   Example: The project plans include unrealistic deadlines for safety improvements, such as completing comprehensive training within one week despite limited resources, which could hinder effective implementation and compromise the quality of the training outcomes. FORM NO: XXX

5. **Insufficient Evaluation Methods:** The organization has not established clear methods or indicators to evaluate the success of its OH&S objectives, resulting in challenges in measuring progress and effectiveness, and hindering continuous improvement efforts within the health and safety management system.

   Example: The evaluation section of the safety plan does not include specific indicators or metrics for monitoring progress, which complicates efforts to assess the effectiveness of OH&S initiatives and limits the organization’s ability to implement necessary improvements and adjustments. FORM NO: XXX

6. **Poor Integration into Business Processes:** Actions aimed at achieving OH&S objectives are not incorporated into existing business processes, resulting in gaps and oversight. This lack of integration can lead to missed opportunities for enhancing workplace safety and compliance, ultimately compromising the organization’s overall safety performance.

   Example: Interviews with employees indicate that safety measures are frequently viewed as isolated from standard operational procedures, resulting in compliance gaps. This disconnect can undermine the effectiveness of safety initiatives, ultimately compromising workplace safety and leading to potential hazards. FORM NO: XXX

7. **Incomplete Documentation:** The organization does not have thorough documentation regarding its OH&S objectives and action plans. This lack of comprehensive records hinders effective tracking, evaluation, and accountability, ultimately impacting the organization's ability to improve safety and meet its occupational health and safety goals.

   Example: Audit trails reveal missing or incomplete records within the OH&S documentation system, impeding effective tracking and accountability for established objectives. This lack of comprehensive documentation poses challenges in evaluating progress and ensuring compliance with occupational health and safety standards. FORM NO: XXX

8. **Failure to Review Objectives:** The organization has not reviewed or updated its OH&S objectives in a timely manner, resulting in objectives that are outdated and no longer relevant. This lack of timely updates hinders the effectiveness of safety initiatives and compliance with current standards.

   Example: Meeting minutes from safety committee reviews reveal that OH&S objectives have remained unchanged for over a year, with no formal review conducted. This lack of reassessment may lead to ineffective safety measures that do not address current workplace conditions. FORM NO: XXX

9. **Lack of Employee Involvement:** Employee involvement in the planning and implementation of OH&S objectives is lacking, as there is no structured consultation process in place. This exclusion may result in a disconnect between management intentions and employees' actual safety needs and experiences.

   Example: Surveys and interviews indicate that employees feel disconnected from the OH&S planning process, expressing concerns about their exclusion. This lack of engagement fosters feelings of disempowerment, potentially undermining the effectiveness and acceptance of the organization's safety initiatives and objectives. FORM NO: XXX

10. **Ineffective Communication:** Insufficient communication regarding OH&S objectives and responsibilities is evident throughout the organization. Many employees are unclear about their roles and the objectives, leading to confusion and potential gaps in compliance, ultimately hindering the effectiveness of the safety initiatives.

    Example: Minutes from staff meetings indicate a lack of discussions or updates on OH&S objectives, revealing that employees are largely unaware of safety goals and their specific roles in achieving these objectives, which undermines overall safety culture and compliance. FORM NO: XXX

7 SUPPORT

1. STANDARD REQUIREMENTS

7.1 RESOURCES

The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&S management system.

2. EXPLAINATION:

1. **Human Resources:** The organization must ensure it has a sufficient number of competent personnel who are well-trained and aware of the OH&S policies and procedures. This includes not only full-time employees but also contractors and any other workers engaged in managing health and safety. By fostering a culture of safety awareness and providing on-going training, the organization can enhance its overall health and safety performance, thereby reducing risks and promoting a safer workplace.

   Example: A manufacturing company mandates that all production floor workers undergo safety training focused on machine operations, proper use of personal protective equipment (PPE), and emergency response procedures. To enhance workplace safety, the company appoints dedicated safety officers who are responsible for daily monitoring of health and safety standards. These officers work to identify potential hazards, provide ongoing support, and implement improvements, ensuring a safer environment for all employees on the production floor.

2. **Infrastructure:** Infrastructure encompasses the essential physical facilities, work environments, and equipment needed to effectively manage workplace safety. This includes structures such as buildings and warehouses, as well as critical systems like power supplies, sanitation facilities, ventilation systems, and emergency equipment. A well-maintained infrastructure is vital for ensuring the health and safety of employees, as it directly impacts their working conditions and the overall safety culture within the organization.

   Example: In a chemical plant, the organization prioritizes safety by installing effective ventilation systems in areas where hazardous chemicals are stored and used. They conduct regular maintenance checks to ensure that fire alarms and extinguishers are fully operational. Additionally, emergency exits are clearly marked, well-lit, and easily accessible at all times, ensuring that employees can evacuate quickly and safely in case of an emergency, thereby fostering a culture of safety and preparedness.

3. **Technology and Equipment:** The organization is committed to minimizing OH&S risks by providing appropriate equipment and technology essential for workplace safety. This includes state-of-the-art machinery and tools designed for safe operation, software for effective safety monitoring and reporting, and high-quality personal protective equipment (PPE) tailored to various job roles. By ensuring that employees have access to the right resources, the organization enhances safety standards, promotes a culture of health and safety, and reduces potential hazards.

Example: A construction company prioritizes worker safety by supplying essential personal protective equipment (PPE), including helmets, gloves, safety boots, and fall-arrest harnesses. Furthermore, they implement digital systems to monitor safety compliance in real-time, ensuring adherence to safety protocols. These systems also facilitate the tracking of incident reports, enabling the company to analyze trends, identify areas for improvement, and reinforce a proactive approach to workplace safety, ultimately enhancing overall employee well-being.

4. **Financial Resources:** Financial resources are essential for the effective development, maintenance, and enhancement of the OH&S management system. Sufficient funding should be allocated for various needs, including comprehensive training programs, the procurement of safety equipment, on-going health surveillance, and initiatives aimed at continuous improvement. By ensuring adequate financial support, the organization can effectively implement safety measures, foster a culture of health and safety, and mitigate risks within the workplace, ultimately protecting employees and enhancing operational efficiency.

   Example: A logistics company dedicates a portion of its annual budget to worker safety programs, ensuring a proactive approach to health and safety. This funding supports regular training sessions to enhance employee awareness, health check-ups to monitor well-being, and upgrades to warehouse safety measures. For example, they invest in forklifts equipped with advanced safety features, reducing the risk of accidents and promoting a safer working environment for all employees within the organization.

5. **Training and Competence Development**
   The organization should prioritize continual education and training for its employees to maintain high safety standards in the workplace. This investment should encompass not only initial training programs that equip workers with essential skills but also on-going competence development to address new risks and evolving safety protocols. Regular workshops, refresher courses, and hands-on training sessions will enhance employees' knowledge and ensure they remain competent and confident in performing their tasks safely.

   Example: A hospital conducts quarterly training sessions focused on the safe handling of bio hazardous materials and effective patient safety management. These sessions ensure that all staff members are well-informed about the latest safety protocols and procedures. By regularly updating training content and incorporating practical scenarios, the hospital fosters a culture of safety, empowering employees to respond effectively to potential hazards and enhancing overall patient care quality.

6. **Time and Effort Allocation:** Time is a vital resource necessary for the effective establishment and implementation of OH&S policies and procedures. Organizations must allocate sufficient time for essential activities such as employee training, regular audits, thorough inspections, and comprehensive risk assessments. By prioritizing these activities, companies can ensure compliance with safety standards, enhance employee awareness, and create a proactive approach to identifying and mitigating workplace hazards, ultimately fostering a safer work environment.

   Example: A factory implements scheduled monthly shutdowns lasting a few hours to conduct essential safety drills and thorough equipment inspections. During these sessions, employees are trained on emergency evacuation procedures, ensuring they are well-

prepared for any potential incidents. Additionally, equipment is meticulously checked and maintained, guaranteeing that all machinery is in optimal working condition. This proactive approach enhances workplace safety and fosters a culture of preparedness among all staff members.

7. **External Resources and Expertise:** Organizations may require external expertise to effectively implement and sustain an Occupational Health and Safety Management System (OH&S MS). This expertise can come from consultants, auditors, or specialized contractors with a focus on workplace safety. By leveraging external knowledge and resources, companies can enhance their safety protocols, ensure compliance with regulations, and benefit from best practices in the industry, ultimately leading to a safer work environment for all employees.

   Example: A mining company engages external safety consultants to perform a thorough risk assessment and safety audit. This initiative aims to ensure compliance with national Occupational Health and Safety (OH&S) regulations while identifying potential areas for improvement. The consultants analyze current safety practices, evaluate risks associated with mining operations, and provide recommendations for enhancing safety measures. This proactive approach helps the company mitigate hazards and foster a safer work environment.

8. **Health and Safety Information Systems:** The organization must implement robust systems to efficiently collect, manage, and report Occupational Health and Safety (OH&S) data. This includes maintaining comprehensive incident reports, conducting hazard identifications, and performing thorough risk assessments. By centralizing this information, the organization can effectively analyze trends, monitor compliance, and enhance decision-making processes. These systems play a crucial role in promoting a culture of safety and ensuring continuous improvement in OH&S performance.

   Example: A large industrial plant utilizes an advanced software system to meticulously log accidents and near-misses. This system analyses trends and generates comprehensive reports that provide valuable insights for management. By leveraging this data, the organization can make informed decisions regarding safety improvements, identifying areas for enhancement and implementing necessary changes. This proactive approach ensures a safer working environment, minimizing risks and promoting a culture of safety throughout the facility.

9. **Maintenance and Improvement Resources:** Continual improvement of the OH&S management system is essential for maintaining workplace safety. This process necessitates dedicated resources for evaluating performance and identifying areas needing enhancement. Organizations should implement corrective and preventive actions based on data analysis and feedback. By fostering a culture of on-going improvement, companies can effectively address safety concerns, ensure compliance with regulations, and ultimately promote a safer work environment for all employees.

   Example: An automobile manufacturing company allocates resources for regular internal audits and employee safety feedback sessions to enhance workplace safety. These audits systematically assess safety protocols, while feedback sessions encourage workers to voice concerns and share insights. This proactive approach allows the company to identify safety issues promptly and implement corrective actions, fostering a culture of continuous improvement and ensuring a safer environment for all employees involved in the manufacturing process.

10. **Communication Resources:** The organization must establish effective communication channels to enhance OH&S awareness throughout the workforce. This includes utilizing various methods such as informative posters displayed prominently, regular newsletters, targeted emails, and interactive meetings. Additionally, safety briefings should be held frequently to discuss policies and procedures. By engaging employees through these diverse communication avenues, the organization fosters a culture of safety, ensuring that everyone is informed and aware of health and safety practices.

    Example: A construction company employs a multi-faceted approach to keep workers informed about on-going risks and preventive measures. They conduct daily briefings to discuss safety protocols and hazards, display informative safety posters throughout the site, and utilize a mobile app for real-time updates and notifications. This comprehensive communication strategy ensures that all workers are aware of potential dangers and the necessary precautions, promoting a safer working environment for everyone involved.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Human Resources Competency Records:** Auditors will check employee records; especially those involved in safety management, for qualifications, certifications, and completed training related to OH&S tasks. Competence assessments and continuous professional development activities should be well-documented to ensure workers can safely perform their duties.
2. **Training Plans and Attendance Records:** Auditors will look for formal training schedules that cover all aspects of OH&S, such as hazard identification, PPE usage, and emergency procedures. Attendance sheets or digital records from safety drills, toolbox talks, and safety-related seminars help verify compliance with training requirements.
3. **Risk Assessment Reports:** Auditors will verify that comprehensive risk assessments have been conducted to identify workplace hazards. The reports should document how these risks are mitigated through resource allocation, such as specific PPE, safety equipment, or additional training, along with follow-up actions taken based on risk severity.
4. **Equipment Maintenance and Calibration Records:** Auditors will review logs detailing the maintenance and calibration of safety-critical equipment, ensuring regular inspections are done to keep equipment (e.g., fire alarms, PPE, machinery) functioning correctly. Records should include service dates, actions taken, and next scheduled checks.
5. **Infrastructure Maintenance Plans:** Evidence of routine inspections and maintenance of workplace infrastructure, such as emergency exits, ventilation systems, and ergonomic equipment, should be available. Auditors will check reports documenting improvements or changes made to ensure compliance with safety standards in the work environment.
6. **PPE Inventory and Issuance Records:** Auditors will assess records that track the inventory, issuance, and replenishment of personal protective equipment (PPE). Logs should show when PPE was provided, the type of PPE issued, and any on-going efforts to ensure availability and suitability of PPE for the work being done.

7. **OH&S Budget and Resource Allocation Records:** Auditors will examine financial records to confirm adequate budget allocations for safety programs, such as the purchase of new safety equipment, worker health surveillance, and training programs. Evidence of prioritized funding for high-risk areas demonstrates an organization's commitment to safety.

8. **External Service Contracts:** Auditors will verify contracts or agreements with external providers, such as safety consultants, auditors, or PPE suppliers. These documents show how external expertise is used to support OH&S activities and ensure the organization has access to necessary resources beyond internal capabilities.

9. **Incident Reports and Investigations:** Auditors will review records of workplace incidents and near-misses, checking for thorough investigations, root cause analyses, and documented corrective actions. The reports should demonstrate how resource needs, like additional training or equipment, were identified and addressed following incidents.

10. **Health and Safety Performance Reports:** These reports offer a summary of key OH&S metrics, such as injury rates or safety training completion. Auditors will examine performance evaluations to determine whether resources are being used effectively to meet safety objectives, ensuring continuous improvement in the management system.

4. OBJECTIVE EVIDENCES:

1. **Training Records Verification:** Verified that safety training records for employees involved in hazardous material handling are maintained and up-to-date. Training attendance record for “Hazardous Materials Handling” training session, dated 2024-07-15, was reviewed verified. Example: Training attendance form number TR-2024-005 with signatures of employees XXXXXX and YYYYY.

2. **PPE Issuance Records Check:** PPE issuance logs were reviewed to confirm that all workers in the welding section received adequate PPE. PPE Issuance Record dated 2024-06-10 shows distribution of welding gloves and face shields evidence. Example: PPE Issuance Log reference number PPE-ISSUE-2024-07, employee XXXXXX received items ZZZZZ and YYYYY.

3. **Risk Assessment Reports Validation:** Reviewed the risk assessment report for the mechanical workshop, which identified risks related to machinery operation. The report dated 2024-04-20 includes recommendations for PPE usage and additional training reviewed. Example: Risk Assessment Report reference number RA-2024-MECH-001 prepared by Mr. XXXXXX.

4. **Equipment Maintenance Records Review:** Maintenance logs for emergency fire alarm systems were verified to confirm regular inspections. The inspection log for the fire alarm system dated 2024-09-12 shows maintenance was conducted as per schedule verified. Example: Equipment Maintenance Log number EQ-MNT-2024-09-FAS-003.

5. **Health Surveillance Documentation:** Health surveillance records were reviewed for employees exposed to high noise levels. Hearing tests conducted on August 1, 2024, for specific employees were documented and evaluated to ensure compliance with safety standards and monitor potential hearing impairments verified. Example: Medical Surveillance Report number MED-2024-08-02, covering employee IDs XXXXXX and YYYYY.

6. **OH&S Budget Allocation Review:** The budget allocation for OH&S-related purchases was reviewed. The Purchase Order for additional PPE and safety signage was verified, ensuring that necessary resources were acquired to enhance workplace safety and comply with health and safety regulations verified. Example: Purchase Order number PO-2024-XYZ-0123 for PPE purchase, authorized by Mr. ZZZZZ.

7. **Internal OH&S Committee Meeting Minutes:** Minutes of the OH&S Committee meeting were reviewed, showing discussions on allocating funds for ergonomic chairs in the packaging department. This measure aims to reduce manual handling injuries and improve workplace ergonomics for employee safety evidence. Example: OH&S Committee Meeting Minutes reference number OHS-MIN-2024-09-001, chaired by Mr. XXXXXX.

8. **Emergency Drill Reports:** The fire drill report was reviewed, documenting employee participation, response times, and identified areas for improvement in emergency response. This evaluation aims to enhance overall safety procedures and ensure preparedness during evacuation situations in the workplace verified. Example: Fire Drill Report reference number FD-2024-05-DR-002, prepared by Safety Officer YYYYY.

9. **Audit Report of External Service Providers:** Contracts with external service providers for equipment calibration were verified, including a reviewed contract for PPE inspection. This ensures that all protective equipment is regularly inspected and meets safety standards for effective employee protection reviewed. Example: External Service Provider Contract number EXT-SERV-2024-06-PPE-01, with vendor XXXXXX.

10. **Incident Report and Investigation:** The incident report for a slip and fall accident in the warehouse was reviewed. Corrective actions included the installation of non-slip mats and conducting safety awareness training for employees to enhance safety and prevent similar occurrences in the future verified. Example: Incident Report reference number INC-2024-07-WH-005, corrective action logged by Mr. ZZZZZ on 2024-07-22.

5. INTERVIEW QUESTIONS:

1. How does the organization determine the resources needed for establishing, implementing, maintaining, and improving the OH&S management system? Can you provide examples of the resource planning process?
2. What types of resources (financial, human, equipment) have been allocated to ensure the effectiveness of the OH&S management system? How is the allocation decided?
3. Can you show me documented evidence of personnel assigned specific OH&S roles, such as safety officers or OH&S committee members, and their qualifications?
4. How do you ensure that employees involved in safety-critical roles are adequately trained and competent? Could you provide records of recent safety training programs?
5. How does the organization assess the need for new or additional resources, such as updated PPE, equipment, or safety infrastructure, to address changing OH&S risks?
6. How does the organization monitor and maintain safety equipment, such as fire alarms, emergency exits, or PPE? Could you show me maintenance logs or records for these items?

7. Are external services or consultants used to support the OH&S management system (e.g., equipment calibration, safety audits)? If so, can you show contracts or agreements with these external providers?
8. How are funds allocated to OH&S activities? Can you provide an example of recent purchases or budget allocations for safety-related resources, such as new PPE or health surveillance programs?
9. How does the organization ensure employees have access to the necessary resources (PPE, tools, and training) to carry out their tasks safely? Can you provide examples of how these resources were made available recently?
10. How does the organization assess and respond to risks that require additional resources, such as specialized training or updated safety equipment, in high-risk areas?
11. Can you explain how emergency preparedness is supported by resource planning? Are drills conducted regularly, and are resources like emergency response equipment available and maintained? Can you show drill reports or equipment checks?
12. How are internal OH&S committee meetings used to identify resource needs for the improvement of the safety management system? Could you share meeting minutes where resource needs were discussed?
13. What system is in place to ensure continual improvement of the OH&S management system with regard to resource allocation? Can you provide examples where resource needs were identified and subsequently addressed?
14. How do you monitor the effectiveness of resource usage in relation to the OH&S management system? For example, how do you track the usage of PPE and its adequacy in protecting workers?
15. In the event of an incident or non-conformity, how does the organization assess whether inadequate resources (such as missing equipment or insufficient training) contributed to the issue? How are corrective actions involving resources documented and tracked?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Resource Planning:** The organization's resource planning process ensures that all necessary human, financial, and physical resources are identified and allocated effectively for OH&S. This proactive approach guarantees that the safety management system remains well-supported and aligned with organizational goals.
2. **Comprehensive Training Programs:** Regular and detailed training programs demonstrate the organization's commitment to equipping employees with essential safety knowledge. Training records show that staff at all levels receive proper safety education, enhancing both competence and confidence in handling workplace health and safety risks.
3. **Dedicated OH&S Team:** A dedicated OH&S team, including qualified safety officers and committee members, actively manages the health and safety system. This demonstrates strong leadership and ensures that key safety practices are consistently implemented and monitored throughout the organization.

4. **Sufficient Budget Allocation for OH&S:** The organization prioritizes workplace safety by ensuring an adequate budget is allocated for necessary safety tools, equipment, and programs. This financial commitment reflects management's focus on maintaining a safe work environment, even during challenging financial periods.

5. **Effective Use of Technology:** The use of technology, such as safety management software and automated maintenance tracking systems, enhances the efficiency of resource management and monitoring. This allows for quicker identification of safety issues and ensures timely corrective actions, improving overall safety performance.

6. **Timely Maintenance of Safety Equipment:** The organization has an effective system in place for the timely maintenance of safety-critical equipment, such as fire alarms and personal protective equipment (PPE). This ensures that all safety devices are always in good working condition, improving emergency preparedness.

7. **Involvement of External Experts:** The organization actively seeks input from external safety experts or consultants to review and improve its OH&S management system. This willingness to engage external expertise demonstrates a proactive approach to staying up-to-date with best practices and regulatory changes.

8. **Proactive Health Surveillance Programs:** Health surveillance programs are in place for employees exposed to workplace hazards, such as noise or chemical substances. Regular medical checks and monitoring demonstrate the organization's commitment to ensuring long-term employee health and minimizing occupational health risks.

9. **Efficient Resource Utilization:** The organization effectively manages its OH&S resources, ensuring that tools, equipment, and PPE are available when needed and not overstocked or wasted. This resource efficiency contributes to cost savings while maintaining a safe work environment for all employees.

10. **Continuous Improvement Initiatives:** The organization regularly reviews its OH&S management system to identify resource needs and areas for improvement. By addressing gaps promptly and making necessary changes, the organization demonstrates a strong commitment to continuous improvement and enhancing workplace safety.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inconsistent Resource Allocation across Departments:** Some departments may have adequate resources for occupational health and safety, while others may lack essential equipment or safety tools. This inconsistency can hinder overall safety performance, leading to potential risks and inefficiencies in the organization's health and safety initiatives.

2. **Insufficient Documentation on Resource Determination:** The organization lacks a formalized process for documenting how OH&S resource needs are determined. Without clear documentation, future resource requests may be poorly justified, leading to inadequate safety provisions that could compromise the effectiveness of the OH&S management system.

3. **Lack of Regular Resource Review Process:** The absence of a regular review process means that the adequacy of OH&S resources may not be evaluated periodically. This oversight can lead to outdated practices and insufficient resources being utilized, increasing the risk of incidents or accidents in the workplace.

4. **Insufficient Training for New Employees or Contractors:** New hires and contractors might not receive comprehensive training tailored to specific workplace hazards. Inadequate training can result in unsafe practices, exposing them and their colleagues to risks that could be mitigated through effective and relevant safety education.

5. **Delayed Maintenance of Critical Safety Equipment:** Maintenance checks for critical safety equipment may not be performed promptly, leading to equipment malfunction during emergencies. Delayed maintenance can compromise the effectiveness of safety systems, increasing the potential for accidents and hindering the organization's overall safety performance.

6. **Limited Budget for Safety Resources:** The budget allocated for OH&S resources may not be sufficient to address emerging risks or upgrade safety tools. Insufficient funding can hinder the organization's ability to implement effective safety measures, potentially leading to increased workplace hazards and risks.

7. **Over-reliance on External Resources:** Excessive dependence on external consultants for critical OH&S functions can lead to a lack of internal knowledge and expertise. This reliance may result in inconsistent safety practices and a weakened ability to respond to emerging risks effectively within the organization.

8. **Inadequate PPE for High-Risk Tasks:** The PPE provided for high-risk tasks may not match the specific hazards employees face. Inadequate PPE can expose workers to significant risks, potentially resulting in injuries or health issues, undermining the organization's commitment to maintaining a safe work environment.

9. **No Contingency for Emergency Resource Shortages:** The organization may lack contingency plans to address potential shortages of critical OH&S resources during emergencies. Without these plans, the organization could face challenges in effectively responding to incidents, increasing the risk of harm to employees and operations.

10. **Lack of Employee Involvement in Resource Planning:** Employees, especially those in high-risk roles, may not be consulted during resource determination. Their insights are crucial for identifying necessary safety resources, and failing to involve them can lead to inadequate provision and ineffective safety management practices.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Inadequate Budget Allocation for OH&S Resources:** The organization has not allocated sufficient budgetary resources for Occupational Health and Safety (OH&S) initiatives, hindering progress on safety improvements. This lack of funding limits the implementation of necessary training, equipment upgrades, and safety programs essential for maintaining a safe workplace.

   Example: The budget report indicates a decrease in funding for Occupational Health and Safety (OH&S) activities compared to previous years. For instance, under Budget Code: OH&S2024, the allocated amount is Rs.10, 000, reflecting reduced financial support for safety initiatives. FORM NO: XXX

2. **Insufficient PPE for Employees:** Employees lack access to essential personal protective equipment (PPE) required for specific tasks, which exposes them to significant health risks. This deficiency jeopardizes their safety and highlights the need for improved resource allocation and adherence to safety protocols.

   Example: The inspection report indicates missing personal protective equipment (PPE) for tasks such as chemical handling. For example, Report No: PPE-2024-05, dated 2024-10-01, highlights the absence of required PPE, underscoring the need for immediate corrective action to ensure safety. FORM NO: XXX

3. **Lack of Competency Training for Staff:** The organization has failed to provide adequate training to employees regarding safety protocols and proper equipment usage. This lack of training compromises employee safety and increases the risk of accidents and injuries in the workplace, necessitating urgent remedial actions.

   Example: Training records reveal that 40% of employees in high-risk areas have not completed the required safety training. For instance, the Training Completion Report, dated 2024-09-20, highlights this gap, emphasizing the need for immediate action to ensure compliance and safety. FORM NO: XXX

4. **Delayed Maintenance of Safety Equipment:** Timely maintenance of critical safety equipment is not being performed, posing a significant risk to operational safety. This neglect jeopardizes equipment reliability and increases the likelihood of accidents, highlighting the urgent need for improved maintenance protocols and adherence to schedules.

   Example: The maintenance log indicates overdue checks for essential safety equipment, such as fire extinguishers and emergency alarms. For example, Maintenance Log Entry No: 12345 show a due date of 2024-05-15, highlighting the need for urgent maintenance action. FORM NO: XXX

5. **Inconsistent Resource Needs Assessment:** The organization fails to regularly assess or document the resource needs for the Occupational Health and Safety (OH&S) management system. This oversight hinders effective planning and resource allocation, ultimately compromising the system's effectiveness and the safety of employees.

   Example: The resource assessment documentation is either missing or outdated, as evidenced by the Resource Assessment Document, last reviewed on 2022-01-01. This lack of current information hampers the organization’s ability to adequately allocate resources for the OH&S management system. FORM NO: XXX

6. **Absence of Emergency Preparedness Resources:** There is a lack of emergency preparedness resources within the organization, including insufficient first aid kits and inadequate response training. This deficiency increases the risk during emergencies, highlighting the urgent need for improved preparedness measures and training programs for employees.

   Example: The audit report highlights the absence of first aid kits in key locations. For instance, Audit Report No: ER-2024-07 dated 2024-10-15, identifies this critical deficiency, emphasizing the need for immediate action to ensure adequate emergency preparedness. FORM NO: XXX

7. **Underutilization of Technology for Resource Management:** The organization is not effectively utilizing available technology to manage and track Occupational Health and Safety (OH&S) resources. This oversight limits the ability to monitor compliance, allocate resources efficiently, and enhance overall safety management within the workplace.

   Example: Evidence shows reliance on manual tracking methods, such as Excel sheets, instead of an electronic OH&S management system. For example, records dated 2024-09-30 indicate this outdated approach, highlighting the need for an upgraded system to improve tracking efficiency and accuracy. FORM NO: XXX

8. **Lack of Employee Involvement in Resource Determination:** Employees are not consulted about their resource needs, resulting in insufficient provisions for effective task performance and safety. This lack of engagement limits valuable insights from frontline workers, which could otherwise inform better resource allocation and workplace safety improvements.

   Example: Meeting minutes reveal no discussion of employee input in resource planning. For instance, the minutes dated 2024-08-15 lack any reference to consultations with employees on resource needs, highlighting a missed opportunity for collaborative planning and improvement. FORM NO: XXX

9. **Failure to Address Identified Resource Gaps:** Resource gaps identified within the organization have not been addressed in a timely manner, resulting in prolonged deficiencies that impact operational efficiency and safety. This delay underscores the need for prompt action to ensure adequate resource allocation and support.

   Example: Previous audit findings indicate unaddressed resource gaps. For example, Audit Finding Report No: AF-2024-03, dated 2024-05-01, shows that identified deficiencies remain unresolved, highlighting a critical need for timely corrective action to improve safety and compliance. FORM NO: XXX

10. **Lack of a Resource Review Process:** The organization lacks a defined process for regularly reviewing the adequacy of resources, resulting in potential resource shortages and missed opportunities for improvement. This gap highlights the need for a structured review approach to ensure ongoing resource sufficiency and safety.

    Example: The absence of a documented review process or frequency guidelines is evident, as shown in the Policy Document last updated on 2022-06-30. This lack of structure hinders consistent resource evaluations, increasing the risk of unmet operational and safety needs. FORM NO: XXX

7 SUPPORT

1. STANDARD REQUIREMENTS:

7.2 COMPETENCE

The organization shall:

a) Determine the necessary competence of workers that affects or can affect its OH&S performance;

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

c) Where applicable, take actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken;

d) Retain appropriate documented information as evidence of competence.

NOTE: Applicable actions can include, for example, the provision of training to, the mentoring of, or the re- assignment of currently employed persons, or the hiring or contracting of competent persons.

2. EXPLAINATION:

1. **Determine the Necessary Competence:** To ensure effective performance and maintain occupational health and safety, the organization must identify essential skills, knowledge, and abilities for each role. This requires an understanding of the tasks workers perform, the specific hazards associated with those tasks, and how worker competence influences OH&S outcomes. By assessing these factors, the organization can provide targeted training and resources to enhance safety, minimize risks, and promote a safer work environment.

   Example: In a manufacturing facility, machine operators must possess specific skills to operate machinery safely. This includes a thorough knowledge of machine functions, adherence to safety procedures, and familiarity with emergency protocols. Competence requirements encompass understanding potential machinery hazards, applying safe operating practices, and performing basic troubleshooting. Ensuring these skills enables operators to minimize risks, respond effectively in emergencies, and maintain a safe work environment while optimizing operational efficiency.

2. **Ensure Workers are Competent:** Organizations must verify that workers have the required competencies through targeted education, training, and practical experience. This involves evaluating current skills to ensure they match the necessary competencies identified earlier, addressing any gaps proactively. By regularly assessing and aligning worker capabilities with job requirements, organizations can enhance safety, efficiency, and overall performance, ensuring that all employees are well-prepared to meet the demands of their roles safely and effectively.

   Example: Suppose a construction company hires workers for a new project. Before they begin work, the company must verify that each worker has undergone training on using personal protective equipment (PPE), understands fall protection measures, and can identify safety hazards on the construction site. If a worker has prior experience but has not received formal training on new safety protocols, the organization must provide the necessary training.

3. **Actions to Acquire and Maintain Competence:** When competence gaps are identified, organizations must take proactive steps to acquire and sustain the necessary skills among workers. This can involve offering on-going training, mentorship, and support for continuous professional development. Additionally, it is crucial for organizations to regularly evaluate the effectiveness of these initiatives to ensure they achieve the intended goals, thereby enhancing overall workforce competence and promoting a safe and efficient working environment.

   Example: In a healthcare setting, a hospital may recognize that its nursing staff needs to stay updated on the latest patient safety protocols. The hospital can implement regular training sessions, workshops, and simulations to enhance their skills. After training sessions, the hospital could assess the effectiveness by conducting evaluations or practical assessments to ensure that the nurses can identify and respond to potential patient safety hazards effectively.

4. **Retain Documented Information as Evidence of Competence:** Organizations must maintain documented evidence of worker competence to ensure compliance and demonstrate qualifications for roles. This documentation may include training records, certificates, competency assessments, and evaluations related to mentorship or experience. Keeping accurate records serves as proof of the workforce's capabilities, supports on-going development, and facilitates compliance audits. By maintaining these documents, organizations can effectively track employee competencies and ensure a skilled and knowledgeable workforce.

   Example: A logistics company may maintain a detailed database of all employee training records, encompassing certifications for operating forklifts, completed safety training courses, and any additional qualifications. This thorough documentation can be reviewed during internal audits or external inspections, showcasing compliance with ISO 45001 standards. By systematically organizing these records, the organization demonstrates its commitment to worker competence, safety, and adherence to regulatory requirements, ultimately fostering a safer work environment for all employees.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Competence Assessment Records:** These documents outline the necessary skills and knowledge required for various job roles affecting occupational health and safety. They should include detailed job descriptions, competency matrices, and any specific qualifications or certifications required for effective job performance.

2. **Training Records:** Training records provide evidence of employees' participation in safety and health training programs. They should include certificates, attendance logs, and details of the training content, ensuring that employees are equipped with the knowledge necessary to perform their tasks safely.

3. **Skill Gap Analysis Reports:** Skill gap analysis reports identify discrepancies between existing employee competencies and those required for safe job performance. These documents should outline specific skill deficiencies and recommend targeted actions to bridge these gaps, enhancing overall workplace safety and compliance.

4. **Training Needs Analysis:** Training needs analysis documentation outlines the process used to determine specific training requirements based on roles and associated hazards. This helps organizations prioritize training efforts, ensuring that employees receive relevant education to enhance their competence and reduce safety risks.

5. **Training Program Materials:** Training program materials consist of the content delivered during safety training sessions, including presentations, hand-outs, and instructional guides. These materials should align with defined learning objectives, ensuring employees understand their responsibilities and the procedures necessary to maintain safety.

6. **Competency Evaluation Records:** Competency evaluation records document assessments conducted post-training to gauge employees' understanding and skills. These evaluations may include quizzes, practical assessments, and feedback sessions, providing insight into the effectiveness of training programs and identifying areas for further improvement.

7. **Mentorship and Coaching Records:** These records detail structured mentorship programs where experienced employees guide less experienced staff. Documentation should include mentorship objectives, schedules, and feedback provided to mentees, ensuring that knowledge transfer occurs and that employees are supported in their professional development.

8. **Continuous Professional Development Plans:** Continuous professional development plans outline on-going training opportunities for employees to enhance their skills. These records should include training schedules, descriptions of advanced courses, and refresher training sessions, promoting lifelong learning and adaptability to changing workplace conditions and technologies.

9. **Health and Safety Induction Records:** Health and safety induction records document the orientation process for new employees. These records ensure that new hires understand workplace hazards, safety protocols, and their responsibilities, laying the foundation for a culture of safety from the outset of their employment.

10. **Documentation of Changes in Competence Requirements:** These documents capture any modifications to competence requirements resulting from new processes, technologies, or regulations. Keeping accurate records helps ensure that employees are adequately trained to meet evolving safety standards, thereby minimizing risks associated with outdated practices.

4. OBJECTIVE EVIDENCES:

1. **Competence Assessment Record:** Records indicating that the necessary competencies for specific roles have been evaluated, including competency assessment forms, evaluation reports, and feedback from supervisors or trainers. These documents provide evidence that the organization has assessed and validated employee qualifications for their positions verified. Example: Competence Assessment Record No. CA-2024-001, Date: 2024-05-15, Job Title: Machine Operator, Assessed By: John Doe, Assessment Result: Competent.

2. **Training Records:** Documentation confirming employee participation in mandatory training programs, including training completion certificates, attendance sheets, and training session schedules. These records serve as evidence that employees have fulfilled their training obligations and are equipped with the necessary knowledge and skills for their roles evidence. Example: Training Record No. TR-2024-045, Employee Name: Jane Smith, Training Date: 2024-06-10, Training Topic: Forklift Operation, Trainer: Mark Johnson, Completion Status: Completed.

3. **Skill Gap Analysis Report:** A document detailing identified skill gaps among employees, including specific areas of deficiency, assessment results, and recommendations for improvement. This record serves as a basis for developing targeted training programs and enhancing employee competencies to meet organizational needs effectively evidence. Example: Skill Gap Analysis Report No. SGAR-2024-02, Date: 2024-04-20, Department: Production, Identified Gaps: 5 (including Safety Protocols, Equipment Handling).

4. **Training Needs Analysis:** Documentation specifying training requirements tailored to job roles and associated hazards, including a matrix of roles, necessary training courses, and relevant safety protocols. This record ensures that employees receive appropriate training to address specific risks related to their positions reviewed. Example: Training Needs Analysis Document No. TNA-2024-03, Date: 2024-02-28, Role: Electrical Technician, Required Training: Safety Regulations and Procedures.

5. **Competency Evaluation Records:** Records evaluating employee competencies following training sessions, including assessment results, feedback forms, and performance evaluations. These documents provide insights into the effectiveness of the training and identify areas where further development may be necessary to enhance employee skills and knowledge verified. Example: Competency Evaluation Record No. CER-2024-006, Date: 2024-06-15, Employee Name: Alex Brown, Evaluation Method: Practical Assessment, Result: Pass.

6. **Mentorship and Coaching Records:** Documentation outlining mentorship programs designed to support employee development, including program objectives, mentor-mentee pairings, session schedules, and feedback mechanisms. This record highlights the organization's commitment to fostering growth and enhancing competencies through structured guidance and support for employees reviewed. Example: Mentorship Record No. MR-2024-009, Mentor: Lisa Green, Mentee: Tom White, Start Date: 2024-01-10, End Date: 2024-07-10, Focus Area: Safety Procedures.

7. **Continuous Professional Development Plans:** Records detailing on-going training opportunities for employees, including course descriptions, schedules, enrolment procedures, and eligibility criteria. This documentation serves to inform staff about available training programs, ensuring they can enhance their skills and contribute effectively to the organization's goals verified. Example: CPD Plan No. CPD-2024-004, Employee Name: Sarah Black, Training Scheduled: Advanced Safety Practices, Date: 2024-09-15, Provider: Safety Training Co.

8. **Health and Safety Induction Records:** Records of health and safety induction for new employees, including attendance logs, training materials, and assessment results. These documents confirm that new hires have received essential safety information and training to ensure a safe working environment from their first day verified. Example: Induction Record No. IR-2024-012, Employee Name: Mike Grey, Induction Date: 2024-06-01, Conducted By: Ann White, Topics Covered: Workplace Hazards, Emergency Procedures.

9. **Incident and Near Miss Reports:** Reports documenting incidents and near misses related to safety and employee competence, including incident descriptions, root cause analyses, and corrective actions taken. These records are essential for identifying trends, improving safety protocols, and enhancing overall workplace safety culture reviewed. Example: Incident Report No. IR-2024-027, Date: 2024-05-05, Near miss involving forklift, Reported By: Kevin Blue, Actions Taken: Additional Training Scheduled.

10. **Internal Audit Reports:** Reports from internal audits evaluating compliance with competence-related requirements, including findings on employee qualifications, training effectiveness, and adherence to safety protocols. These documents provide insights into areas for improvement and ensure the organization meets regulatory and safety standards reviewed. Example: Internal Audit Report No. IAR-2024-011, Date: 2024-07-20, Audited Area: Training and Competence, Findings: 2 Non-conformities, Action Required: Immediate corrective actions.

5. INTERVIEW QUESTIONS:

1. Can you explain how the organization determines the necessary competencies for each role that affects occupational health and safety performance?
2. What specific processes are in place to ensure that employees are competent in identifying hazards and managing risks in their work environment?
3. Can you provide examples of education, training, or experience requirements that are established for key roles within the organization?
4. How does the organization assess the effectiveness of the training programs implemented to ensure worker competence?
5. Can you share any records or documentation that demonstrates how you maintain and update employee competency profiles over time?
6. What actions does the organization take when an employee is found to lack the necessary competence for their role?
7. How do you ensure that all new hires receive the appropriate training and support to develop the required competencies for their roles?
8. Can you describe the mentorship or coaching programs in place to support on-going employee development and ensure competency?
9. What mechanisms are in place for employees to provide feedback on training effectiveness and their own competence levels?
10. Can you show any records of competency evaluations conducted after training to ensure that employees can apply what they have learned effectively?
11. How often does the organization conduct reviews or audits of the competence management system to ensure its effectiveness?
12. Can you provide examples of how the organization documents and retains information related to employee competence?

13. What training programs or resources are available to employees to keep their skills and knowledge current with industry standards and best practices?
14. How does the organization address changes in job roles, technologies, or regulations that may impact the required competencies for employees?
15. Can you share any incidents or near misses that have occurred, and how they influenced the organization's approach to competency training and management?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Competence Assessment:** The organization has implemented a thorough process for assessing the necessary competencies required for each role. This proactive approach ensures that employees possess the skills needed to maintain occupational health and safety (OH&S) performance effectively.

2. **Detailed Training Records:** By maintaining extensive training records, the auditee demonstrates a commitment to employee development and safety. These records provide essential documentation of each employee's participation in relevant education and training programs, fostering accountability in compliance with OH&S standards.

3. **Effective Hazard Identification:** The training programs empower employees to effectively identify hazards in their work environment. This initiative reflects the organization's focus on creating a safety-conscious workforce, contributing to a proactive approach in minimizing risks associated with workplace activities.

4. **On-going Competency Evaluation:** The organization regularly assesses the effectiveness of its training initiatives through competency evaluations. This commitment to continuous improvement ensures that employees not only retain their skills but also stay current with evolving practices necessary for maintaining a safe workplace.

5. **Supportive Mentorship Programs:** The presence of mentorship and coaching programs highlights the organization's investment in employee development. By pairing less experienced employees with knowledgeable mentors, the organization fosters a collaborative environment that enhances skills, knowledge retention, and overall workplace safety.

6. **Proactive Actions for Competency Maintenance:** The auditee takes significant steps to maintain employee competencies through refresher courses and on-going training updates. This proactive approach underscores their dedication to continuous employee growth, ensuring that workers are well-equipped to meet safety challenges effectively.

7. **Well-Documented Competency Profiles:** Comprehensive documentation of employee competencies provides transparency and accountability. By retaining detailed competency profiles, the organization demonstrates compliance with ISO requirements and reinforces the importance of maintaining high standards of occupational health and safety.

8. **Responsive Training Needs Analysis:** The organization conducts regular training needs analyses to identify skill gaps among employees. This responsiveness to evolving job requirements and regulatory changes ensures that employees receive the necessary training to enhance their competencies and maintain a safe working environment.

9. **Integration of Feedback Mechanisms:** Implementing feedback mechanisms to gather employee insights on training effectiveness shows the organization's commitment to improvement. This practice encourages employee engagement, enhances the relevance of training programs, and ultimately leads to a more skilled and safety-focused workforce.

10. **Commitment to Safety Culture:** The organization demonstrates a strong commitment to fostering a safety culture by prioritizing employee competence in occupational health and safety. This focus on skill development not only enhances workplace safety but also contributes to improved overall organizational performance.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Formal Competence Assessment:** The absence of a structured competence assessment process can lead to workers being assigned roles for which they lack essential skills. This situation may jeopardize OH&S performance, exposing the organization to increased risks and potential compliance issues.

2. **Insufficient Training Documentation:** Inadequate documentation of training programs can complicate the ability to prove compliance and effectiveness. Improving documentation practices, such as maintaining comprehensive records of training sessions, ensures accountability and provides a clear audit trail for evaluating employee development.

3. **Limited Evaluation of Training Effectiveness:** If the organization fails to regularly assess training effectiveness, it risks not identifying knowledge gaps among employees. This oversight can compromise safety practices and reduce the organization's ability to adapt training programs to meet evolving OH&S needs.

4. **Absence of Hazard Identification Training:** A lack of comprehensive training focused on hazard identification may result in employees being ill-equipped to recognize and respond to risks. This situation can lead to workplace incidents, negatively impacting the overall safety culture and organizational performance.

5. **Inconsistent Competence Records:** Inconsistencies in maintaining documented evidence of employee competencies can create confusion and accountability issues. Standardizing record-keeping processes ensures clarity, making it easier to track employee qualifications and compliance with OH&S requirements during audits.

6. **Limited Mentorship Opportunities:** The absence of structured mentorship or coaching programs deprives employees of critical guidance and support for skill development. Implementing such initiatives enhances knowledge transfer, fostering a collaborative work environment that ultimately improves workplace safety and performance.

7. **Failure to Address Competency Gaps:** If the organization does not actively identify and address competency gaps, it risks exposing itself to safety hazards. Regular assessments are essential to ensure employees receive targeted training, enabling them to fulfil their roles safely and effectively.

8. **Outdated Training Programs:** Training programs that are not regularly updated to reflect industry standards and advancements can leave employees ill-prepared for current job requirements. Ensuring training materials are current enhances employee competency and contributes to a safer working environment.

9. **Insufficient Focus on New Hires:** A lack of structured onboarding processes for new employees can lead to their unpreparedness for safety responsibilities. Implementing comprehensive training during onboarding helps ensure that new hires understand their roles and the importance of workplace safety.

10. **Limited Use of Feedback Mechanisms:** Failing to seek employee feedback on training programs and competence development hinders the organization's ability to improve. Actively soliciting input can provide valuable insights that enhance training relevance and effectiveness, fostering a more engaged workforce.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Competence Assessment Process:** The organization lacks a formalized process for identifying the necessary competencies required for specific job roles, resulting in potential gaps in skills and knowledge. This absence may hinder effective performance and compromise overall safety and operational efficiency.

   Example: There are no documented procedures or assessments in place to identify competence requirements for various positions, such as job descriptions or a competence matrix. This absence may lead to unclear expectations and inadequate skill alignment within the organization. FORM NO: XXX

2. **Inadequate Training Records:** The training records for employees lack essential details about the training content, duration, and completion status. This deficiency may hinder the organization's ability to verify compliance with training requirements and ensure employees are adequately prepared for their roles.

   Example: Training logs are either incomplete or missing certificates for employees, reflecting their training status. For example, the Training Record Form TRF-2023-01 shows insufficient documentation of completed training sessions, which could affect compliance and readiness for specific job roles. FORM NO: XXX

3. **No Evaluation of Training Effectiveness**: The organization has failed to assess the effectiveness of its training programs, lacking evaluations to determine if employees can effectively apply their acquired skills and knowledge in practical situations, potentially compromising overall operational safety and performance outcomes.

   Example: There is a lack of follow-up assessments or feedback mechanisms after training sessions, as evidenced by the absence of a Training Effectiveness Report (TER-2023-02). This gap hinders the evaluation of training impact and employee competency application in the workplace. FORM NO: XXX

4. **Failure to Identify Hazards:** Employees lack training and assessment in identifying workplace hazards, which poses significant safety risks. This deficiency could result in increased incidents and accidents, undermining the effectiveness of the organization's health and safety management system and overall workplace safety culture.

   Example: There are no records of hazard identification training or assessments available, including the missing Hazard Identification Training Attendance Sheet (HITS-2023-03). This absence of documentation indicates a potential gap in employee training regarding hazard recognition and safety awareness in the workplace. FORM NO: XXX

5. **Outdated Training Materials:** The training materials utilized are outdated and fail to align with current regulations, best practices, or technologies. This could hinder employees' understanding of essential safety protocols and competencies, potentially leading to compliance issues and increased workplace risks.

Example: The review of training materials indicates the presence of outdated references, such as the Safety Training Manual version 1.0, dated 2018. These materials do not incorporate current regulations or best practices, which may hinder the effectiveness of safety training programs. FORM NO: XXX

6. **Inconsistent Competence Documentation:** Inconsistencies in documenting employee competence create confusion about qualifications and capabilities. This lack of standardization makes it challenging to verify whether employees meet the necessary skill requirements for their roles, potentially impacting safety and operational efficiency within the organization.

   Example: Variations in the format and content of competence records create discrepancies in documentation, leading to potential gaps in compliance. For instance, the absence of a Competence Record for employee 5678 hampers the organization's ability to verify necessary qualifications effectively. FORM NO: XXX

7. **Absence of Mentoring Programs:** The organization lacks a structured mentoring or coaching program aimed at fostering on-going employee development in safety competencies. This absence limits opportunities for skill enhancement and knowledge sharing, potentially affecting overall safety performance and compliance with health and safety standards.

   Example: There are no records of mentoring initiatives or discussions regarding employee development plans. This includes the absence of a Mentorship Program Overview document, which could outline structured support for skill enhancement and career progression in safety competencies within the organization. FORM NO: XXX

8. **Lack of Action on Identified Competency Gaps:** Although the organization has identified competency gaps among employees, it has failed to take appropriate action to address these issues. This includes a lack of training initiatives or reassignment opportunities to help employees develop the necessary skills for their roles.

   Example: The Competency Gap Analysis report identifies existing skill deficiencies but lacks associated action plans to address these gaps. This oversight is documented in the Competency Gap Analysis Report CGA-2023-04, highlighting the need for targeted training or development initiatives. FORM NO: XXX

9. **Inadequate Onboarding Training:** New hires lack adequate training on essential safety practices and competencies necessary for their roles, which could increase the risk of workplace incidents. This deficiency in onboarding training undermines the organization's commitment to maintaining a safe and competent workforce.

   Example: Onboarding training records are missing or incomplete, leading to gaps in new employees' understanding of safety practices and competencies. For example, the New Hire Orientation Checklist NHOC-2023-05 is absent or insufficiently detailed, compromising effective employee integration and safety awareness. FORM NO: XXX

10. **Failure to Retain Competence Records:** The organization fails to retain necessary documented evidence of employee competence, as required. This includes missing records such as training certifications, competency assessments, and performance evaluations, undermining compliance with safety standards and leaving gaps in verifying employee qualifications.

    Example: Destruction or absence of competence documentation in employee files has been noted, including missing Competence Records for employees 1234 and 5678. This lack of documentation hinders the organization's ability to verify qualifications and compliance with required safety standards. FORM NO: XXX

7. SUPPORT

1. STANDARD REQUIREMENTS:

7.3 AWARENESS

Workers shall be made aware of:

The OH&S policy and OH&S objectives;

a. Their contribution to the effectiveness of the OH&S management system, including the benefits of improved OH&S performance;
b. The implications and potential consequences of not conforming to the OH&S management system requirements;
c. Incidents and the outcomes of investigations that are relevant to them;
d. Hazards, OH&S risks and actions determined that are relevant to them;
e. The ability to remove themselves from work situations that they consider present an imminent and serious danger to their life or health, as well as the arrangements for protecting them from undue consequences for doing so.

2. EXPLAINATION:

1. **Awareness of the OH&S Policy and Objectives:** Employees should be informed of the organization's commitment to occupational health and safety through a clear policy and defined objectives. This knowledge fosters a strong safety culture, aligning all staff with OH&S goals and promoting proactive risk awareness. Understanding these goals ensures everyone contributes to a safe work environment, supports compliance with safety standards, and reinforces a shared responsibility for workplace health and safety.

   Example: The Company's OH&S policy emphasizes a commitment to a safe workplace, targeting a 25% reduction in injuries within the next year. To achieve this, regular training sessions inform employees of the policy and safety objectives, including the introduction of new safety equipment. This approach ensures staff is well-informed, engaged, and equipped to actively participate in fostering a safer work environment.

2. **Contribution to the Effectiveness of the OH&S Management System:** Employees play a crucial role in the success of the OH&S management system by understanding how their actions impact overall safety performance. Recognizing the benefits—like a safer workplace and reduced absenteeism—motivates them to adhere to safety practices and contribute proactively. This awareness not only supports organizational goals but also fosters a positive work environment, where everyone feels responsible for maintaining and enhancing safety standards.

   Example: In the construction firm, workers are trained to report near misses and unsafe conditions, fostering a proactive safety culture. Seeing the impact of their reports on reducing accidents, employees become more engaged in safety practices. The company reinforces this by sharing statistics that highlight a drop in injury rates due to increased reporting and preventive actions, motivating continuous participation and emphasizing the value of each worker's contribution to safety.

3. **Implications of Not Conforming to OH&S Management System Requirements:** Workers must recognize the importance of adhering to OH&S requirements, as non-compliance has serious implications. Personally, it can lead to injury or harm; for the organization, it may result in legal consequences and financial penalties. Failing to follow safety protocols also places colleagues at risk, disrupting teamwork and productivity. Understanding these consequences fosters a culture of accountability and encourages commitment to a safe work environment for all.

   Example: A warehouse employee is informed that not wearing required PPE could lead to severe injury from falling objects. They understand that ignoring PPE guidelines could result in disciplinary actions, such as suspension or termination, and expose the company to potential fines or legal action if injuries occur. This knowledge reinforces the importance of PPE in ensuring personal safety and the organization's compliance with OH&S regulations.

4. **Awareness of Incidents and Investigation Outcomes:** Keeping workers informed about workplace incidents and investigation outcomes is vital for fostering a safety-focused culture. Transparency allows employees to understand risks, learn from past mistakes, and implement preventive measures. By openly sharing such information, the organization encourages awareness and proactive behaviour, reinforcing a collective responsibility toward safety. This approach builds trust and demonstrates the company's commitment to continuously improving health and safety standards.

   Example: Following a slip-and-fall accident, management holds a meeting to review the incident, its causes, and the corrective actions implemented, such as enhanced floor maintenance and anti-slip mats. This approach keeps all employees informed, promotes transparency, and underscores the importance of following safety protocols. By sharing these measures, the company reinforces a proactive safety culture and encourages adherence to practices that prevent similar incidents in the future.

5. **Understanding Hazards, OH&S Risks, and Actions:** Employees need to understand the specific hazards and risks linked to their tasks and the preventive actions taken by the organization. This knowledge empowers them to take proactive steps in maintaining a safe environment, as they're aware of both potential dangers and the measures in place to mitigate them. An informed workforce is better equipped to uphold safety standards and contribute to a healthy, risk-aware workplace.

   Example: At a chemical processing plant, workers receive training on the specific chemicals they handle and the associated health risks. They are also briefed on safety measures like ventilation systems and spill containment procedures designed to minimize exposure. This training ensures employees are well-informed, enhancing their ability to work safely. Understanding both risks and protective measures reinforces a commitment to safety and empowers workers to maintain a secure environment.

6. **Right to Remove Themselves from Dangerous Situations:** Workers must be aware that they have the right to withdraw from situations they perceive as an imminent threat to their safety or health. Organizations should foster an environment where employees feel empowered to exercise this right without fear of negative repercussions. By protecting this right, companies demonstrate their commitment to employee well-being, encourage a proactive safety culture, and ensure that all workers can prioritize their health and safety.

Example: A maintenance worker discovers a gas leak and promptly evacuates the area, confident in the company's policies that protect them from reprimand for leaving their post. The organization prioritizes safety by training all employees on emergency response procedures, reinforcing the importance of immediate action in hazardous situations. This commitment to safety ensures that workers can respond swiftly to threats, fostering a culture where health and safety are paramount.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The OH&S policy document outlines the organization's commitment to occupational health and safety. It should include the organization's safety goals, principles, and management's dedication to promoting a safe work environment, ensuring all employees are aware of their rights and responsibilities.

2. **OH&S Objectives and Targets:** Documented OH&S objectives and targets should detail specific, measurable goals that the organization aims to achieve in enhancing safety performance. These documents should clearly outline how these objectives are communicated to employees, fostering a collective commitment to safety practices.

3. **Training Records:** Training records should demonstrate that employees have received appropriate training regarding OH&S policies and procedures. These records must include details on the training content, attendance, dates, and any assessments conducted to ensure employees understand their roles in the OH&S management system.

4. **Communication Records:** Communication records encompass various internal channels used to disseminate information about OH&S policies, objectives, and responsibilities. This may include emails, memos, newsletters, and bulletins, ensuring that all employees are informed and engaged with the organization's safety initiatives.

5. **Incident Reports:** Incident reports document workplace accidents, near misses, and related investigations. These reports should highlight the findings, corrective actions taken, and how the outcomes are communicated to employees, reinforcing the importance of learning from incidents to prevent future occurrences.

6. **Risk Assessments:** Risk assessments identify workplace hazards and evaluate associated risks, documenting the actions taken to mitigate these risks. Employees should be informed about the findings of these assessments and the preventive measures in place, enhancing their awareness of potential dangers.

7. **Employee Awareness Programs:** Documentation of employee awareness programs includes materials, agendas, and attendance records for workshops, seminars, or safety campaigns aimed at increasing knowledge about OH&S policies. These programs should actively involve employees in discussions about safety practices and procedures.

8. **Meeting Minutes:** Meeting minutes should capture discussions related to OH&S issues, policies, and objectives, including employee involvement in safety initiatives. These records demonstrate management's commitment to addressing safety concerns and promoting a culture of continuous improvement in OH&S practices.

9. **Posters and Signage:** Visual aids, such as posters and signage, play a vital role in communicating OH&S information. These materials should be strategically placed throughout the workplace, highlighting key policies, hazards, and employees' rights to refuse unsafe work conditions, enhancing overall safety awareness.

10. **Performance Monitoring Records:** Performance monitoring records track the effectiveness of the OH&S management system, including key performance indicators (KPIs) related to employee awareness. These records may include feedback from employees on safety initiatives and the organization's responses, demonstrating a commitment to continuous improvement.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** The OH&S policy document was reviewed to ensure it is accessible and effectively communicated to all employees. It demonstrates the organization's commitment to maintaining a safe and healthy workplace, promoting awareness and adherence to safety standards among all staff members verified. Example: Reviewed OH&S Policy Document, version 3.2, dated 2023-03-15, document number OP-2023-001, acknowledged by John Doe, Safety Manager.

2. **Training Records:** Training records confirmed that all employees completed required OH&S training, including course content and attendance. This ensures that staff is aware of safety protocols and their responsibilities, reinforcing the organization's commitment to maintaining a safe and compliant workplace reviewed. Example: Training session on "Emergency Response Procedures" held on 2024-01-10, attendance record ID: TR-2024-005, 25 employees participated, led by Jane Smith, Trainer ID: TS-999.

3. **Communication Records:** Communication records show how the OH&S policy and objectives are shared with employees, promoting safety awareness throughout the organization. This transparency fosters a strong safety culture, encouraging all staff to actively engage in maintaining safe and healthy workplace evidence. Example: Email communication dated 2024-02-05, subject: "Updated OH&S Objectives for 2024," sent to all employees, reference number: COM-2024-042, by Mark Johnson, HR Director.

4. **Incident Reports:** Incident reports document workplace accidents and near misses, detailing investigations and corrective actions taken. This process promotes learning from incidents and reinforces preventive measures, enhancing overall safety awareness and helping to reduce future occurrences within the organization verified. Example: Incident Report IR-2024-018 filed on 2024-03-12, regarding slip-and-fall accident in Warehouse A, investigated by Sarah Lee, Safety Officer, report number: INV-2024-017.

5. **Risk Assessments:** Risk assessments identify workplace hazards and associated risks, ensuring that mitigation actions are effectively communicated to relevant employees. This proactive approach enhances safety awareness and fosters a culture of prevention, empowering staff to contribute to safer work environment evidence. Example: Risk Assessment RA-2024-003 completed on 2024-01-20, covering chemical handling procedures, conducted by Robert Brown, HSE Specialist, document number: HAZ-2024-009.

6. **Employee Awareness Programs:** Records of employee awareness programs highlight efforts to educate staff on OH&S policies and procedures. These initiatives ensure that employees are engaged and fully understand safety protocols, fostering a culture of safety and responsibility within the organization reviewed. Example: Awareness Workshop “Safety First” held on 2024-02-25, workshop ID: AW-2024-001, 30 attendees, facilitated by Emma Wilson, document number: AW-DOC-2024-006.

7. **Meeting Minutes:** Minutes from safety meetings document discussions on OH&S policies, incidents, and potential improvements. These records reflect employee involvement and management's commitment to safety, promoting a collaborative approach to enhancing workplace health and safety practices throughout the organization verified. Example: Safety Committee Meeting minutes dated 2024-03-01, meeting number: SC-2024-003, attended by 12 members, documented by Tom Harris, Secretary, reference number: MIN-2024-015.

8. **Posters and Signage:** Evidence of safety posters and signage throughout the workplace reinforces OH&S messages and employees' rights. This visible commitment to safety contributes to a culture of awareness, reminding staff of their responsibilities and the importance of maintaining a safe work environment reviewed. Example: Safety poster titled “Wear Your PPE” displayed in Warehouse A, installed on 2024-01-15, poster ID: SIGN-2024-007, inspected during walkthrough on 2024-03-10.

9. **Performance Monitoring Records:** Records of performance monitoring illustrate the assessment of OH&S management effectiveness, including metrics and evaluations. They incorporate employee feedback on awareness initiatives, highlighting the importance of continuous improvement and engagement in promoting safe and healthy workplace environment evidence. Example: Monthly OH&S Performance Review report, report number PR-2024-004, covering January 2024, reviewed on 2024-02-05, submitted by Anna Chen, Quality Manager.

10. **Emergency Procedures:** Documented emergency procedures offer clear guidelines for employees, ensuring they understand how to respond effectively in emergencies. This reinforces their right to safety and empowers them to act confidently, contributing to a safer workplace during critical situations verified. Example: Emergency Procedures Manual, version 2.1, issued on 2023-12-01, document number EP-2023-005, reviewed by John Doe, Safety Manager, updated for clarity.

5. INTERVIEW QUESTIONS:

1. Can you explain the organization's OH&S policy and objectives, and how are these communicated to all workers in your department?
2. How do you ensure that employees understand their roles and contributions to the effectiveness of the OH&S management system?
3. Can you provide examples of how improved OH&S performance has benefited your work environment and the organization as a whole?
4. What specific implications and potential consequences have you discussed with employees regarding non-conformance to the OH&S management system requirements?

5. How are incidents reported, and what mechanisms are in place to communicate the outcomes of investigations to relevant employees?
6. Can you describe a recent incident and how the investigation findings were communicated to affected workers?
7. What processes do you have in place to identify and communicate hazards and OH&S risks that are relevant to your team?
8. How do you keep employees informed about the actions taken to mitigate identified hazards and risks in their work areas?
9. Are employees aware of their right to remove themselves from work situations that pose an imminent danger to their health or safety? Can you elaborate on how this is communicated?
10. What arrangements are in place to ensure that workers are protected from undue consequences if they choose to remove themselves from dangerous situations?
11. How do you assess the effectiveness of your awareness programs related to OH&S policies and objectives?
12. Can you share any feedback received from employees about the OH&S awareness initiatives and how that feedback has influenced changes in the program?
13. How do you monitor and evaluate the engagement of employees in OH&S matters, and what metrics do you use to assess their awareness?
14. Are there any refresher training sessions or on-going communications about OH&S policies? If so, how often do they occur?
15. How do you ensure that new employees are adequately informed about OH&S policies, objectives, and their responsibilities during the onboarding process?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear Communication of OH&S Policy:** The organization has effectively disseminated its Occupational Health and Safety (OH&S) policy to all employees, utilizing various communication channels. This ensures that every worker understands the importance of adhering to safety guidelines and objectives in their daily activities.
2. **Employee Involvement in OH&S:** Workers are actively encouraged to participate in OH&S initiatives through safety committees and suggestion programs. This involvement not only fosters a sense of ownership among employees but also enhances their commitment to maintaining a safe working environment.
3. **Comprehensive Training Programs:** The organization offers robust training sessions tailored to different roles, covering critical aspects of the OH&S management system. Employees receive on-going education about their responsibilities, promoting a culture where safety is prioritized and everyone is equipped to contribute effectively.
4. **Proactive Hazard Identification:** A well-defined process for hazard identification exists, which involves regular safety audits and employee input. This proactive approach enables the organization to address potential risks before they escalate, demonstrating a commitment to creating a safer workplace for all.

5. **Transparency in Incident Reporting:** The organization maintains an open and transparent incident reporting system. Employees are informed about incident investigations and findings, fostering a culture of learning where everyone understands the root causes and can implement preventive measures to avoid future occurrences.

6. **Supportive Environment for Reporting Concerns:** Employees are assured that they can report unsafe conditions or practices without fear of retaliation. This supportive environment encourages open communication about safety issues, enhancing overall workplace safety and promoting employee well-being.

7. **Encouragement of Immediate Action:** Clear procedures empower employees to remove themselves from hazardous situations without hesitation. This policy not only prioritizes employee safety but also reinforces the organization's commitment to protecting its workforce from potential dangers.

8. **Regular Updates and Refresher Training:** The organization conducts regular refresher training sessions and safety updates to keep employees informed about current OH&S practices. This continuous education ensures that all workers remain aware of any changes to safety protocols and best practices.

9. **Positive Feedback Mechanisms:** Established channels for employee feedback on OH&S practices are utilized effectively. This feedback is actively sought and valued, demonstrating that the organization is committed to continuous improvement and responsive to the needs and concerns of its workforce.

10. Integration of OH&S into Business Culture: The organization has successfully embedded OH&S awareness into its overall business culture. This integration highlights the significance of safety in daily operations, ensuring that all employees prioritize health and safety in their decision-making processes.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Insufficient Communication Channels:** Relying solely on emails for disseminating the OH&S policy may lead to gaps in employee understanding. Implementing multiple communication channels, such as posters, team meetings, and digital platforms, can enhance information retention and ensure that all workers are adequately informed.

2. **Lack of Tailored Training:** General training sessions may fail to address specific roles and associated hazards. Developing customized training programs that cater to different job functions can significantly improve employee engagement and effectiveness in recognizing and mitigating job-specific safety risks.

3. **Infrequent Updates on OH&S Policies:** If the OH&S policy and objectives are not reviewed regularly, employees may lack awareness of the latest safety measures. Establishing a systematic review process ensures that all staff are informed about any changes, reinforcing the importance of compliance.

4. **Limited Employee Participation in Safety Initiatives:** When employees are not actively involved in safety committees or initiatives, they may feel disconnected from the overall

safety culture. Encouraging broader participation can cultivate a sense of ownership, enhancing engagement and commitment to safety practices.

5. **Insufficient Awareness of Consequences for:** Employees may not fully grasp the implications of failing to adhere to OH&S requirements. Clearly communicating the potential consequences, both for individuals and the organization, can reinforce the importance of compliance and encourage safer behaviours.

6. **Lack of Incident Reporting Mechanisms:** If there are inadequate channels for reporting incidents, important safety concerns may go unaddressed. Implementing accessible and anonymous reporting systems encourages employees to voice their concerns, fostering a transparent safety culture that prioritizes responsiveness.

7. **Inadequate Follow-Up on Incident Investigations:** Employees may feel frustrated if they are not informed about the outcomes of incident investigations. Regularly sharing investigation results and subsequent actions taken demonstrates a commitment to learning from incidents and improving safety measures for the future.

8. **Limited Focus on Hazard Awareness:** Workers may not be adequately informed about specific hazards and risks in their work areas, compromising their safety. Conducting regular hazard assessments and sharing findings can help reinforce the importance of staying vigilant and aware of potential dangers.

9. **Insufficient Training on the Right to Withdraw:** Employees may not fully understand their right to remove themselves from unsafe situations. Conducting training sessions explicitly addressing this right empowers workers to act on their instincts regarding safety, fostering a more proactive approach to workplace hazards.

10. **Lack of Safety Culture Assessment:** Regular assessments of the organization's safety culture can help identify gaps in awareness and engagement. By conducting periodic evaluations, the organization can gather valuable insights, informing strategies for enhancing safety practices and improving overall performance.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Communication of OH&S Policy:** The organization has not effectively communicated its OH&S policy to all workers, resulting in a lack of awareness and understanding of safety protocols. This failure undermines the commitment to maintaining a safe work environment and can lead to increased risks and incidents.

   Example: There are no documented communication records or materials, such as notice boards, emails, or training sessions, to inform employees about the OH&S policy. For instance, no emails have been sent regarding policy updates in the past year, indicating a significant communication gap. FORM NO: XXX

2. **Insufficient Training on OH&S Objectives:** Workers have not received training on OH&S objectives that are pertinent to their specific roles, leading to gaps in understanding and adherence to safety protocols. This lack of targeted training compromises their ability to effectively contribute to a safe and compliant work environment.
   Example: Training records reveal that only a small percentage of employees attended OH&S training sessions, as shown in Training Report TR-2023-01, which indicates just 20% participation. This low attendance highlights significant gaps in safety training and awareness across the organization. FORM NO: XXX

3. **Inadequate Awareness of Employee Contributions:** Employees are unaware of how their actions impact the effectiveness of the OH&S management system. This lack of understanding can hinder their engagement and commitment to safety practices, ultimately compromising the organization's overall safety performance and risk mitigation efforts.

   Example: Survey results indicate that over 50% of workers cannot articulate their role in the OH&S management system, as evidenced by the Employee Awareness Survey EA-2023, which shows low scores. This lack of clarity undermines employee engagement and the overall effectiveness of safety initiatives. FORM NO: XXX

4. **Lack of Information on Non-Conformance Consequences:** The organization has failed to communicate the implications of not conforming to OH&S requirements, leaving employees unaware of potential consequences. This oversight can lead to non-compliance, increased risks, and a lack of accountability within the workplace, ultimately jeopardizing safety efforts.

   Example: There is missing documentation outlining the consequences of non-compliance with OH&S requirements, evidenced by the absence of communication records on this topic in the last six months. This lack of information may lead to employee misunderstandings and increased risks in the workplace. FORM NO: XXX

5. **Failure to Report Relevant Incidents:** Employees are not informed about incidents or the outcomes of investigations that are relevant to their roles. This lack of communication prevents workers from learning from past mistakes and understanding potential hazards, undermining efforts to foster a culture of safety and awareness in the workplace.

   Example: Incident reports have been filed but not shared with affected workers, as demonstrated by Incident Report IR-2023-15, which shows no distribution list for impacted staff. This lack of transparency limits employees' awareness of hazards and undermines the organization’s commitment to safety. FORM NO: XXX

6. **Insufficient Hazard Awareness:** Workers lack awareness of hazards and OH&S risks specific to their work areas, which can lead to unsafe practices and increased likelihood of accidents. This deficiency in knowledge undermines the organization’s safety initiatives and poses significant risks to employee health and well-being.

   Example: There is a lack of hazard communication documents or safety data sheets, evidenced by the absence of Safety Data Sheet SDS-2023 for specific chemicals used on-site. This deficiency compromises employees' ability to understand and manage risks associated with hazardous materials in their work environment. FORM NO: XXX

7. **No Access to Removal Procedures:** Workers are not informed about their right to remove themselves from dangerous situations, leaving them vulnerable in hazardous conditions. This lack of communication undermines their safety and can lead to increased risks, as employees may hesitate to act without awareness of their rights.
   Example: There is an absence of documentation or training sessions addressing employee rights related to unsafe conditions, as demonstrated by Training Material TM-2023-05, which does not mention removal rights. This gap leaves workers uninformed about their protections in hazardous situations, compromising workplace safety. FORM NO: XXX

8. **Failure to Address Employee Concerns:** There are no mechanisms in place for employees to voice safety concerns or report hazards, leaving them without a formal avenue to address potential risks. This lack of communication channels can lead to unresolved issues, ultimately jeopardizing workplace safety and employee well-being.

   Example: There are no records of safety meetings or forums held to discuss employee concerns, as evidenced by the absence of Meeting Minutes MM-2023 for recent safety discussions. This lack of documentation hinders open communication and prevents the organization from addressing safety issues effectively. FORM NO: XXX

9. **Inadequate Follow-Up on Incident Investigations:** The organization fails to communicate the outcomes of incident investigations back to workers, resulting in a lack of transparency and missed opportunities for learning. This oversight diminishes trust and prevents employees from understanding how to prevent similar incidents in the future.

   Example: Investigation reports have been filed but not shared with relevant employees, as illustrated by Investigation Report IR-2023-03, which lacks distribution records. This absence of communication restricts employees' access to critical information needed for improving safety practices and preventing future incidents. FORM NO: XXX

10. **Lack of Safety Signage and Visual Aids:** There is insufficient signage or visual aids to raise awareness of hazards in the workplace. This deficiency hinders employees' ability to identify potential dangers and decreases overall safety awareness, increasing the risk of accidents and undermining the organization’s commitment to a safe environment.

    Example: Inspection records reveal missing or outdated safety signs in critical areas, as highlighted by Safety Audit Report SAR-2023, which indicates absent signage. This oversight compromises hazard awareness among employees and increases the likelihood of accidents in essential workspaces, undermining safety protocols. FORM NO: XXX

7 SUPPORT

1. STANDARAD REQUIREMENTS:

7.4 COMMUNICATION

7.4.1 GENERAL

The organization shall establish, implement and maintain the process (es) needed for the internal and external communications relevant to the OH&S management system, including determining:

a) On what it will communicate;
b) When to communicate;
c) With whom to communicate:
   i. Internally among the various levels and functions of the organization;
   ii. Among contractors and visitors to the workplace;
   iii. Among other interested parties;
d) How to communicate.

The organization shall take into account diversity aspects (e.g. gender, language, culture, literacy, disability) when considering its communication needs.

The organization shall ensure that the views of external interested parties are considered in establishing its communication process (es).

When establishing its communication process (es), the organization shall:

i. Take into account its legal requirements and other requirements;

ii. Ensure that OH&S information to be communicated is consistent with information generated within the OH&S management system, and is reliable.

The organization shall respond to relevant communications on its OH&S management system.

The organization shall retain documented information as evidence of its communications, as appropriate.

2. EXPLAINATION:

1. **Establishing Communication Processes:** Effective communication in occupational health and safety (OH&S) involves identifying the types of information that need to be conveyed, recognizing the stakeholders involved, and determining the appropriate methods of communication. It is crucial to ensure that all relevant parties are informed about OH&S policies, practices, and updates. By fostering open communication channels, organizations can enhance awareness, engagement, and compliance with safety standards, ultimately promoting a safer work environment.

   Example: A manufacturing company has implemented a new safety protocol for handling hazardous materials. To communicate this effectively, the company conducts monthly safety meetings and distributes a safety bulletin via email to all employees. For external communication, contractors and suppliers are informed through formal letters, and they receive safety training sessions to ensure understanding and compliance with the new protocol, fostering a culture of safety throughout the organization and its partnerships.

2. **Determining What to Communicate:** Effective communication in occupational health and safety (OH&S) includes identifying key messages that must be conveyed, such as safety procedures, accident reports, safety training schedules, and updates on relevant legislation. By clearly articulating these messages, organizations ensure that employees and stakeholders are informed about important safety practices and compliance requirements. This proactive approach fosters a culture of safety, enhancing overall awareness and commitment to maintaining a safe working environment.

   Example: In the case of the manufacturing company, key topics communicated include new safety policies and procedures, which outline updated practices for employees. Incident reports and analyses provide insights into previous accidents, while results from safety audits offer transparency about the effectiveness of safety measures. Additionally, updates regarding changes in legal requirements ensure that all employees remain compliant with relevant regulations, reinforcing the company's commitment to a safe work environment.

3. **Determining When to Communicate:** Timing is crucial in occupational health and safety (OH&S) communications. Regular updates help reinforce safety standards and keep employees informed about ongoing practices and policies. Additionally, immediate notifications during incidents are essential to ensure swift responses and mitigate risks. By prioritizing timely communication, organizations can enhance awareness, foster a proactive safety culture, and effectively address emerging hazards, ultimately contributing to a safer work environment for all employees.

   Example: In the manufacturing company, routine updates are provided through safety briefings at the start of each shift, ensuring that employees are aware of current safety practices and any changes. In the event of a workplace accident, urgent communication protocols are enacted, promptly informing all relevant parties, including employees and contractors. This immediate notification allows for quick action to address the situation and implement appropriate measures to prevent further incidents, enhancing overall safety.

4. **Determining with Whom to Communicate:** Communication regarding occupational health and safety (OH&S) must be tailored to various stakeholders both within and outside the organization. Internally, messages should address employees at different levels, departments, and functions to ensure comprehensive understanding. For contractors and visitors, it's crucial to inform them about safety policies and procedures while on-site. Additionally, communication with interested parties, including regulatory bodies, community representatives, and clients, helps maintain transparency and fosters trust in the organization's commitment to safety.

   Example: The Company conducts separate safety training sessions tailored to different groups. For employees, training focuses on specific roles and responsibilities, ensuring they understand their obligations regarding safety protocols. Contractors receive training that covers general safety practices as well as site-specific hazards to mitigate risks while working. Additionally, visitors are given brief safety orientations before entering the facility, providing them with essential information to ensure their safety during their time on-site.

5. **Determining How to Communicate:** Choosing effective communication methods is essential to ensure that messages reach the target audience and promote understanding. For instance, visual aids such as posters and info graphics can enhance retention for employees, while interactive training sessions can engage contractors effectively. Digital communication, such as emails or intranet updates, is suitable for disseminating information quickly. Ultimately, selecting the right channels ensures that all stakeholders are informed and can respond appropriately to safety protocols and updates.

   Example: Effective communication methods for occupational health and safety (OH&S) include various formats. Verbal communication is facilitated through safety briefings and meetings, ensuring real-time interaction and clarification. Written communication encompasses safety manuals, newsletters, posters displayed in common areas, and

informative emails to reach employees consistently. Additionally, digital communication utilizes a dedicated section on the company's intranet, providing easy access to OH&S updates and resources, fostering a culture of safety awareness throughout the organization.

6. **Considering Diversity Aspects:** Communication methods must be inclusive and sensitive to diverse factors such as gender, language, culture, literacy levels, and disabilities. Tailoring communication ensures that all stakeholders can comprehend and engage with the information effectively. This might involve offering multilingual resources, simplifying language for clarity, using visual aids, and providing alternative formats for individuals with disabilities. Such considerations foster a more inclusive workplace, promoting safety awareness and engagement across the entire organization.

   Example: The Company prioritizes effective communication by providing safety materials in multiple languages spoken by its workforce, ensuring that all employees can access essential information. Additionally, safety instructions utilize simplified language and incorporate visuals, such as info graphics, to enhance understanding. This approach addresses varying literacy levels and helps create a safer work environment by making safety information more accessible and comprehensible for everyone.

7. **Considering Views of External Interested Parties:** Involving external stakeholders in the organization's OH&S practices enhances transparency and accountability. By actively engaging with community members, regulatory agencies, and industry partners, the organization can better understand and address their concerns. This responsiveness fosters trust and collaboration, ensuring that safety initiatives align with community needs and regulatory requirements, ultimately contributing to a safer workplace and a positive organizational reputation.

   Example: The Company regularly conducts surveys among nearby community members and regulatory representatives to collect their insights on safety concerns related to the manufacturing site. This proactive approach helps identify potential issues and fosters positive relationships with stakeholders. The valuable feedback gathered is then utilized to enhance safety practices and refine communication strategies, ensuring that the organization addresses community concerns while maintaining high safety standards.

2. **Legal and Other Requirements:** Compliance with applicable laws and standards regarding workplace safety communications is essential for the organization. This involves adhering to regulatory requirements, such as providing clear safety information, maintaining accurate documentation, and ensuring timely reporting of incidents. By following these guidelines, the organization not only protects its employees but also demonstrates its commitment to fostering a safe working environment, ultimately enhancing overall organizational integrity and reputation within the industry.

   Example: The Company conducts regular reviews of local OH&S regulations to ensure compliance with workplace safety standards. This includes updating communication processes to meet legal requirements, such as timely reporting of incidents to regulatory bodies. By maintaining this proactive approach, the organization demonstrates its commitment to safety and regulatory adherence, ensuring that all safety communications are aligned with current laws and effectively protecting the health and well-being of employees and stakeholders.

3. **Consistency and Reliability of Information:** All communications must align with the information produced by the OH&S management system to foster trust and maintain integrity within the organization. Consistency in messaging reinforces the credibility of safety protocols and practices. By ensuring that all safety communications reflect accurate data and insights from the OH&S system, the organization cultivates a culture of transparency, accountability, and commitment to continuous improvement in occupational health and safety.

Example: In the event of an accident, it is crucial that the details communicated to employees during safety meetings and via emails align with the findings outlined in the incident investigation report. This consistency ensures that the message regarding lessons learned and subsequent safety improvements is clear and credible. By reinforcing accurate information, the organization promotes a culture of safety, accountability, and continuous improvement, thereby enhancing employee trust in the communication process.

2. **Responding to Communications:** Effective communication goes beyond merely disseminating information; it involves actively engaging with stakeholders by responding to their inquiries, concerns, and feedback. This two-way communication fosters a collaborative environment where employees feel valued and heard. By addressing questions and suggestions, organizations can enhance their OH&S management system; adapt safety practices based on input, and build stronger relationships with all stakeholders, ultimately contributing to a safer workplace.

   Example: When employees express concerns about specific safety practices, the management team takes immediate action by organizing follow-up meetings to discuss the issues raised. This open dialogue allows employees to voice their opinions and experiences, leading to meaningful improvements. Subsequently, necessary changes are implemented in safety protocols based on the feedback gathered, demonstrating the organization's commitment to listening to its workforce and prioritizing a safer work environment.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Communication Policy Document:** A communication policy document outlines the organization's commitment to effective communication regarding occupational health and safety (OH&S). It should specify objectives, responsibilities, and protocols for disseminating information to ensure that all stakeholders are informed and engaged in safety practices.

2. **Internal Communication Plan:** The internal communication plan details how safety-related information flows within the organization. It should outline methods, frequency, and channels of communication, such as meetings, emails, or intranet postings, ensuring that all employees are aware of relevant OH&S updates and policies.

3. **External Communication Plan:** An external communication plan specifies how the organization engages with outside stakeholders, including contractors, visitors, and regulatory agencies. This plan should define protocols for sharing safety information, addressing concerns, and promoting transparency regarding OH&S practices and incidents.

4. **Communication Procedures:** Communication procedures describe step-by-step processes for effectively sharing OH&S information. They should outline who is responsible for communication, the methods used (e.g., written, verbal), and the types of information communicated, ensuring consistency and reliability in messaging.

5. **Training Records:** Training records provide evidence of the organization's efforts to educate employees and contractors on OH&S policies and communication practices. These records should include training materials, attendance logs, and feedback, demonstrating a commitment to fostering a safe work environment.

6. **Safety Meeting Minutes:** Minutes from safety meetings capture discussions on safety topics, decisions made, and action items assigned. They serve as a record of ongoing communication efforts, demonstrating how the organization engages employees in OH&S matters and follows up on safety concerns.

7. **Incident Reports:** Incident reports document workplace accidents or near misses, detailing the circumstances, investigations, and corrective actions taken. Auditors should review these reports to evaluate how effectively the organization communicates about incidents internally and externally to promote learning and improvement.

8. **Safety Bulletins/Newsletters:** Safety bulletins or newsletters inform employees about safety issues, new policies, and best practices. These documents should be regularly distributed and accessible, serving as a tool to reinforce safety culture and keep employees informed about OH&S developments.

9. **Feedback and Survey Records:** Feedback and survey records show how the organization gathers input from employees and stakeholders regarding safety communication effectiveness. This evidence helps auditors assess whether the organization actively seeks opinions and uses feedback to enhance its OH&S communication strategies.

10. **Communication with External Stakeholders:** Documentation of communications with external stakeholders includes letters, emails, or reports sent to regulatory bodies or community members. Auditors should verify that these communications address safety issues and demonstrate the organization's commitment to transparency and responsiveness.

4. OBJECTIVE EVIDENCES

1. **Communication Policy Document:** A review of the organization's communication policy document revealed it lacks specific procedures for occupational health and safety (OH&S) communication. This oversight indicates a need for updates to ensure effective dissemination of OH&S policies, practices, and updates to all relevant stakeholders verified. Example: Document Number: CP-001, Revision Date: 2024-01-15, Approved by: John Doe, Safety Manager.

2. **Internal Communication Plan:** An examination of the internal communication plan revealed insufficient details on how safety information is disseminated to employees. The plan lacks structured methods for regular updates, feedback mechanisms, and documentation of communication channels, indicating a need for improvement to enhance employee awareness of safety practices evidence. Example: Document Number: ICP-2024, Plan Version: V3.0, Effective Date: 2024-03-01.

3. **Training Records:** Verification of training records indicates that not all employees have received training on OH&S communication practices. Records show gaps in attendance, highlighting a need for comprehensive training to ensure all staff understands effective communication regarding safety protocols and their responsibilities in the organization reviewed. Example: Training Session Number: TR-567, Date: 2024-04-10, Attendees: 25 Employees, Facilitated by: Sarah Smith.

4. **Safety Meeting Minutes:** Review of safety meeting minutes reveals limited discussions on OH&S communications, with few references to communication strategies or updates. This indicates a potential oversight in addressing the importance of effective communication regarding safety policies and practices among employees during these meetings reviewed. Example: Meeting Minutes Number: SM-0424, Date: 2024-04-15, Attendees: Dept. Heads, Key Points Discussed: Incident Reporting.

5. **Incident Reports:** Assessment of incident reports shows inconsistent communication regarding safety incidents, with some reports lacking distribution to affected employees. This highlights a gap in the process of informing relevant stakeholders about incidents

and the actions taken to prevent future occurrences, affecting overall safety awareness evidence. Example: Incident Report Number: IR-2024-005, Incident Date: 2024-05-02, Reported by: Alex Johnson, Action Taken: Safety Training Issued.

6. **Safety Bulletins/Newsletters:** Review of safety bulletins and newsletters distributed to employees indicates regular communication of safety updates and protocols. However, some bulletins lack detailed information on specific incidents or hazard awareness, suggesting an opportunity for improvement in ensuring comprehensive safety messaging to all employees reviewed. Example: Bulletin Number: SB-2024-03, Issue Date: 2024-06-01, Distribution List: All Staff, Topics: Heat Stress Prevention.

7. **Feedback and Survey Records:** Evaluation of feedback collected from employees on safety communication effectiveness reveals mixed responses. While some employees feel adequately informed, others express concerns about the clarity and frequency of communications, highlighting the need for enhancements in the dissemination of safety information throughout the organization evidence. Example: Survey Report Number: FSR-2024-02, Date Conducted: 2024-07-10, Response Rate: 80%, Key Findings: Need for More Training.

8. **Documentation of External Communications:** Review of correspondence with external stakeholders regarding OH&S matters indicates active engagement and responsiveness. Documentation shows regular communication with regulatory bodies and community representatives, reflecting the organization's commitment to transparency and compliance, as well as addressing concerns related to workplace safety effectively verified. Example: Communication Reference Number: EC-2024-06, Date: 2024-08-15, Sent to: Local Regulatory Agency, Subject: Safety Compliance Update.

9. **Visual Aids and Signage:** Inspection of visual aids and signage in the workplace confirms that they are clear, relevant, and easily understood by employees. Signage effectively communicates safety procedures and hazards, ensuring compliance with OH&S standards and fostering a culture of safety awareness throughout the facility verified. Example: Signage Code: SIGN-2024-001, Installation Date: 2024-09-01, Location: Main Entrance, Message: Emergency Evacuation Procedures.

10. **Response Records:** Documentation outlines the organization's procedures for addressing inquiries or concerns regarding OH&S communication. It includes response timelines, responsible personnel, and methods for tracking inquiries to ensure all employee concerns are acknowledged and effectively resolved, fostering a transparent and responsive safety culture verified. Example: Response Record Number: RR-2024-04, Date of Inquiry: 2024-09-10, Respondent: Lisa White, HR, Response Sent: 2024-09-12.

5. INTERVIEW QUESTIONS:

1. Can you describe the processes you have established for internal and external communications regarding your OH&S management system?

2. What specific types of OH&S information do you communicate to employees, contractors, and external stakeholders, and how do you determine what to communicate?

3. How do you decide when to communicate OH&S information to different stakeholders within the organization and externally?

4. Can you provide examples of communication channels used for internal communications, such as meetings, emails, or digital platforms?

5. How do you ensure that contractors and visitors to the workplace receive relevant OH&S communication?

6. In what ways do you communicate OH&S information to other interested parties, such as regulatory agencies or community groups?

7. How do you consider diversity aspects (e.g., gender, language, culture, literacy, disability) when developing your communication processes for OH&S?

8. Can you demonstrate how the views of external interested parties are integrated into your communication processes?

9. What legal requirements and other regulations do you consider when establishing your OH&S communication processes?

10. How do you ensure that the information communicated about OH&S is consistent with the data generated within the OH&S management system?

11. What measures do you have in place to verify the reliability of the OH&S information communicated to stakeholders?

12. How do you respond to inquiries or concerns raised by employees or external parties regarding your OH&S management system?

13. Can you provide evidence of how feedback from stakeholders is utilized to improve your OH&S communication processes?

14. Are there documented procedures that outline how communications regarding OH&S are managed, and who is responsible for these communications?

15. How do you evaluate the effectiveness of your communication processes related to OH&S, and what metrics do you use to assess this?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Well-Defined Communication Processes:** The organization has established comprehensive communication processes that effectively outline how OH&S information is shared both internally and externally. This proactive approach ensures that all relevant stakeholders are informed about safety practices, fostering a culture of safety awareness.

2. **Diverse Communication Strategies:** By actively considering diversity aspects such as language, culture, and literacy levels, the organization tailors its communication strategies to meet the varied needs of its workforce. This inclusivity enhances understanding and engagement, ensuring that all stakeholders can comprehend safety information effectively.

3. **Stakeholder Engagement:** The organization prioritizes engagement with external interested parties, including regulatory bodies and community representatives, to gather their insights on OH&S matters. By incorporating their perspectives, the organization demonstrates transparency and a commitment to collaborative safety management practices.

4. **Documented Communication Plans:** The auditee has created documented communication plans that specify what information is communicated, when it occurs, and the intended audience. This structured approach to managing OH&S communications enhances clarity, accountability, and overall effectiveness in safety information dissemination.

5. **Timely Communication:** The organization recognizes the importance of timely communication by establishing clear timelines for sharing OH&S information. This practice keeps all stakeholders informed and engaged; ensuring that safety practices are consistently applied and those issues are addressed promptly.

6. **Regular Training:** Regular training sessions are conducted to educate employees about OH&S communication processes and responsibilities. This ongoing education fosters a deeper understanding of safety practices and encourages a culture of responsibility, ultimately enhancing the organization's safety performance.

7. **Integration with Legal Requirements:** The organization takes into account legal and regulatory requirements when developing its communication processes. This diligent approach ensures compliance with laws and standards, reinforcing the organization's commitment to maintaining a safe and legally compliant workplace.

8. **Reliability of Information:** Mechanisms are in place to ensure that OH&S information communicated is consistent and reliable. This focus on accuracy supports informed decision-making, promotes trust among stakeholders, and contributes to a culture of safety within the organization.

9. **Feedback Mechanisms:** The organization has implemented feedback mechanisms to capture responses from employees and stakeholders regarding OH&S communications. This commitment to listening and responding fosters continuous improvement and encourages a culture of open communication and collaboration in safety management.

10. **Responsive Communication Culture:** The auditee demonstrates a responsive communication culture by addressing inquiries and concerns related to the OH&S management system promptly. This proactive engagement enhances stakeholder confidence and fosters a collaborative environment where safety concerns are prioritized and addressed effectively.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Documented Communication Process:** The absence of a structured, documented communication process hinders the organization's ability to ensure consistent messaging regarding OH&S. Implementing a formal communication protocol can promote clarity, enhance accountability, and provide a reference for all stakeholders involved.

2. **Insufficient Training on Communication Protocols:** When employees lack adequate training on OH&S communication protocols, they may misinterpret or overlook critical safety information. Developing comprehensive training programs tailored to various roles can significantly improve understanding and ensure everyone is informed about their communication responsibilities.

3. **Limited Consideration of Diversity:** Failing to address diversity in communication strategies can alienate employees from various backgrounds. Enhancing communication materials to accommodate different languages and cultural contexts will foster inclusivity, ensuring that all employees have access to vital OH&S information and feel engaged.

4. **Infrequent Communication Updates:** Irregular communication about OH&S practices can lead to misinformation and a lack of awareness. Establishing a routine schedule for updates will ensure stakeholders remain informed, promoting a proactive culture of safety and timely awareness of important issues.

5. **Inadequate Feedback Mechanisms:** Without effective feedback mechanisms, the organization may struggle to gauge the effectiveness of its communications. Implementing structured feedback channels, such as surveys or suggestion boxes, can help gather valuable insights and foster a culture of continuous improvement.

6. **Failure to Integrate External Perspectives:** Neglecting to consider external stakeholder views can lead to misaligned communication strategies. Actively engaging an external party, such as regulatory bodies and community representatives, ensures that communications are relevant, fostering collaboration and enhancing the organization's credibility.

7. **Unclear Communication Responsibilities:** If roles regarding OH&S communications are ambiguous, it can result in confusion and inefficiencies. Clearly defining responsibilities ensures accountability and empowers employees to take ownership of their roles in disseminating safety information effectively.

8. **Legal and Regulatory Compliance Gaps:** Not fully incorporating legal requirements into communication processes can expose the organization to compliance risks. Regularly reviewing and updating communication practices in alignment with relevant laws can mitigate these risks and enhance the organization's legal standing.

9. **Inconsistent Information Delivery:** If communicated information varies from that generated within the OH&S management system, it undermines trust. Implementing verification processes to ensure consistency will reinforce the reliability of communications and help maintain stakeholder confidence in the organization's safety practices.

10. **Poor Documentation of Communication Outcomes:** Lack of documentation on communication outcomes limits the organization's ability to assess effectiveness. Establishing a system for tracking communication results will provide valuable insights into what works, allowing for informed decisions about future communications and strategies.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of a Communication Process Document:** The organization lacks a formalized process for internal and external communications regarding occupational health and safety. There are no documented procedures or guidelines outlining how information related to OH&S will be shared with employees, contractors, and external stakeholders, hindering effective communication.

   Example: The absence of Document ID: COMM/OSH/001 in the document control system confirms there is no formal communication procedure in place for occupational health and safety. This lack of documentation hinders structured communication regarding OH&S policies, practices, and updates within the organization. FORM NO: XXX

2. **Inconsistent Communication Content:** The communicated content regarding OH&S issues does not align with the data from the OH&S management system, leading to potential confusion among employees. For instance, safety meeting discussions contradict the findings from recent incident reports, undermining trust in the organization's commitment to safety.

   Example: Email communications (Ref: OH&S/EMAIL/2024-03) contradict the latest safety protocols detailed in the OH&S Manual (Version 2.0). This inconsistency could confuse employees regarding safety practices, potentially undermining the organization's commitment to maintaining a safe working environment and effective communication. FORM NO: XXX

3. **Infrequent Updates to Stakeholders:** The organization lacks a scheduled communication plan for updating stakeholders on OH&S matters. This absence may lead to inconsistent information dissemination, resulting in stakeholders being uninformed about important safety updates, changes in protocols, and other critical OH&S developments, which could jeopardize overall safety efforts.

   Example: A review of communication logs revealed that updates have not been issued since the last quarterly report dated January 15, 2024, contradicting the planned schedule of monthly updates. This gap in communication could hinder stakeholder awareness and engagement regarding OH&S matters. FORM NO: XXX

4. **Failure to Address Diversity Needs:** The organization has not incorporated diversity aspects into its communication strategy, resulting in misunderstandings among employees. This oversight may lead to misinterpretations of safety protocols and policies, ultimately affecting overall workplace safety and employee engagement in OH&S initiatives.

   Example: Training materials are provided solely in English, lacking translations for employees who speak Spanish or other languages, as evidenced by Training Material ID: TRAIN/OSHE/2024. This limitation hampers understanding and engagement among non-English speaking staff regarding important OH&S policies and procedures. FORM NO: XXX

5. **No Feedback Mechanism:** there is any established mechanism for gathering feedback from employees regarding OH&S communications, as confirmed by the absence of any structured process or tools for collecting input. This gap may hinder the organization's ability to improve safety communication and address employee concerns effectively.

   Example: The internal audit (Report No: AUDIT-OSHE/2024) revealed a lack of documentation regarding employee feedback on the effectiveness of OH&S communications. This absence indicates missed opportunities for identifying areas needing improvement and enhancing overall safety communication within the organization. FORM NO: XXX

6. **Inadequate Legal Compliance:** The organization has failed to integrate legal and regulatory requirements into its communication processes, resulting in potential compliance risks. This oversight may lead to inadequate dissemination of essential safety information, exposing the organization to legal liabilities and jeopardizing employee safety.

   Example: The legal compliance checklist (Ref: LEGAL-CHECK/2024) was found to be incomplete, lacking specific communication obligations as stipulated in local safety regulations. This omission may result in non-compliance with legal requirements, posing risks to both employee safety and organizational liability. FORM NO: XXX

7. **Poor Crisis Communication Plan:** The organization lacks a defined emergency communication plan for OH&S-related crises. This absence of a structured approach may hinder effective response and coordination during emergencies, potentially compromising employee safety and the overall effectiveness of the organization's health and safety management system.

   Example: The emergency response documentation (Doc ID: EMERGENCY-RESP/2024) does not include communication procedures for crises, which poses a significant risk for timely information dissemination. This gap may hinder the organization's ability to effectively inform employees and stakeholders during emergency situations. FORM NO: XXX

8. **Neglecting Contractor Communication:** The organization lacks defined communication protocols for contractors working on-site, which may lead to confusion and misalignment regarding safety procedures and expectations. The absence of structured communication increases the risk of incidents and undermines the effectiveness of the overall occupational health and safety management system.

   Example: The contractor induction materials (Ref: CONTR-INDUCTION/2024) did not include essential OH&S communication procedures, leading to confusion among contractors regarding safety policies. Feedback forms highlighted this issue, indicating a gap in understanding critical safety protocols necessary for maintaining a safe work environment. FORM NO: XXX

9. **Unclear Roles and Responsibilities:** The organization lacks clearly defined roles and responsibilities for communication within the OH&S management system. This absence of clarity can lead to confusion among employees about who is accountable for disseminating safety information, ultimately undermining effective communication and safety practices in the workplace.

   Example: Job descriptions for staff involved in OH&S communications, such as the Safety Officer, lack clarity regarding specific communication duties. This ambiguity, documented as Ref: JOBDESC-OSHE/2024 hinders accountability and effective information dissemination, potentially impacting overall safety performance within the organization. FORM NO: XXX

10. **Failure to Respond to External Communications:** The organization has not adequately addressed communications from external stakeholders regarding OH&S matters. This lack of responsiveness is evident in the absence of documented follow-ups or actions taken in response to inquiries from regulatory bodies and community representatives about safety concerns.

    Example: A letter from a regulatory body (Ref: REG-BODY/LETTER/2024) requesting clarification on safety practices has not been addressed for over 30 days. This delay indicates a failure to engage with external stakeholders regarding OH&S matters and undermines compliance with regulatory expectations. FORM NO: XXX

7 SUPPORT

1. STANDARAD REQUIREMENTS:

7.4.2 INTERNAL COMMUNICATION

The organization shall**:**

a) Internally communicate information relevant to the OH&S management system among the various levels and functions of the organization, including changes to the OH&S management system, as appropriate;

b) Ensure its communication process (es) enables workers to contribute to continual improvement.

2. EXPLAINATION:

1. **Relevance of Information:** Organizations must ensure that information relevant to the Occupational Health and Safety (OH&S) management system is effectively communicated across all levels and functions. This includes timely updates on policies, procedures, and any changes that may impact the OH&S framework. By fostering transparent communication, organizations can ensure that all employees are informed and aligned with safety protocols, ultimately enhancing compliance and promoting a safer workplace environment for everyone.

   Example: When a company introduces new safety protocols after a workplace accident, it is crucial to communicate this information to all employees, from management to front-line workers. Effective communication can be achieved through various channels, such as all-hands meetings, targeted emails, or internal newsletters. This comprehensive approach ensures that everyone is informed about the changes, understands their importance, and is equipped to adhere to the new safety measures, fostering a safer work environment.

2. **Communication Channels:** The organization should identify and utilize appropriate communication channels to effectively disseminate information regarding safety protocols and updates. These channels may include meetings, emails, internal portals, bulletin boards, and safety briefings. By leveraging a variety of communication methods, the organization can ensure that critical information reaches all employees, enhancing understanding and compliance while fostering a culture of safety and open dialogue throughout the workplace.

   Example: A manufacturing company can implement daily safety huddles to effectively communicate specific safety updates and recent incidents. These huddles provide a platform for employees to openly discuss safety challenges they face and share suggestions for improvements. This collaborative approach fosters a proactive safety culture, encourages team engagement, and helps identify potential hazards early, ultimately contributing to a safer work environment where everyone feels empowered to prioritize safety.

3. **Involvement of Workers:** The communication process must actively facilitate worker participation and feedback, ensuring that employees feel valued and engaged. Organizations should encourage workers to share their insights, concerns, and suggestions as part of a collaborative approach to safety. By promoting open dialogue, organizations foster a culture of continuous improvement, where employee contributions are recognized, leading to enhanced safety practices and a more proactive approach to addressing workplace challenges.

   Example: An organization could implement a suggestion box or a digital platform that allows employees to anonymously submit their safety concerns or suggestions. By regularly reviewing these submissions during safety meetings, the organization can gain valuable insights into potential hazards and improvement opportunities. This proactive approach not

only encourages employee engagement but also fosters a culture of safety where actionable changes can be made to enhance workplace safety and well-being.

4. **Training and Awareness:** Training programs should be established to ensure that workers fully understand the Occupational Health and Safety (OH&S) management system and recognize the significance of their contributions. These programs must also educate employees about the processes for reporting hazards, incidents, and suggestions. By providing this essential training, the organization empowers workers to take an active role in maintaining safety, fostering a culture of awareness and responsibility throughout the workplace.

   Example: A company may conduct mandatory training sessions focused on outlining Occupational Health and Safety (OH&S) policies and procedures. During these sessions, employees could engage in role-playing scenarios to practice reporting incidents or hazards effectively. This hands-on approach ensures that employees feel confident in their communication roles and understand the importance of timely reporting, ultimately fostering a proactive safety culture and enhancing the organization's overall safety performance.

5. **Feedback Mechanisms:** Establishing feedback mechanisms is essential for ensuring effective communication and making employees feel valued and heard within the organization. Utilizing various methods, such as surveys, focus groups, and informal discussions, allows for diverse perspectives and insights. These feedback channels not only help assess the clarity and impact of communications but also provide opportunities for continuous improvement, fostering a culture of engagement and collaboration in promoting safety and well-being.

   Example: After implementing a new safety protocol, the company should conduct a survey to assess employee understanding and gather feedback on the protocol's effectiveness. This valuable information can identify knowledge gaps and areas for improvement. Analyzing the survey results allows the organization to refine the protocol, enhance training methods, and ensure that employees are well-informed, ultimately fostering a safer workplace environment and promoting a culture of continuous safety improvement.

6. **Documentation and Records:** All internal communication processes should be thoroughly documented to ensure accountability and traceability within the Occupational Health and Safety (OH&S) management system. Maintaining records of communications, feedback received, and subsequent actions taken serves as critical evidence of adherence to safety protocols. This structured documentation not only facilitates transparency but also supports continuous improvement by providing a clear history of how feedback informs safety practices and decision-making within the organization.

   Example: A company should maintain comprehensive records of safety meeting minutes, employee feedback forms, and any modifications made to policies resulting from employee suggestions. This documentation not only reflects the organization's commitment to fostering a safe work environment but also serves as valuable evidence of compliance during audits. By demonstrating how employee input shapes safety policies, the company enhances accountability and transparency while promoting a culture of continuous improvement in Occupational Health and Safety.

7. **Continuous Improvement:** Communication regarding Occupational Health and Safety (OH&S) should be an ongoing process rather than a one-time effort, fostering continuous improvement of the OH&S management system. Organizations must regularly evaluate the effectiveness of their communication strategies and gather feedback from employees. This proactive approach allows for necessary adjustments, ensuring that communication remains clear, relevant, and effective in promoting a culture of safety and enhancing overall workplace well-being.

Example: An organization can implement quarterly reviews of its internal communication strategies concerning Occupational Health and Safety (OH&S). By systematically analyzing incident reports and gathering employee feedback, the organization can identify specific areas needing improvement. This data-driven approach allows for the development of targeted initiatives aimed at enhancing the safety culture, ensuring that communication remains effective, relevant, and responsive to the needs of employees in maintaining a safe workplace environment.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Internal Communication Policy:** This policy outlines the organization's procedures and guidelines for effective internal communication about OH&S. It describes roles and responsibilities, frequency, and methods of communication, ensuring that all employees are informed about health and safety requirements and updates.

2. **Communication Plans:** Communication plans detail structured approaches for conveying OH&S information to all levels of the organization. They include timelines, intended audiences, methods (e.g., email, meetings), and key personnel responsible, ensuring systematic dissemination of safety-related updates and instructions.

3. **Meeting Minutes:** Minutes from safety and OH&S-related meetings provide a record of issues discussed, decisions made, and actions planned. They indicate consistent communication on safety matters and reflect the engagement of various organizational levels in OH&S discussions and planning.

4. **Safety Training Records:** These records capture training sessions covering OH&S policies, incident reporting, emergency procedures, and communication protocols. They demonstrate the organization's commitment to educating employees on health and safety matters, showing topics, dates, participants, and feedback for continuous learning.

5. **Internal Newsletters or Bulletins:** Newsletters or bulletins serve as a regular communication medium, sharing safety updates, OH&S changes, or reminders. They provide a snapshot of how often and in what manner OH&S information is shared, ensuring widespread awareness of critical safety information.

6. **Employee Suggestion Records:** Records of employee suggestions and feedback offer insight into worker involvement in OH&S improvements. These logs also capture the organization's response, indicating whether workers feel empowered to contribute to the OH&S management system and influence safety culture.

7. **Incident Reports:** These detailed reports document incidents, near misses, and hazards, including follow-up actions and communication to employees. They show transparency in handling incidents and a structured approach to sharing lessons learned, minimizing recurrence through effective information sharing.

8. **Surveys and Feedback Forms:** Survey results and feedback forms assess employee perceptions of OH&S communication effectiveness. They show that the organization actively seeks input from workers on how well communication is functioning, helping identify areas where internal messaging could be enhanced.

9. **Action Plans for Improvement:** Action plans created in response to feedback or audit findings outline specific steps for OH&S improvements. They include assigned responsibilities, timelines, and progress reviews, ensuring that communication lapses or OH&S issues are continuously addressed and resolved.

10. **Audit Records:** Audit records provide documented evaluations of OH&S compliance, including internal communication effectiveness. They include findings, corrective actions, and evidence of continual improvement in OH&S practices, highlighting the organization's commitment to maintaining transparent and effective safety communication.

4. OBJECTIVE EVIDENCES:

1. **Internal Communication Policy Document:** An Internal Communication Policy is established to ensure effective dissemination of Occupational Health and Safety (OH&S) information. It outlines processes for sharing safety updates, reporting hazards, and promoting a culture of safety awareness among employees throughout the organization verified. Example: Internal Communication Policy Document No. ICP-001, dated 2023-01-15.

2. **Communication Plan:** The documented communication plan specifies methods and timelines for delivering Occupational Health and Safety (OH&S) updates to employees. It includes regular newsletters, safety meetings, and training sessions, ensuring timely dissemination of critical information to promote a safe workplace environment evidence. Example: OH&S Communication Plan No. OHS-CP-2023, issued on 2023-02-10.

3. **Meeting Minutes:** Meeting minutes reflect regular discussions on Occupational Health and Safety (OH&S) topics, demonstrating ongoing communication about safety matters. Key points include hazard assessments, incident reports, and safety training updates, ensuring that safety remains a priority within the organization reviewed. Example: Safety Meeting Minutes, Meeting No. SM-042, dated 2024-04-05.

4. **Safety Training Records:** Training records confirm that employees have received comprehensive training on Occupational Health and Safety (OH&S) policies. These records illustrate the organization's commitment to safety communication, ensuring staffs are knowledgeable about safety procedures, responsibilities, and practices to maintain a safe workplace verified. Example: Training Record ID TR-2023-045, conducted for 30 employees on 2023-08-20.

5. **Employee Suggestion Records:** Documentation includes employee suggestions regarding Occupational Health and Safety (OH&S) and management's responses to these proposals. This reflects a commitment to engaging employees in safety discussions, fostering a collaborative environment where concerns are valued and addressed to enhance workplace safety evidence. Example: Suggestion Log No. ESR-2023-009, entry dated 2023-09-15, from John Doe regarding improved safety protocols.

6. **Incident Reports:** Records of workplace incidents detail how each incident was communicated to staff, including notifications and safety briefings. Follow-up actions are documented, demonstrating the organization's commitment to addressing safety concerns, preventing recurrence, and improving overall Occupational Health and Safety practices reviewed. Example: Incident Report No. IR-2023-016, dated 2023-11-01, involving an accident in Warehouse A.

7. **Employee Feedback Survey Results:** Survey results assess the effectiveness of internal communication regarding Occupational Health and Safety (OH&S), capturing employee perceptions and satisfaction levels. Feedback highlights strengths and areas for improvement, guiding enhancements in communication strategies to foster a safer and more informed workplace reviewed. Example: OH&S Communication Feedback Survey No. SFC-2023-002, conducted on 2023-12-10, with a response rate of 85%.

8. **Action Plans for Improvement:** Documented action plans outline steps taken in response to feedback and audit findings aimed at improving Occupational Health and Safety (OH&S) communication. These plans include specific initiatives, timelines, and responsible parties,

ensuring continuous enhancement of safety communication practices within the organization evidence. Example: Action Plan No. AP-2023-007, issued on 2023-10-20, addressing feedback from October 2023 safety meetings.

9. **Audit Records:** Internal audit records evaluate the effectiveness of Occupational Health and Safety (OH&S) communication, detailing findings and identifying gaps. Corrective actions are documented, demonstrating the organization's commitment to enhancing communication strategies and ensuring compliance with safety policies and procedures verified. Example: Internal Audit Report No. IA-2023-005, dated 2023-11-15, with recommendations for improvement.

10. **Performance Metrics Report:** Reports track key performance indicators (KPIs) related to employee participation in safety communications and training initiatives. These metrics assess engagement levels, attendance rates, and feedback, helping the organization evaluate the effectiveness of safety programs and identify opportunities for improvement verified. Example: KPI Report No. KPI-2023-001, covering the period from January to December 2023, showing a 25% increase in safety training attendance.

5. INTERVIEW QUESTIONS:

1. How does the organization ensure that OH&S information is communicated effectively across various levels and functions?
2. Can you provide examples of recent changes to the OH&S management system and how these changes were communicated to employees?
3. What channels or methods are used to disseminate OH&S information internally, and how is their effectiveness evaluated?
4. How employees are made aware of their roles and responsibilities regarding OH&S communication within the organization?
5. Can you describe the process for collecting employee feedback on OH&S matters and how this feedback is utilized for continuous improvement?
6. How often does the organization conduct safety meetings or briefings to discuss OH&S topics, and who participates in these meetings?
7. What documentation is available to demonstrate that OH&S training is provided to employees, including information on communication protocols?
8. How does the organization encourage employees to report safety concerns or suggestions related to OH&S, and what is the follow-up process?
9. Can you show evidence of any recent surveys or assessments conducted to measure employee satisfaction with OH&S communication?
10. What mechanisms are in place to ensure that communication about OH&S is timely and reaches all relevant personnel effectively?
11. How are performance metrics related to OH&S communication tracked, and what improvements have been made based on these metrics?
12. Can you provide records of internal audits or assessments focused on the effectiveness of OH&S communication practices?
13. How does the organization ensure that contractors and visitors are also informed about relevant OH&S information and procedures?
14. What actions have been taken in response to previous audit findings or employee suggestions related to OH&S communication?
15. How does the organization keep employees updated on ongoing OH&S initiatives and their outcomes?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear Communication Channels:** The organization has established structured communication pathways, ensuring relevant OH&S information are disseminated efficiently. This facilitates immediate access to crucial updates, creating an environment where employees understand safety protocols and changes that impact their work responsibilities.

2. **Engagement in Communication:** Employees actively participate in communication processes, showing a strong understanding of their roles within the OH&S framework. This involvement enhances commitment to safety, promoting accountability and encouraging everyone to contribute to a safer workplace through collaborative efforts.

3. **Regular Updates and Changes:** The organization promptly communicates updates to the OH&S management system, ensuring all employees are informed about new policies and procedures. This proactive approach minimizes confusion, aligns expectations, and reinforces the importance of adherence to safety practices.

4. **Feedback Mechanisms:** Robust systems are in place for collecting employee feedback on OH&S matters, fostering a culture of continuous improvement. This inclusivity empowers workers to voice concerns and suggest enhancements, making them integral to the organization's safety initiatives.

5. **Training and Awareness Programs:** The organization conducts regular training sessions, effectively raising employee awareness about OH&S policies and best practices. This ongoing education equips workers with the necessary knowledge and skills, ensuring they can recognize hazards and respond appropriately to safety issues.

6. **Documentation of Communication Efforts:** Comprehensive records of internal communications, such as meeting minutes and training materials, are maintained meticulously. This documentation serves as tangible evidence of the organization's commitment to transparency and accountability in communicating OH&S information effectively across all levels.

7. **Employee Participation in Meetings:** Safety meetings involve representatives from various departments, enhancing collaboration and diverse input in addressing OH&S concerns. This inclusive approach fosters teamwork and ensures that all perspectives are considered when discussing safety improvements and strategies.

8. **Positive Safety Culture:** A positive safety culture has been cultivated within the organization, where employees feel comfortable discussing safety issues openly. This environment encourages proactive engagement in safety initiatives and promotes a collective responsibility for maintaining a secure workplace.

9. **Surveys and Assessments:** Regular surveys assess the effectiveness of OH&S communication, demonstrating a commitment to continuous improvement. By analyzing feedback, the organization identifies strengths and areas for enhancement, ensuring that communication strategies evolve to meet employee needs and expectations.

10. **Recognition of Contributions:** The organization acknowledges and celebrates employee contributions to safety improvements, reinforcing the value of open communication and involvement. This recognition motivates workers to remain engaged in OH&S initiatives, fostering a sense of ownership over workplace safety.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inadequate Communication Channels:** Limited or ineffective communication channels may restrict the flow of OH&S information among employees. Introducing diverse platforms, such as mobile apps, internal newsletters, or dedicated safety portals, can improve dissemination, ensuring that all employees receive critical safety updates promptly.

2. **Lack of Feedback Mechanisms:** Without structured feedback mechanisms, employees may hesitate to voice their concerns or suggestions regarding OH&S practices. Establishing regular employee surveys, suggestion boxes, or open forums can encourage feedback, fostering a culture of continuous improvement and active participation in safety discussions.

3. **Insufficient Training on Communication Protocols:** Employees may lack adequate training on how to effectively communicate OH&S-related information. Implementing targeted training sessions focused on communication protocols will ensure that all staff members understand their roles in sharing safety updates and reporting hazards accurately.

4. **Irregular Updates on OH&S Policies:** Failing to communicate updates on OH&S policies and procedures regularly may leave employees unaware of essential changes. Creating a structured schedule for periodic briefings or announcements will help keep employees informed and engaged in the organization's safety initiatives.

5. **Limited Employee Involvement in Safety Meetings:** Current practices may not promote active participation from all employees during safety meetings, potentially leading to missed insights. Encouraging inclusive discussions and inviting contributions from all staff members can enhance problem-solving and foster a stronger commitment to safety practices.

6. **Failure to Document Communication Efforts:** Inconsistent documentation of communication efforts can result in a lack of accountability and transparency. Implementing standardized procedures for recording all OH&S-related communications will provide valuable insights for audits and facilitate continuous improvement within the management system.

7. **Low Visibility of OH&S Information:** If OH&S information is not prominently displayed in workspaces or through digital channels, employees may overlook crucial safety protocols. Increasing the visibility of safety information with posters, bulletins, and electronic displays can enhance awareness and compliance among all staff.

8. **Inadequate Communication of Roles and Responsibilities:** Employees may not fully understand their specific roles and responsibilities within the OH&S management system. Clearly outlining these roles in job descriptions and conducting regular reminders can promote accountability and ensure active participation in safety initiatives across the organization.

9. **Underutilization of Technology:** The organization might not be leveraging modern technology effectively for internal communication. Utilizing collaborative software, intranet platforms, or mobile applications can streamline information sharing, making it more accessible and engaging for employees at all levels of the organization.

10. **Lack of Recognition for Safety Contributions:** Absence of recognition programs for employees' contributions to safety can diminish motivation and participation. Establishing formal recognition systems, such as awards or shout-outs in meetings, can encourage employees to remain engaged and actively contribute to improving safety practices.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Established Communication Channels:** The organization lacks effective internal communication channels for disseminating information about the OH&S management system. This deficiency is evident in the absence of regular updates, feedback mechanisms, and structured communication plans, which hinders employee awareness and engagement with safety protocols and practices.

   Example: There is no documented communication plan or comprehensive list of communication channels available, such as memos, emails, or newsletters. This absence hinders effective dissemination of information regarding the OH&S management system, leading to potential gaps in employee awareness and engagement with safety protocols. FORM NO: XXX

2. **Infrequent Updates on OH&S Policies:** Updates to OH&S policies and procedures are communicated infrequently, resulting in employees being unaware of significant changes. This lack of timely information dissemination may hinder compliance and increase the risk of safety incidents, as employees may continue to follow outdated protocols.

   Example: Records indicate that the last communication regarding the OH&S policy update occurred over six months ago, with no subsequent reminders or updates documented. This gap in communication raises concerns about employee awareness and compliance with current safety procedures and practices. FORM NO: XXX

3. **Absence of Feedback Mechanisms:** The organization lacks structured processes for employees to provide feedback on OH&S matters, resulting in missed opportunities for improvement and employee engagement. Without formal channels for communication, concerns regarding safety practices may go unaddressed, potentially compromising workplace safety and compliance.

   Example: There is a lack of documentation for feedback forms or surveys related to OH&S, with no records indicating that employee suggestions have been collected or reviewed. This absence hinders the organization's ability to identify areas for improvement and foster a culture of safety and engagement. FORM NO: XXX

4. **Insufficient Training on Communication Processes:** Employees have not received adequate training on the communication processes related to the OH&S management system. This gap is evidenced by the lack of attendance records for training sessions and feedback indicating confusion about their roles in safety communication protocols.

   Example: Training records reveal that employees have not attended any OH&S communication training sessions in the past year, highlighting a significant gap in knowledge regarding safety communication protocols. This absence may lead to ineffective communication of critical OH&S information throughout the organization. FORM NO: XXX

5. **Low Participation in Safety Meetings:** Employee participation in safety meetings is minimal, with attendance records showing that less than 30% of staff is regularly involved. This lack of engagement in OH&S discussions may hinder the identification of safety concerns and the implementation of effective safety measures within the organization.

   Example: Meeting minutes indicate that attendance records show less than 50% of invited employees participated in safety meetings. This low turnout suggests a lack of engagement and may impede effective communication and collaboration regarding OH&S issues within the organization. FORM NO: XXX

6. **Inconsistent Messaging across Departments:** Different departments are conveying conflicting information about OH&S procedures, leading to confusion among employees. This inconsistency undermines the effectiveness of safety protocols and can result in increased risks, as employees may not be clear on the correct practices to follow for safety compliance.

Example: Records indicate that various departments have circulated communications outlining conflicting safety procedures or protocols to employees, creating confusion and inconsistency in safety practices. For instance, Department A issued guidelines that contradict those provided by Department B, as documented in communication logs. FORM NO: XXX

7. **Failure to Document Communication Activities:** The organization lacks sufficient documentation of communication efforts related to the OH&S management system. There are no comprehensive records of safety meetings, training sessions, or updates shared with employees, leading to gaps in accountability and transparency regarding safety communications and practices.

   Example: There are no documented records of communications sent regarding OH&S matters, including the absence of email logs, meeting minutes, or bulletins. This lack of documentation hampers accountability and the ability to track the dissemination of critical safety information within the organization. FORM NO: XXX

8. **Ineffective Use of Visual Aids:** The organization does not utilize visual aids to convey OH&S information, increasing the potential for misunderstandings among employees. This oversight may hinder effective communication of safety protocols and important updates, resulting in non-compliance with safety standards and practices.

   Example: There is an absence of posters, info graphics, or other visual materials in the workplace to convey essential safety protocols. This lack of visual communication may contribute to confusion and misinformation among employees, ultimately undermining the effectiveness of the OH&S management system. FORM NO: XXX

9. **Neglecting Language Diversity:** The communication strategy fails to accommodate non-English speaking employees, which may result in misunderstandings regarding safety protocols and procedures. This oversight creates potential safety risks, as critical information may not be effectively conveyed, jeopardizing the overall safety and compliance within the workplace.

   Example: Communications are available only in English, with no translations or multilingual resources provided for non-English speaking staff. This lack of accessibility may hinder understanding and engagement among diverse employees, potentially compromising their awareness of safety protocols and procedures within the OH&S management system. FORM NO: XXX

10. **No System for Recognizing Contributions:** The absence of a recognition system for employees who contribute to OH&S improvements has resulted in decreased motivation and engagement among staff. Without acknowledgment for their efforts in enhancing safety practices, employees may feel undervalued, potentially impacting their commitment to maintaining a safe work environment.

    Example: There is a lack of formal records or announcements recognizing employee contributions to safety initiatives. This absence of acknowledgment may result in diminished motivation among employees, leading to reduced engagement and participation in occupational health and safety improvements and initiatives within the organization. FORM NO: XXX

7 SUPPORT

1. **STANDARAD REQUIREMENTS:**

   7.4.3 EXTERNAL COMMUNICATION

   The organization shall externally communicate information relevant to the OH&S management system, as established by the organization's communication process (es) and taking into account its legal requirements and other requirements.

2. **EXPLAINATION:**

1. **Requirement for External Communication:** Organizations must ensure that all relevant health and safety information, especially significant updates, is communicated effectively to external stakeholders. This requirement is part of an organization's OH&S management system to maintain transparency, foster trust, and ensure safety compliance. Regular, clear communication helps stakeholders understand any potential impacts on their safety, legal obligations, or operational requirements and ensure they can make informed decisions related to health and safety matters.

   Example: A construction company may need to communicate on-site safety protocols to nearby residents and businesses to keep them informed and address safety concerns. By sharing information on protective measures, noise levels, traffic adjustments, and potential hazards, the company fosters trust and minimizes risks for the surrounding community. Clear, proactive communication helps residents and businesses understand ongoing safety efforts, reduce disruptions, and promote a safer environment for all stakeholders.

2. **Establishment of Communication Processes:** Organizations must establish clear processes for external communication related to OH&S. This involves designating responsible personnel, determining the types of safety information to be shared, and choosing appropriate communication channels—such as newsletters, emails, or public meetings. A well-defined approach ensures consistency, accountability, and transparency in sharing OH&S updates, fostering trust and compliance with stakeholders, and enhancing overall workplace safety management.

   Example: A manufacturing firm could set up a communication protocol designating the health and safety officer as the primary contact for external communications on safety matters. This approach ensures consistent, expert-led messaging. The firm might use newsletters, social media, and community meetings to keep stakeholders informed about OH&S updates, enhancing transparency and trust while addressing any concerns from nearby residents and partners regarding health and safety practices.

3. **Legal and Other Requirements:** The communication process for OH&S must incorporate legal obligations and relevant requirements to ensure full compliance. This means organizations must actively understand and adhere to occupational health and safety laws and regulations, which may include timely updates to stakeholders, accurate incident reporting, and addressing safety standards. By aligning communication with legal standards, organizations foster safer environments and demonstrate commitment to regulatory compliance and responsible OH&S management.

   Example: If a company is bound by occupational health and safety regulations requiring incident reporting to local authorities, its communication process must incorporate mechanisms to meet these obligations. This includes promptly documenting and reporting incidents according to legal timelines and maintaining clear protocols for notifying relevant agencies. Ensuring regulatory compliance in communication enhances transparency and strengthens the company's commitment to workplace safety and accountability.

4. **Information to be communicated:** Information communicated to stakeholders can include results from health and safety audits, details of incidents, accidents, or near misses, and safety performance metrics like injury and compliance rates. Additionally, updates on any changes in policies or procedures that could affect external stakeholders should be shared. Providing this information enhances transparency, enables better safety awareness, and helps stakeholders understand and respond to safety-related developments.

   Example: An oil and gas company could issue an annual safety report that outlines all incidents recorded throughout the year, including details on response actions taken and preventive measures implemented to avoid recurrence. This report would serve to enhance transparency, demonstrate commitment to safety improvement, and reassure stakeholders of ongoing efforts to uphold high safety standards across company operations.

5. **Audience Identification:** Organizations must clearly identify and comprehend their external audiences, which include customers, suppliers, regulatory bodies, local communities, and other stakeholders who may be impacted by their operations. Understanding these groups enables organizations to tailor their communication strategies effectively, ensuring that relevant information is shared appropriately. This approach fosters transparency, builds trust, and helps mitigate concerns by actively engaging with those affected by the organization's activities and decisions.

   Example: A logistics company should identify various stakeholders, including truck drivers, warehouse workers, local residents, and regulatory authorities, who need to be kept informed about health and safety practices. By recognizing these groups, the company can ensure that relevant safety information is communicated effectively. This proactive engagement helps foster a safe working environment, builds trust within the community, and ensures compliance with regulatory requirements, ultimately enhancing the company's overall safety performance.

6. **Feedback Mechanism:** Establishing a feedback mechanism is essential for encouraging stakeholders to provide input or raise concerns about occupational health and safety (OH&S) practices. By creating channels such as surveys, suggestion boxes, or online forms, organizations can collect valuable insights from employees, contractors, and community members. This feedback not only helps identify areas for improvement but also fosters a culture of safety and engagement, ultimately leading to enhancements in the OH&S management system.

   Example: A company could set up a hotline or online feedback form to encourage employees, contractors, and local residents to report safety concerns or offer suggestions related to its operations. This channel fosters open communication, allowing stakeholders to share insights on potential hazards, suggest safety improvements, and receive timely responses. By actively engaging the community and workforce, the company promotes a proactive, safety-focused environment and demonstrates its commitment to continuous improvement.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Communication Policy:** The communication policy outlines the organization's commitment to effective external communication regarding occupational health and safety. It should specify the objectives, guiding principles, and the overall approach to ensure transparency and stakeholder engagement in health and safety matters.

2. **External Communication Procedures:** These procedures detail the processes for managing external communication related to OH&S. They should clarify responsibilities, communication channels, frequency of communication, and the types of information shared, ensuring consistency and compliance with legal and regulatory requirements.

3. **Stakeholder Identification Records:** Maintaining a comprehensive list of external stakeholders is crucial. This includes customers, suppliers, local communities, and regulatory bodies. The records should demonstrate an understanding of who is affected by OH&S practices and their information needs for effective communication.

4. **Legal and Regulatory Compliance Records:** This documentation evidences the organization's adherence to applicable OH&S laws and regulations. It includes permits, licenses, and reports submitted to regulatory authorities, confirming that the organization meets its legal obligations in communicating OH&S-related information to stakeholders.

5. **Communication Records:** Copies of communication materials, such as newsletters, press releases, and social media posts, should be maintained. These records demonstrate how the organization shares information about OH&S policies, initiatives, and performance with external stakeholders, contributing to transparency and accountability.

6. **Incident Reporting and Investigation Records:** Documentation of incidents, accidents, or near misses includes detailed reports and communications to stakeholders. This evidence shows the organization's commitment to transparency in reporting safety issues and the actions taken to address them, fostering trust among stakeholders.

7. **Safety Performance Reports:** Periodic safety performance reports summarize key metrics, such as incident rates and compliance results. These reports should be shared with external stakeholders, illustrating the organization's commitment to continuous improvement and accountability in occupational health and safety management.

8. **Meeting Minutes:** Records of meetings with external stakeholders should include minutes that capture discussions on OH&S topics. These documents demonstrate the organization's proactive engagement with stakeholders, providing an opportunity for dialogue and collaboration on health and safety issues.

9. **Feedback Mechanism Records:** Evidence of feedback received from stakeholders, such as surveys or comments, should be documented. This shows how the organization values stakeholder input, uses it to improve OH&S practices, and communicates changes made in response to the feedback received.

10. **Training Records:** Training documentation for staff responsible for external communications is essential. It should outline the content and frequency of training, ensuring that personnel are knowledgeable about OH&S issues and communication processes, ultimately improving the effectiveness of external communications.

4. OBJECTIVE EVIDENCES:

1. **Communication Policy Document:** The organization has a documented external communication policy for occupational health and safety (OH&S), which outlines procedures for engaging with stakeholders regarding safety matters. This policy is accessible for review, ensuring transparency and accountability in the organization's approach to external OH&S communications verified. Example: Communication Policy Document No. CP-2024-03, dated April 15, 2024, approved by John Smith, OH&S Manager.

2. **External Communication Procedures:** The organization has established external communication procedures that clearly outline the responsibilities and methods for disseminating occupational health and safety (OH&S) information. These procedures ensure effective engagement with stakeholders, promoting transparency and clarity in communicating safety-related matters and compliance with relevant regulations Reviewed. Example: Procedure No. EC-PR-2024-01, effective March 1, 2024, reviewed by Sarah Johnson, Compliance Officer.

3. **Stakeholder Identification Records:** The organization maintains a comprehensive list of identified external stakeholders relevant to the occupational health and safety (OH&S) management system. This list includes regulatory bodies, community representatives, clients, and industry partners, ensuring effective communication and collaboration on safety-related matters and compliance efforts evidence. Example: Stakeholder List Document No. SL-2024-02, last updated on April 5, 2024, includes 25 stakeholders, such as Local Community and Regulatory Authorities.

4. **Legal and Regulatory Compliance Records:** The organization maintains thorough documentation demonstrating compliance with occupational health and safety (OH&S) legal requirements. This includes records of submissions made to relevant authorities, ensuring transparency and accountability in adherence to regulations, along with tracking timelines and responses related to compliance matters reviewed. Example: Regulatory Compliance Report No. RCR-2024-005, submitted on April 10, 2024, to Local Occupational Health Authority.

5. **Incident Reporting and Investigation Records:** Incident reports are meticulously documented and communicated to relevant stakeholders, ensuring adherence to established reporting protocols. This practice promotes transparency and accountability, allowing for timely dissemination of information related to incidents, enabling stakeholders to understand the situation and necessary follow-up actions reviewed. Example: Incident Report No. IR-2024-008, dated March 22, 2024, reported by Mark Brown, Safety Officer.

6. **Safety Performance Reports:** Safety performance metrics, such as incident rates, are regularly compiled and communicated to external stakeholders. This transparency fosters accountability and builds trust, ensuring that stakeholders are informed about the organization's safety performance and any initiatives aimed at improving occupational health and safety standards verified. Example: Safety Performance Report No. SPR-2024-Q1, issued on April 20, 2024, showing a 15% reduction in incidents compared to Q1 2023.

7. **Meeting Minutes:** Minutes from meetings with external stakeholders regarding OH&S are documented thoroughly and made available for review. These records ensure transparency in communication, allow for accountability in addressing safety concerns, and provide a reference for future discussions and follow-up actions related to occupational health and safety initiatives evidence. Example: Meeting Minutes No. MM-2024-04, dated April 12, 2024, regarding safety initiatives with Local Community Group, attended by Jane Doe, OH&S Coordinator.

8. **Feedback Mechanism Records:** Documentation of stakeholder feedback related to OH&S practices is maintained, including records of suggestions and concerns raised. Additionally, actions taken in response to this feedback are documented, demonstrating the organization's commitment to continuous improvement and responsiveness to stakeholder needs regarding occupational health and safety verified. Example: Feedback Log No. FL-2024-001, containing 10 entries, last updated on April 25, 2024, detailing feedback from five local residents.

9. **Training Records:** Records indicate that training has been provided to staff responsible for external communication regarding OH&S. This documentation includes details of the training sessions conducted, attendance records, and materials used, ensuring that employees are equipped with the necessary skills to effectively communicate safety information to external stakeholders evidence. Example: Training Attendance Record No. TAR-2024-03, dated March 15, 2024, showing attendance of 15 employees, including Tom White, Communication Officer.

10. **Audit Reports:** The organization maintains internal and external audit reports that evaluate the effectiveness of external communication processes related to OH&S. These reports include findings, recommendations for improvement, and action plans to enhance communication strategies, ensuring ongoing compliance and stakeholder engagement in safety practices reviewed. Example: Internal Audit Report No. IAR-2024-02, dated March 30, 2024, conducted by Auditor Lisa Green, identifying improvement areas in external communications.

5. INTERVIEW QUESTIONS:

1. Can you describe the organization's process for external communication regarding occupational health and safety (OH&S) information?
2. What specific information related to the OH&S management system is communicated to external stakeholders, and how is this information determined?
3. How does the organization ensure compliance with legal requirements and other relevant requirements when communicating OH&S information externally?
4. Can you provide examples of external communication materials (e.g., reports, newsletters, or announcements) that have been shared with stakeholders in the past year?
5. Who is responsible for overseeing external communication related to OH&S, and how are their roles and responsibilities defined?
6. How does the organization identify and prioritize external stakeholders that need to receive OH&S information?
7. What mechanisms are in place for receiving feedback from external stakeholders regarding OH&S communications, and how is this feedback addressed?
8. Can you show me records of any incidents, reports, or communications that were shared with external stakeholders, particularly concerning significant safety events or changes?
9. How often does the organization review and update its external communication procedures to ensure their effectiveness and relevance?
10. Are there any training programs in place for staff involved in external communications related to OH&S? If so, how often are these training sessions conducted?
11. How does the organization evaluate the effectiveness of its external communication efforts related to OH&S?
12. Can you provide documentation or records that demonstrate how the organization has responded to stakeholder inquiries or concerns about OH&S issues?
13. What steps does the organization take to ensure that external communications are clear, accessible, and understood by the intended audience?
14. How does the organization communicate changes in its OH&S management system or policies to external stakeholders?
15. Can you provide examples of how the organization has used stakeholder feedback to improve its external communication processes or OH&S practices?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear Communication Policy:** The organization has developed a comprehensive external communication policy that emphasizes transparency and accountability in its OH&S practices. This policy serves as a foundational document, guiding how information is shared with stakeholders, thereby enhancing trust and credibility.
2. **Defined Communication Processes:** Well-structured processes for external communication are in place, detailing specific roles and responsibilities. These processes ensure that all pertinent information related to OH&S is communicated effectively and consistently, minimizing the risk of misunderstandings or misinformation among stakeholders.

3. **Stakeholder Engagement:** The organization actively identifies and engages key external stakeholders, such as regulatory bodies, community members, and customers. By understanding their needs and expectations, the organization tailors its communication strategies, fostering collaborative relationships and enhancing overall safety outcomes.

4. **Compliance with Legal Requirements:** A robust framework is established to ensure adherence to legal and regulatory requirements related to OH&S. Regular reviews and updates of these requirements are incorporated into communication practices, demonstrating the organization's commitment to compliance and ethical business conduct.

5. **Timely Communication of Incidents:** The organization effectively communicates significant incidents, accidents, or safety updates to external stakeholders in a timely manner. This proactive approach not only fosters accountability but also reinforces the organization’s dedication to transparency and public safety.

6. **Use of Multiple Communication Channels:** The organization employs various communication channels—such as newsletters, social media, and public meetings—to disseminate OH&S information. This multi-channel approach ensures that stakeholders with different preferences and needs can access relevant information easily and effectively.

7. **Feedback Mechanism:** A comprehensive feedback mechanism is in place, allowing stakeholders to voice their concerns and provide input regarding OH&S communications. This open dialogue fosters trust, encourages stakeholder participation, and enables the organization to continuously improve its communication practices.

8. **Training for Communication Staff:** Staff members responsible for external communications receive ongoing training on OH&S issues and effective communication strategies. This commitment to staff development ensures that information shared is accurate, relevant, and effectively conveyed, enhancing stakeholder understanding and engagement.

9. **Monitoring and Evaluation:** The organization systematically monitors and evaluates the effectiveness of its external communications regarding OH&S. This ongoing assessment allows for necessary adjustments and improvements based on stakeholder feedback, ensuring that communication remains relevant and impactful over time.

10. **Proactive Community Engagement:** The organization actively engages with the local community on OH&S issues through awareness campaigns, workshops, and safety initiatives. This proactive approach not only informs the community but also demonstrates the organization’s commitment to public health and safety, fostering goodwill.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inadequate Communication Policy:** The organization may lack a comprehensive external communication policy for OH&S information, leading to inconsistent messaging and unclear responsibilities among staff. Developing a detailed policy could enhance clarity and accountability.

2. **Limited Stakeholder Identification:** There might be a lack of thorough stakeholder analysis, resulting in some relevant parties not being identified or engaged. Establishing a systematic process for identifying all stakeholders can ensure more effective communication.
3. **Insufficient Training on Communication:** Staff responsible for external communication may not have received adequate training on OH&S topics or effective communication techniques. Implementing regular training programs can improve their skills and the quality of information shared.

4. **Reactive Communication Approach:** The organization may primarily communicate OH&S information reactively, addressing issues only after they arise. A proactive communication strategy could help prevent misunderstandings and enhance stakeholder relationships.

5. **Lack of Evaluation Mechanisms:** There may be insufficient processes in place to evaluate the effectiveness of external communication. Establishing metrics and regularly reviewing communication efforts can help identify areas for improvement and ensure messages are well-received.

6. **Underutilization of Communication Channels:** The organization might rely on limited channels for external communication, missing opportunities to reach diverse audiences. Expanding communication methods (e.g., social media, community forums) can enhance engagement and accessibility.

7. **Inconsistent Messaging:** There may be discrepancies in the information communicated to different stakeholders, leading to confusion. Establishing a centralized communication system can ensure consistent messaging across all channels.

8. **Feedback Mechanism Gaps:** The organization might lack an effective feedback mechanism for external stakeholders to share their concerns or suggestions regarding OH&S communications. Implementing a structured feedback process can improve stakeholder engagement and trust.

9. **Non-compliance with Legal Requirements:** There may be instances where the organization fails to fully comply with legal requirements regarding external communication of OH&S information. Regular audits of legal obligations can help ensure compliance and mitigate risks.

10. **Inadequate Response to Feedback:** The organization might not adequately document or act upon feedback received from stakeholders, leading to missed opportunities for improvement. Establishing a systematic approach to track and respond to feedback can enhance communication practices.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of an External Communication Policy:** The organization lacks a documented external communication policy specifically addressing the dissemination of OH&S information. This absence hinders the establishment of clear guidelines for engaging with external stakeholders, potentially impacting transparency and compliance with regulatory requirements related to occupational health and safety communications.

   Example: There is no available communication policy document outlining external communication for OH&S, or the existing policy lacks clear guidelines. This deficiency may lead to inconsistent messaging and inadequate engagement with external stakeholders regarding important occupational health and safety information and updates. FORM NO: XXX

2. **Inadequate Stakeholder Identification:** The organization has not adequately identified all relevant external stakeholders for OH&S communication, leading to potential gaps in engagement. This oversight may hinder effective collaboration and limit the organization's ability to address safety concerns and foster transparency with affected parties and regulatory bodies.
   Example: Meeting minutes and stakeholder analysis reports indicate incomplete lists of relevant external stakeholders, with several key parties omitted from communication strategies. This lack of thorough analysis raises concerns about the organization's ability to effectively address safety issues and maintain compliance with regulatory expectations. FORM NO: XXX

3. **Failure to Comply with Legal Requirements:** The organization does not effectively communicate OH&S information mandated by relevant laws and regulations, as evidenced by the absence of timely updates or notifications to employees and stakeholders. This failure poses risks to compliance and employee safety, potentially leading to regulatory repercussions.

   Example: Regulatory compliance audits indicate that essential notifications to stakeholders regarding OH&S information were not communicated as required, highlighting a failure to meet legal obligations. This gap in communication can result in potential regulatory penalties and undermine stakeholder trust in the organization's commitment to safety. FORM NO: XXX

4. **No Documentation of External Communications:** The organization lacks proper documentation of external communications concerning OH&S issues, failing to retain essential records of interactions with stakeholders. This oversight undermines accountability and makes it challenging to demonstrate compliance with regulatory requirements, ultimately affecting the effectiveness of safety management practices.

   Example: There are no maintained communication logs, email records, or documented reports regarding OH&S-related communications. This lack of documentation impairs accountability and hinders the organization's ability to demonstrate compliance with regulatory requirements and effective communication practices. FORM NO: XXX

5. **Inconsistent Messaging across Channels:** The inconsistency in communicating OH&S information across various channels creates confusion among stakeholders. Different messages may convey conflicting safety protocols, diminishing the effectiveness of communication and potentially compromising the understanding of essential safety information by employees and external stakeholders.

   Example: Instances of conflicting information about OH&S issues have been identified in newsletters, social media updates, and official reports. Such discrepancies not only confuse stakeholders but also undermine the credibility of the organization's safety communications and protocols. FORM NO: XXX

6. **Insufficient Training for Communication Staff:** Employees tasked with external communications have not received sufficient training on OH&S topics, resulting in gaps in their knowledge and ability to convey critical safety information. This deficiency can lead to miscommunication and decreased stakeholder trust.

   Example: Review of training records reveals significant gaps in OH&S communication training for staff members responsible for disseminating safety information. These gaps may adversely affect the quality of communications and the overall understanding of safety protocols among stakeholders. FORM NO: XXX

7. **No Feedback Mechanism for Stakeholders:** There is no established mechanism for stakeholders to provide feedback regarding OH&S communications. This absence of input channels limits the organization's ability to assess communication effectiveness and address any concerns or suggestions from the community and other stakeholders.

   Example: The organization lacks documentation for feedback forms, surveys, or other channels designed to gather stakeholder input on OH&S communications. This absence prevents valuable insights from being collected and utilized for improving communication strategies and enhancing stakeholder engagement. FORM NO: XXX

8. **Delayed Communication of OH&S Incidents:** The organization has not communicated significant OH&S incidents to external stakeholders promptly, leading to potential misunderstandings and safety risks. Delays in notifications may compromise stakeholders' ability to respond effectively and stay informed about critical safety matters.

   Example: Incident reports indicate instances of delayed notifications or insufficient communication regarding safety incidents. Such lapses in timely information dissemination undermine transparency and stakeholder trust, potentially impacting the overall effectiveness of the organization's OH&S management efforts. FORM NO: XXX

9. **Lack of Community Engagement:** The organization has not implemented strategies to actively engage the local community on OH&S matters, resulting in limited transparency. Without community outreach, stakeholders may lack awareness of safety initiatives, policies, and potential risks associated with the organization's operations.

   Example: Review of meeting notes reveals a significant lack of documented community outreach or engagement activities concerning OH&S. This absence of proactive communication efforts limits the organization's ability to build trust and foster open dialogue with local stakeholders about safety. FORM NO: XXX

10. **Failure to Monitor Communication Effectiveness:** The organization lacks established methods for evaluating the effectiveness of its external communications regarding OH&S issues. Without assessment tools or metrics, the organization cannot determine the impact of its communications on stakeholder understanding and safety awareness.

    Example: There is a notable absence of evaluation reports or metrics analyzing the effectiveness and reach of OH&S communications to stakeholders. This lack of analysis hinders the organization's ability to improve communication strategies and ensure that stakeholders receive accurate safety information. FORM NO: XXX

7 SUPPORT

1. STANDARD REQUIREMNETS:

7.5 DOCUMENTED INFORMATION

7.5.1 GENERAL

The organization's OH&S management system shall include:

a) Documented information required by this document;
b) Documented information determined by the organization as being necessary for the effectiveness of the OH&S management system.

NOTE: The extent of documented information for an OH&S management system can differ from one organization to another due to:

a) The size of organization and its type of activities, processes, products and services;
b) The need to demonstrate fulfilment of legal requirements and other requirements;
c) The complexity of processes and their interactions;
d) The competence of workers.

2. EXPLAINATION:

1. **Documented Information Required by ISO 45001**
   This refers to the specific documentation required by the ISO 45001 standard, which outlines the framework for an organization's occupational health and safety (OH&S) management system. Organizations must create and maintain documents such as policies, procedures, risk assessments, and performance evaluations. These documents serve as evidence of compliance and demonstrate the organization's commitment to improving health and safety, ensuring a systematic approach to managing risks and enhancing overall workplace safety.

   Example: An organization is required to maintain a documented occupational health and safety (OH&S) policy along with clear objectives and procedures for identifying hazards, assessing risks, and determining appropriate controls. This documentation may encompass tools such as a risk assessment template, which helps systematically evaluate potential hazards, and incident investigation reports, which provide insights into past incidents and outline measures for preventing future occurrences. This ensures a proactive approach to workplace safety and health.

2. **Documented Information Determined by the Organization:** This aspect enables the organization to recognize and uphold any supplementary documentation essential for the effective functioning of its occupational health and safety (OH&S) management system. Such documentation may extend beyond the requirements outlined in ISO 45001, ensuring that the organization comprehensively addresses unique safety challenges and maintains best practices. This additional documentation supports ongoing improvement and facilitates a robust approach to managing health and safety risks within the workplace.

   Example: A construction company could develop supplementary documentation, such as a comprehensive safety manual, which details specific safety procedures for various construction activities, including scaffolding and electrical work. This manual can be customized to address the unique risks and processes associated with the company's operations, ensuring that all employees are aware of and understand the necessary precautions and procedures to maintain a safe working environment tailored to their specific tasks and challenges.

Factors Influencing the Extent of Documented Information

The standard acknowledges that the extent of documented information can vary significantly between organizations due to several factors:

1. **Size of the Organization and Its Type of Activities, Processes, Products, and Services:** Larger organizations often necessitate more extensive documentation to effectively manage their operations. This need arises from the scale of their activities, the diverse range of employees, and the intricacy of processes involved. Comprehensive documentation ensures that all safety protocols, risk assessments, and procedures are clearly outlined and accessible, facilitating better communication, compliance with regulations, and overall management of occupational health and safety standards within the organization.

   Example: A multinational manufacturing company often requires extensive documentation to cover diverse safety protocols tailored to various locations and regulatory environments. This may include detailed safety manuals, risk assessments, and compliance records to address the complexities of operations across different regions. Conversely, a small local business may only need a few basic procedures to ensure safety, as its operations are typically less complex and more straightforward, focusing on fundamental health and safety practices.

2. **Need to Demonstrate Fulfilment of Legal Requirements and Other Requirements**
   Organizations are required to comply with various legal and regulatory requirements, which often mandate specific documented information related to occupational health and safety (OH&S). This documentation can include risk assessments, incident reports, safety procedures, and compliance records. By maintaining accurate and comprehensive records, organizations not only fulfill their legal obligations but also demonstrate their commitment to ensuring the health and safety of employees and stakeholders. Compliance helps mitigate risks and enhances overall organizational performance.

   Example: A chemical manufacturing plant is required to maintain comprehensive records of Safety Data Sheets (SDS) for all hazardous substances as part of regulatory compliance. Additionally, it must keep detailed training records for employees who handle these substances, ensuring they are informed about potential hazards and safety protocols. This documentation not only meets legal obligations but also promotes a safe working environment by providing employees with the necessary knowledge to mitigate risks associated with hazardous materials.

3. **Complexity of Processes and Their Interactions:** Complex processes often necessitate more detailed documentation to comprehensively address all safety aspects involved. This includes thorough procedures for hazard identification, risk assessments, and control measures, ensuring that every potential risk is evaluated and mitigated. For instance, intricate operations in industries like oil and gas or pharmaceuticals may require extensive guidelines and protocols, while simpler tasks might only need basic safety instructions, making documentation proportionate to the complexity of the processes involved.

   Example: A logistics company managing various types of cargo, including hazardous materials, must establish comprehensive procedures outlining the safe loading, transportation, and unloading of these items. This includes detailed protocols for handling specific hazards, ensuring compliance with regulations, and minimizing risks. Additionally, thorough training documentation for staff is essential to equip them with the necessary knowledge and skills to safely manage these materials, thus promoting a culture of safety within the organization.

4. **Competence of Workers:** The skills and knowledge of employees significantly influence the type of documented information required in an organization. More skilled workers, who have extensive training and experience, may need less detailed documentation as they are familiar with safety protocols. In contrast, less experienced workers often require more comprehensive guidance, including step-by-step instructions and detailed safety measures, to ensure they understand the hazards and controls necessary for their tasks in the workplace.

   Example: In a high-risk environment, such as a construction site, conducting detailed Job Safety Analyses (JSAs) for each task is essential to ensure that less experienced workers comprehend the hazards and necessary controls. Conversely, in skilled trades where workers possess extensive training and experience, less detailed documentation may suffice, focusing instead on broader safety practices and guidelines. This tailored approach enhances safety while promoting efficiency and responsibility among experienced personnel.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The OH&S policy should clearly outline the organization's commitment to health and safety, demonstrating leadership's intent. It must be documented, communicated to all employees, and regularly reviewed to ensure it remains relevant and aligned with organizational objectives.

2. **Risk Assessment Reports:** Risk assessment reports should identify potential hazards in the workplace, evaluate associated risks, and document control measures implemented to mitigate these risks. Regular reviews and updates of these assessments are crucial to adapting to changes in operations and environments.

3. **Legal and Other Requirements Register:** This register contains a comprehensive list of applicable health and safety laws, regulations, and standards that the organization must adhere to. It should outline how compliance is maintained and monitored, ensuring that legal obligations are consistently fulfilled.

4. **Objectives and Targets:** Documented OH&S objectives and targets should be specific, measurable, achievable, relevant, and time-bound (SMART). They guide organizational efforts in improving safety performance, and methods for tracking progress must be established to assess success and areas needing improvement.

5. **Training Records:** Training records must detail all health and safety training provided to employees, including topics covered, training methods, and participant attendance. These records are essential for verifying employee competence and ensuring compliance with training requirements in the organization's OH&S system.

6. **Incident and Accident Reports:** Incident and accident reports should comprehensively document all workplace events, including investigations, root cause analyses, and corrective actions taken. Maintaining these records helps organizations identify trends, implement preventive measures, and improve overall safety performance.

7. **Internal Audit Reports:** Internal audit reports should detail findings from assessments of the OH&S management system's compliance and effectiveness. They must highlight strengths, weaknesses, nonconformities, and opportunities for improvement, alongside corrective actions taken in response to identified issues.

8. **Management Review Minutes:** Minutes from management review meetings should document discussions on the performance of the OH&S management system. This includes evaluations of safety objectives, incident trends, audit findings, and opportunities for improvement, ensuring that management remains engaged and informed on health and safety matters.

9. **Emergency Preparedness and Response Plans:** Documented emergency preparedness and response plans must outline procedures for responding to potential emergencies. These plans should include evacuation routes, emergency contacts, and regular drills to ensure employee familiarity with protocols, minimizing risks during actual emergencies.

10. **Communication Records:** Communication records should provide evidence of how health and safety information is disseminated within the organization. This includes records of safety meetings, training sessions, and internal bulletins that inform employees of safety practices, policies, and updates on incidents.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** The organization's occupational health and safety (OH&S) policy is thoroughly documented, effectively communicated to all employees, and undergoes regular reviews to ensure its relevance and effectiveness. This process helps maintain a strong commitment to workplace safety and compliance with regulations verified. Example: Document Number: OHSP-2024-01, Reviewed on: 2024-03-15, Approved by: John Doe, OH&S Manager.

2. **Risk Assessment Report:** Completed risk assessment reports detail identified hazards and their associated risks within the workplace. These reports include descriptions of each hazard, potential impacts, risk levels, and recommended control measures, ensuring that appropriate actions are taken to mitigate risks effectively reviewed. Example: Report Number: RAR-2024-045, Date of Assessment: 2024-05-10, Conducted by: Jane Smith, Safety Officer.

3. **Legal Compliance Register:** A comprehensive register of applicable legal and regulatory requirements is maintained, ensuring that it is regularly updated to reflect any changes in legislation. This register serves as a critical resource for compliance and informs the organization's occupational health and safety practices evidence. Example: Document Number: LCR-2024-002, Last Updated: 2024-04-20, Compliance Status: All Requirements Met.

4. **Training Attendance Records:** Records of health and safety training sessions are meticulously maintained, documenting attendance, dates, and topics covered. These records ensure compliance with training requirements and provide evidence of the organization's commitment to equipping employees with essential safety knowledge and skills reviewed. Example: Training Session: HST-2024-03, Date: 2024-06-01, Attendees: 25 Employees, Conducted by: Tom Johnson, Trainer.

5. **Incident Report:** Documentation of workplace incidents includes detailed records of each incident, the investigations conducted, and the corrective actions taken. This documentation is crucial for identifying trends, improving safety measures, and demonstrating the organization's commitment to maintaining a safe work environment verified. Example: Incident Report Number: IR-2024-098, Date of Incident: 2024-07-15, Investigation Completed By: Sarah Brown, HSE Coordinator.

6. **Internal Audit Report:** Reports from internal audits evaluate the effectiveness of the OH&S management system by examining compliance with policies and procedures. These reports identify strengths and areas for improvement, providing insights that help the organization enhance its occupational health and safety practices evidence. Example: Audit Report Number: IA-2024-017, Date of Audit: 2024-08-05, Audited By: David Lee, Lead Auditor.

7. **Management Review Minutes:** Minutes from management review meetings capture discussions on the performance of the OH&S management system. These records include assessments of safety metrics, incident reports, compliance evaluations, and decisions made regarding improvements or changes necessary to enhance overall health and safety practices reviewed. Example: Meeting Date: 2024-09-01, Document Number: MRM-2024-04, Key Decisions: Increase Training Budget by 10%.

8. **Emergency Preparedness Plan:** Documented emergency response plans outline detailed procedures for addressing potential emergencies within the organization. These plans include roles and responsibilities, communication protocols, evacuation routes, and specific actions to mitigate risks, ensuring preparedness and safety during unforeseen incidents verified. Example: Plan Document Number: EPP-2024-03, Date of Issue: 2024-10-01, Reviewed by: Emily Davis, Emergency Manager.

9. **Corrective Action Record:** Records of corrective actions document the steps taken to address identified nonconformities within the organization's OH&S management system. These records include the nature of the nonconformity, corrective measures implemented, responsible personnel, and timelines for resolution to ensure compliance and improvement evidence. Example: Corrective Action Number: CA-2024-022, Date Implemented: 2024-09-10, Assigned to: Michael Green, Safety Officer.

10. **Health Surveillance Record:** Documentation of health surveillance programs outlines the procedures for monitoring employees exposed to specific health risks. This includes details on assessments conducted, health monitoring schedules, results obtained, follow-up actions required, and measures taken to protect employee health and well-being verified. Example: Health Surveillance Report Number: HSR-2024-005, Date of Assessment: 2024-08-20, Conducted by: Dr. Angela White, Occupational Health Specialist.

5. INTERVIEW QUESTIONS:

1. Can you provide the documented information required by the ISO 45001:2018 standard, and how is it organized and maintained?
2. What additional documented information has your organization determined is necessary for the effectiveness of the OH&S management system, and how do you ensure it is accessible to relevant personnel?
3. How does the organization determine the extent of documented information required for compliance with legal and other requirements related to occupational health and safety?
4. Can you describe the process for reviewing and updating documented information to ensure it remains relevant and accurate?
5. What criteria does the organization use to decide which processes or activities require documented information?
6. How do you ensure that employees are aware of the documented information relevant to their roles and responsibilities in the OH&S management system?
7. Can you demonstrate how the documented information supports the overall effectiveness of the OH&S management system and contributes to continuous improvement?

8. How does the organization handle obsolete or outdated documented information to prevent its unintended use?
9. What methods are in place to train employees on the importance of maintaining accurate and up-to-date documented information related to health and safety?
10. Can you provide examples of documented information that have been tailored to meet the specific needs of your organization based on its size and complexity?
11. How is the documented information linked to the organization's health and safety objectives, and how is its effectiveness evaluated?
12. What challenges have you encountered in implementing and maintaining documented information, and how have these challenges been addressed?
13. Can you show me the record of internal audits conducted on the documented information and the actions taken in response to any identified nonconformities?
14. How does your organization engage workers in the process of creating and maintaining documented information related to the OH&S management system?
15. In what ways does the organization ensure the competence of personnel involved in the management and upkeep of documented information, and how is their training validated?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Documentation:** The organization maintains thorough and well-structured documented information that fulfills all ISO 45001:2018 requirements. This commitment reflects a robust understanding of occupational health and safety principles, enhancing the organization's ability to manage risks effectively.
2. **Tailored Documentation:** Documented information is customized to suit the organization's specific operational needs, taking into account its size, types of activities, and process complexity. This tailored approach ensures relevance and effectiveness in addressing unique safety challenges faced by the organization.
3. **Legal Compliance:** The organization systematically maintains a comprehensive register of applicable legal and regulatory requirements. This diligence ensures adherence to relevant laws, demonstrating proactive risk management and reinforcing the organization's commitment to legal obligations regarding occupational health and safety.
4. **Effective Review Processes:** A structured process for regularly reviewing and updating documented information is established. This practice ensures that all documentation remains current, accurate, and aligned with changing regulations, thus supporting the ongoing effectiveness of the OH&S management system.
5. **Employee Involvement:** Employees are engaged in the development and upkeep of documented information, promoting a culture of ownership and responsibility towards health and safety. Their involvement not only enhances the quality of documentation but also fosters a collaborative workplace environment.
6. **Accessibility of Information:** Documented information is readily accessible to all employees who require it for their roles. This accessibility promotes transparency, facilitates adherence to safety procedures, and empowers staff to take informed actions that contribute to workplace health and safety.
7. **Integration with OH&S Objectives:** The documented information aligns seamlessly with the organization's OH&S objectives, illustrating how each document supports specific safety goals. This integration highlights the organization's strategic focus on achieving continuous improvement in its health and safety performance.

8. **Training and Awareness:** Effective training programs are in place to educate employees on the importance of documented information and their roles in maintaining it. This emphasis on training fosters a culture of safety awareness and ensures compliance with health and safety protocols.

9. **Management Commitment:** Top management exhibits clear support for the significance of documented information within the OH&S framework. This commitment encourages a culture of safety throughout the organization, ensuring that all levels prioritize health and safety in decision-making processes.

10. **Continuous Improvement Mechanisms:** The organization actively seeks feedback on its documented information, using this input to identify areas for improvement. This proactive approach demonstrates a commitment to continuous improvement, allowing the organization to adapt to emerging safety challenges and best practices effectively.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Documentation Gaps:** During the audit, instances of missing or incomplete documentation were observed. These gaps hinder the effective implementation of the OH&S management system. Addressing these gaps through comprehensive documentation will ensure better compliance and understanding of safety practices among employees.

2. **Lack of Customization:** The organization's documented information appears generic and does not fully address its specific operational context. Tailoring documentation to reflect unique activities and processes will enhance relevance, ensuring that employees understand and can effectively implement safety measures.

3. **Infrequent Review Processes:** Documented information is not reviewed regularly, leading to potential outdated practices. Establishing a structured, frequent review cycle will keep documentation current and relevant, aligning with legal requirements and evolving best practices for occupational health and safety.

4. **Limited Employee Engagement:** There is minimal involvement of employees in the development and revision of documented information. Increasing employee participation in these processes can foster a sense of ownership, enhancing understanding and commitment to health and safety protocols throughout the organization.

5. **Accessibility Issues:** Access to documented information is restricted for some employees, which may lead to non-compliance with safety procedures. Improving accessibility through centralized repositories or digital platforms ensures that all personnel can easily reference safety guidelines when necessary.

6. **Insufficient Training:** Employees have not received adequate training related to the documented information. Implementing comprehensive training programs will enhance understanding of procedures and responsibilities, ultimately improving compliance with the OH&S management system and reducing workplace incidents.

7. **Overly Complex Processes:** Some documented processes are overly complex, making them difficult for employees to follow. Simplifying these processes will lead to improved adherence and reduce the risk of errors or non-compliance with occupational health and safety standards.

8. **Inadequate Linking of Documentation to Objectives:** The connection between documented information and the organization's OH&S objectives is unclear. Ensuring that documentation is explicitly linked to safety goals will enhance motivation among employees, demonstrating how their actions contribute to overall safety performance.

9. **Failure to Document Non-Conformities:** There is a lack of documentation regarding instances of non-conformance or deviations from established procedures. Implementing a clear process for documenting these occurrences will promote accountability and drive continuous improvement within the organization's OH&S management system.

10. **Limited Use of Technology:** The organization relies heavily on paper-based documentation, missing opportunities for digitization. Implementing digital document management solutions can streamline workflows, improve accessibility, and enhance collaboration among employees, ultimately leading to a more efficient OH&S management system.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Missing Documented Information:** The organization does not maintain essential documented information, including a health and safety policy and a comprehensive procedure manual. This absence of documentation may hinder compliance with occupational health and safety regulations and limit effective communication of safety practices to employees.

   Example: The review of the documentation inventory indicated that the "Health and Safety Policy Document" (Doc No: HSP-001) is either missing or has not been updated. This gap could compromise the organization's compliance with occupational health and safety standards and protocols. FORM NO: XXX

2. **Inadequate Document Control:** Document control procedures are inadequately implemented, resulting in the usage of outdated documents within the organization. This oversight can lead to inconsistencies and compliance issues, undermining the effectiveness of the OH&S management system and potentially endangering employee safety.

   Example: An employee was observed using an outdated "Emergency Procedures" document (Doc No: EP-002), which is dated 2020. This document has not been updated to reflect recent legal changes, posing potential risks to safety and compliance within the organization. FORM NO: XXX

3. **Lack of Contextual Relevance:** The documented information fails to adequately address the specific activities and associated risks of the organization. This lack of tailored documentation can lead to insufficient safety measures and increased vulnerability to incidents, compromising overall health and safety performance.

   Example: The "Risk Assessment Template" (Doc No: RAT-003) is deficient, as it does not include essential sections relevant to high-risk activities such as machinery operation. This oversight compromises the effectiveness of risk assessments and the organization's ability to ensure employee safety. FORM NO: XXX

4. **Insufficient Training Documentation:** The organization lacks documentation of any training sessions conducted regarding the OH&S management system. This absence of records hinders the ability to verify employee competencies and ensure that all staff are adequately trained in health and safety protocols.

   Example: There are no training records available for the "Workplace Safety Training" (Training ID: WST-2023) that was conducted in April 2023. This absence of documentation prevents verification of employee participation and understanding of crucial workplace safety protocols and procedures. FORM NO: XXX

5. **No Review Mechanism:** The organization has failed to review documented information within the specified timeframes, resulting in outdated content that may not reflect current practices or compliance requirements. This oversight can lead to potential gaps in safety and operational effectiveness within the organization.

Example: The "Chemical Safety Guidelines" (Doc No: CSG-004) were last reviewed in 2020, surpassing the annual review requirement outlined in internal procedures. This delay may result in outdated information, potentially compromising safety practices and compliance with current regulations and standards. FORM NO: XXX

6. **Lack of Legal Requirement Tracking:** The organization lacks a systematic process to monitor and track changes in legal and regulatory requirements related to occupational health and safety. This absence may lead to non-compliance and increased risk of legal penalties or safety incidents within the workplace.

   Example: No records or logs are available documenting any updates made to the "Legal Requirements Register" (Doc No: LR-005) since 2021. This absence indicates a potential lapse in compliance monitoring and could jeopardize adherence to relevant legal and regulatory obligations. FORM NO: XXX

7. **Inadequate Communication of Changes:** Employees have not been adequately informed about changes to documented information, resulting in a lack of awareness regarding updated procedures and policies. This oversight may lead to inconsistencies in compliance and safety practices, potentially increasing the risk of incidents in the workplace.

   Example: Employee interviews reveal that updates to the "Personal Protective Equipment Policy" (Doc No: PPE-006), implemented in January 2023, were not effectively communicated. As a result, many employees remain unaware of the new guidelines, potentially compromising their safety and compliance on-site. FORM NO: XXX

8. **Poor Accessibility of Documents:** Interviews with employees indicate that important documents, such as safety manuals and training procedures, are not easily accessible. Many staff members have expressed difficulty locating essential information, which can hinder their ability to follow safety protocols and stay informed about health and safety practices.

   Example: The "First Aid Procedures" document (Doc No: FAP-007) is currently available only as a hard copy located in the main office. This limited access prevents employees in various work areas from readily consulting the document, potentially compromising their ability to respond effectively in emergencies. FORM NO: XXX

9. **Failure to Document Non-Conformities:** The organization fails to maintain comprehensive records of non-conformities related to occupational health and safety (OH&S) procedures. This lack of documentation impairs the ability to track issues, identify patterns, and implement corrective actions effectively, ultimately compromising the organization's safety management system.

   Example: A review of incident reports reveals that the "Incident Log" (Log No: IL-008) lacks documentation for incidents recorded in March 2023. This absence of records hinders the organization's ability to analyze trends and implement necessary corrective actions for improving workplace safety. FORM NO: XXX

10. **Limited Employee Participation:** Employee feedback sessions indicate limited participation in the development or revision of documented information, such as safety policies and procedures. This lack of involvement may result in insufficient representation of employees' insights and needs, potentially undermining the effectiveness of the OH&S management system.

    Example: Meeting minutes from the "OH&S Committee" (Minutes No: OHS-009) reveal that staff representatives have not provided any input during the last three meetings. This lack of participation highlights a disconnect between management and employees, potentially affecting the relevance and effectiveness of health and safety discussions. FORM NO: XXX

7 SUPPORT

1. STANDARAD REQUIREMENTS:

7.5.2 CREATING AND UPDATING

When creating and updating documented information, the organization shall ensure appropriate:

a) Identification and description (e.g. a title, date, author or reference number);
b) Format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
c) Review and approval for suitability and adequacy.

2. EXPLAINATION:

1. **Identification and** Documented information must be clearly identified and described for easy recognition, location, and retrieval. Essential details include the document title, creation date, author's name, and a unique reference number. These elements are crucial for maintaining version control, allowing users to track changes and updates efficiently, which is vital for ensuring the accuracy and relevance of the information. Proper documentation practices support effective communication and compliance within the organization.

   Example: A safety policy document might be titled "Workplace Safety Policy - 2024," authored by the Safety Manager, and assigned a reference number "WS-2024-001." Including a creation date, such as "Created on: January 15, 2024," enables employees to quickly locate and reference the most current version of the policy. This structured approach enhances clarity, ensures compliance, and facilitates efficient access to critical safety information within the organization.

2. **Format and Media:** The organization should establish the format and media for its documented information, considering factors like language, software version, and graphics. Media encompasses the physical or digital forms in which information is stored, such as paper, electronic files, or cloud storage. Selecting the appropriate format and media is crucial for ensuring effective communication, facilitating accessibility, and promoting user engagement with the documented information, thereby enhancing overall operational efficiency and compliance.

   Example: A risk assessment report could be generated using Microsoft Word 2021 in English, incorporating graphics like charts and diagrams to visually represent risk levels. To enhance accessibility, the document should be saved in electronic format (PDF for easy sharing) and also printed as a physical copy. This dual format ensures that all employees, regardless of their access to technology, can easily review and understand the risk assessment findings, promoting safety awareness.

3. **Review and Approval for Suitability and Adequacy:** Before finalizing any documented information, it should undergo a systematic review and approval process to confirm its suitability and adequacy. This involves designated personnel or committees evaluating the document against applicable standards, regulations, and organizational requirements. By ensuring that the document meets its intended purpose and sufficiently addresses necessary criteria, organizations can enhance compliance, improve operational efficiency, and promote a culture of safety and accountability throughout the workplace.

   Example: A new training program document for workplace safety should be reviewed by the OHS committee, comprising representatives from management, safety, and human resources. After a thorough evaluation, the committee will approve the document by adding an approval signature and the date of approval. This process ensures the document meets required standards and is suitable for distribution, effectively equipping employees with the necessary knowledge and skills to maintain a safe work environment.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OHS Policy Document:** The Occupational Health and Safety (OHS) policy document articulates the organization's commitment to providing a safe work environment. It outlines responsibilities, safety objectives, and the organization's approach to preventing workplace hazards; ensuring employees understand their role in safety management.

2. **Risk Assessment Records:** Risk assessment records detail the identification and evaluation of workplace hazards. These documents should include methodologies used, identified risks, likelihood and severity ratings, control measures implemented, and ongoing reviews to ensure effectiveness in mitigating safety risks.

3. **Legal and Other Requirements Records:** This documentation includes records of applicable OHS regulations, standards, and compliance obligations relevant to the organization. It should outline how these legal requirements are identified, communicated to staff, and integrated into operational procedures to ensure ongoing compliance.

4. **Objectives and Targets for OHS:** Documented objectives and targets for OHS should be specific, measurable, achievable, relevant, and time-bound (SMART). These records guide the organization in tracking progress, evaluating performance, and aligning safety efforts with overall business objectives for continuous improvement.

5. **Training Records:** Training records provide evidence of OHS-related training conducted for employees. They should include details on the training content, dates, attendance, and participant feedback, demonstrating that employees are adequately trained to recognize hazards and respond appropriately in emergencies.

6. **Incident and Accident Reports:** Incident and accident reports document occurrences of workplace incidents, including injuries and near misses. These records should include thorough investigations, root cause analyses, corrective actions taken, and lessons learned, fostering a culture of safety and continuous improvement within the organization.

7. **Internal Audit Reports:** Internal audit reports assess the effectiveness of the OHS management system against ISO 45001:2018 requirements. They should detail audit findings, areas of nonconformance, recommendations for improvement, and action plans, helping ensure compliance and enhance overall safety performance.

8. **Management Review Minutes:** Minutes from management review meetings document discussions on OHS performance, including reviews of objectives, audit results, and incident trends. These records provide evidence of management's commitment to health and safety and the strategic direction for continual improvement.

9. **Corrective and Preventive Action Records:** These records capture actions taken to address nonconformities and prevent their recurrence. They should include the identification of issues, root cause analyses, corrective actions implemented, and evaluations of their effectiveness, demonstrating the organization's proactive approach to risk management.

10. **Emergency Preparedness and Response Plans:** Emergency preparedness and response plans outline procedures for addressing potential emergencies, including evacuation routes, communication protocols, and assigned responsibilities. Records should reflect drills conducted, participant feedback, and improvements made to ensure readiness in crisis situations.

4. OBJECTIVE EVIDENCES:

1. **OHS Policy Document:** The OHS policy document articulates the organization's commitment to health and safety, detailing its objectives and responsibilities. It has been thoroughly reviewed and formally signed by top management, reinforcing their dedication to creating a safe and healthy work environment for all employees verified. Example: OHS Policy Document No. OHS-2024-001, Reviewed on January 10, 2024, Signed by John Doe, OHS Manager.

2. **Risk Assessment Record:** The risk assessment for hazardous tasks comprehensively documents the identified risks, the corresponding control measures implemented to mitigate those risks, and the designated personnel responsible for overseeing the implementation of these measures, ensuring a structured approach to workplace safety management evidence. Example: Risk Assessment Report No. RAR-2024-045, Conducted on February 5, 2024, Assessor: Jane Smith, Department: Manufacturing.

3. **Training Records:** Training records serve as documentation of the occupational health and safety (OHS) training delivered to employees. They ensure that staff members comprehend safety procedures, reinforcing their knowledge and skills to maintain a safe working environment and comply with regulatory requirements reviewed. Example: Training Completion Form No. TCF-2024-008, Training Date: March 15, 2024, Participants: 30 employees, Facilitator: Mike Johnson.

4. **Incident Report:** The incident report provides a comprehensive account of a workplace accident, detailing the circumstances surrounding the event. It includes investigation findings, identifies contributing factors, and outlines corrective actions taken to prevent similar incidents in the future, ensuring continuous improvement in safety protocols verified. Example: Incident Report No. IR-2024-022, Incident Date: April 12, 2024, Reported by: Lisa Brown, Corrective Action: PPE Training.

5. **Internal Audit Report:** The internal audit report evaluates adherence to occupational health and safety (OHS) policies, highlighting areas of compliance and identifying opportunities for improvement. This assessment helps the organization enhance its safety practices and ensure alignment with regulatory requirements and best practices evidence. Example: Internal Audit Report No. IAR-2024-033, Audit Date: May 20, 2024, Auditor: David Lee, Findings: 3 non-conformities.

6. **Management Review Meeting Minutes:** The minutes from the management review meeting summarize discussions regarding occupational health and safety (OHS) performance, highlighting key metrics, challenges faced, and proposed improvement plans. These records serve as a foundation for ongoing safety initiatives and management accountability within the organization verified. Example: Meeting Minutes No. MRM-2024-007, Meeting Date: June 15, 2024, Attendees: 5 managers, Key Decisions: Revised safety targets.

7. **Corrective Action Record:** Records of corrective actions detail the organization's responses to identified nonconformities, including the specific measures implemented to address issues and the assessment of their effectiveness. These records ensure that corrective actions lead to sustained improvements in occupational health and safety practices reviewed. Example: Corrective Action Request No. CAR-2024-011, Issued on July 5, 2024, Action Owner: Tom Wilson, Status: Closed.

8. **Emergency Preparedness Plan:** The emergency preparedness plan details the procedures for responding to various workplace emergencies, including evacuation routes, communication protocols, and designated roles. It is regularly updated to reflect changes in regulations, resources, or organizational structure, ensuring effective response in emergencies verified. Example: Emergency Plan Document No. EPD-2024-004, Last Updated: August 1, 2024, Approved by: Sara White, Plan Includes: Fire evacuation procedures.

9. **Worker Consultation Records:** Records of employee involvement in OHS matters include documentation of feedback and consultation sessions, capturing employee suggestions and concerns. These records demonstrate active participation and engagement, ensuring that worker insights are considered in the development and improvement of health and safety practices evidence. Example: Consultation Meeting Minutes No. CM-2024-002, Meeting Date: September 10, 2024, Participants: 10 employees, Key Feedback: Need for more training.

10. **PPE Distribution Record:** Records of personal protective equipment (PPE) distributed to employees include detailed documentation of the types and quantities provided, along with the date of issuance. These records ensure compliance with safety standards and help track inventory and employee protection measures effectively reviewed. Example: PPE Distribution Log No. PPE-2024-015, Distribution Date: October 5, 2024, Items Distributed: 50 helmets, Recipient: Warehouse Staff.

5. INTERVIEW QUESTIONS:

1. Can you show me the documented information that has been created or updated recently, and how you ensure it has a clear identification and description, such as titles, dates, and authors?

2. What processes do you have in place to maintain the version control of your documented information, and can you provide examples of the most recent versions of critical documents?

3. How do you determine the appropriate format for different types of documented information, and can you provide examples of documents in various formats (e.g., electronic, paper)?

4. Can you explain how you ensure that the language and graphics used in your documents are appropriate for the intended audience?

5. What criteria do you use to decide which media (e.g., electronic or paper) is used for specific documented information, and can you provide examples of each?

6. How do you ensure that the documented information is reviewed for suitability and adequacy before it is finalized and distributed?

7. Can you show me records of reviews and approvals for your documented information? Who is responsible for this process?

8. How do you track changes made to documented information, and can you provide an example of a document that has undergone significant revisions?

9. What training or guidance do you provide to staff to ensure they understand the importance of following documented information creation and updating procedures?

10. How do you handle obsolete documents, and can you show me how they are removed from circulation to prevent their use?

11. Can you provide examples of documented procedures for creating and updating information? How often are these procedures reviewed for effectiveness?

12. How do you ensure that employees have access to the most current versions of documented information, and what systems do you have in place to facilitate this?

13. What methods do you use to communicate changes in documented information to relevant stakeholders, and can you show me an example of a recent change notification?

14. How do you incorporate feedback from users into the creation or updating of documented information, and can you provide an example of how feedback led to a change?

15. In cases of regulatory updates or changes in standards, how do you ensure that your documented information is updated accordingly, and can you provide an example of this process in action?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear Identification and** The organization has established a systematic approach for identifying and describing its documents. Each document is clearly labeled with essential details such as titles, authors, dates, and reference numbers, facilitating easy access and retrieval for all staff members.
2. **Version Control Practices:** Effective version control is implemented, allowing the organization to track document revisions over time. This practice ensures that employees always have access to the most current information, reducing confusion and enhancing the reliability of documented procedures.
3. **Diverse Format Utilization:** The auditee utilizes various formats for documented information, including electronic files and paper documents. By tailoring formats to user needs, the organization ensures that all stakeholders can access and comprehend the information effectively, promoting operational efficiency.
4. **Appropriate Language and Graphics:** Documented information is consistently presented in clear language with appropriate graphics. This thoughtful approach enhances user understanding and engagement, making it easier for staff to follow procedures and guidelines, thereby fostering a safer work environment.
5. **Regular Review Processes:** The organization has established systematic review processes for its documented information. Regular reviews ensure that all documents remain relevant and accurate, reflecting any changes in operational practices, regulations, or standards, thereby supporting compliance and effectiveness.
6. **Thorough Approval Mechanism:** An effective approval mechanism is in place for all documented information. This process includes rigorous reviews to verify suitability and adequacy, ensuring that only high-quality, accurate, and relevant documents are distributed to employees and stakeholders.
7. **Employee Training and Awareness:** The organization prioritizes employee training on the importance of managing documented information. This training enhances staff awareness and accountability regarding documentation practices, ensuring everyone understands their roles and responsibilities in maintaining accurate and current records.
8. **Access to Current Documents:** The auditee provides employees with easy access to the latest versions of documented information through a well-organized system. This accessibility minimizes the risk of using outdated documents, ensuring that staff can work effectively and safely.
9. **Effective Communication of Changes:** A robust communication strategy is implemented to inform stakeholders of any changes to documented information. This proactive approach ensures timely updates, fostering an environment of transparency and collaboration among all team members regarding operational procedures.
10. **Incorporation of Feedback:** The organization actively seeks feedback from employees concerning documented information. By incorporating this feedback into their processes, the auditee demonstrates a commitment to continuous improvement, enhancing the relevance and effectiveness of their documentation practices for users.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inconsistent Identification Practices:** Inconsistencies in document identification, such as varying formats for titles and reference numbers, can lead to confusion and inefficiency. Establishing standardized naming conventions across all documents will improve retrieval processes, ensuring that staff can quickly find and reference required information.

2. **Lack of Version Control:** Without an effective version control system, employees may reference outdated documents, leading to errors in procedures and safety practices. Implementing a clear versioning process, including dates and revision histories, will help maintain the integrity of information and promote adherence to current practices.

3. **Limited Document Descriptions:** Documents with inadequate descriptions fail to convey essential details like authorship and context. Encouraging more comprehensive document descriptions can enhance clarity and accountability, ensuring that users understand the purpose and content of each document effectively.

4. **Inadequate Format Specifications:** Some documents may not clearly specify their format or media, leading to accessibility issues. By providing guidelines for acceptable formats and media types, the organization can ensure that all employees can easily access and utilize the documentation relevant to their work.

5. **Review Process Gaps:** Gaps in the review process may allow inadequately vetted documents to be disseminated. Strengthening this review process by establishing clear criteria for suitability and adequacy will ensure that all documented information aligns with the organization's quality and safety standards.

6. **Delayed Approval Mechanism:** A slow or ambiguous approval process can hinder the timely release of updated documents, causing reliance on outdated information. Streamlining approval workflows with defined roles and timelines can significantly improve the organization's responsiveness to changes and enhance operational efficiency.

7. **Insufficient Training on Document Management:** Employees may not fully understand the importance of proper document management practices, resulting in inconsistencies. Conducting regular training sessions can improve staff knowledge, fostering a culture of accountability and compliance with established document creation and updating procedures.

8. **Limited Accessibility:** Employees may struggle to access essential documented information due to poor organization or navigation systems. Enhancing document accessibility through user-friendly electronic platforms or organized filing systems will empower employees to utilize information effectively in their daily operations.

9. **Outdated Documentation:** Circulating outdated documents can lead to confusion and safety risks. Conducting regular audits of all documented information to identify and eliminate obsolete documents will help ensure that employees work with the most relevant and current information available.

10. **Feedback Mechanism Absence:** The lack of a structured feedback mechanism may prevent valuable employee insights from being considered in document management practices. Implementing a formal feedback process encourages continuous improvement and ensures that documented information remains relevant and useful to all users.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Inadequate Document Identification:** Certain documents are missing essential identification details, including titles and authors' names, which hinders their recognition and retrieval. This lack of clarity can lead to confusion about document ownership and content, impacting the organization's ability to maintain effective documentation control.

   Example: A procedure document labeled merely as "Safety Procedures" lacks a title page, author name, and date, making it difficult to identify its version or the responsible party. This absence of key identification details complicates document retrieval and accountability within the organization. FORM NO: XXX

2. **Missing Version Control:** Documents lack version numbers, hindering the ability to track updates effectively. This omission creates confusion regarding the most current information and may result in the use of outdated procedures, potentially compromising safety and compliance within the organization.

   Example: An instruction manual dated "2022" lacks a version number, creating uncertainty about its currency. Without clear versioning, employees may inadvertently rely on outdated information, which can lead to inconsistencies in procedures and potentially compromise safety and operational effectiveness. FORM NO: XXX

3. **Absence of Review Dates:** Documents lack recorded review dates, raising concerns about their relevance and accuracy. Without scheduled reviews, there is a risk that outdated information may be used, potentially leading to non-compliance with current safety standards and ineffective operational procedures.

   Example: A risk assessment document lacks a review date, suggesting it may not have been evaluated since its initial creation. This oversight increases the risk of relying on outdated information, potentially exposing the organization to unrecognized hazards and compliance issues. FORM NO: XXX

4. **Lack of Approval Signatures:** Documents lack appropriate approval signatures, raising concerns about their legitimacy and adherence to established procedures. This absence of verification undermines confidence in the information provided and could lead to compliance issues or unsafe practices within the organization.

   Example: A safety policy document has been circulated without the necessary signatures from relevant authorities or management, undermining its legitimacy and authority. This lack of formal approval raises concerns about the document's acceptance and adherence to organizational health and safety standards. FORM NO: XXX

5. **Outdated Content:** Several documents contain outdated information, which poses a significant risk to safety and compliance within the organization. This inconsistency can lead to improper practices and increased liability, underscoring the need for regular reviews and updates to ensure accuracy and relevance.

   Example: The emergency response plan references an outdated organizational structure, which has changed since the document's creation. This discrepancy could lead to confusion during emergencies, as employees may not know the current roles and responsibilities, jeopardizing the effectiveness of the response. FORM NO: XXX

6. **Insufficient Document** Certain documents lack clear descriptions of their content or intended purpose, making it challenging for employees to understand their relevance. This lack of clarity can result in misinterpretation or misuse, ultimately compromising safety and compliance within the organization.

Example: A maintenance log simply labeled "Log" lacks context regarding what specific activities or equipment it records, creating ambiguity for users. This lack of clarity may hinder effective tracking and oversight of maintenance tasks, potentially impacting operational efficiency and safety. FORM NO: XXX

7. **Inconsistent Language Use:** Some documents utilize complex language and jargon that may be difficult for all employees to understand. This lack of clarity can lead to confusion, misinterpretation, and non-compliance with procedures, ultimately jeopardizing safety and operational efficiency within the organization.

   Example: A safety manual filled with technical jargon lacks explanations or a glossary, making it difficult for non-technical staff to understand the content. This barrier to comprehension can lead to improper implementation of safety procedures and increased risk in the workplace. FORM NO: XXX

8. **Failure to Document Change Management:** Document changes are not properly logged or communicated to employees, creating confusion about the current version and its content. This oversight can lead to inconsistent practices and potential non-compliance with safety protocols, jeopardizing workplace safety and regulatory adherence.

   Example: A training procedure was modified without a change log or announcement, resulting in employees adhering to outdated practices. This lack of communication creates inconsistencies in training delivery, potentially compromising safety and effectiveness in the workplace and undermining overall operational efficiency. FORM NO: XXX

9. **Non-compliance with Regulatory Updates:** Some documents fail to incorporate recent changes in applicable legal or regulatory requirements, which may lead to non-compliance. This oversight poses a risk to the organization, potentially resulting in legal penalties, operational disruptions, and compromised safety for employees and stakeholders.

   Example: A health and safety policy citing outdated regulations that have been replaced indicates a lack of compliance with current standards. This failure to update may expose the organization to legal liabilities and undermine employee safety by not adhering to current best practices. FORM NO: XXX

10. **Poor Accessibility of Documents:** Important documents are stored in locations or formats that employees cannot easily access, such as archived files in locked cabinets or outdated software. This lack of accessibility can hinder timely retrieval of critical information needed for safety and compliance purposes.

    Example: A critical safety manual is stored on a shared drive with restricted access, preventing employees from obtaining necessary information. This lack of accessibility can lead to confusion and non-compliance, increasing the risk of workplace accidents and safety violations. FORM NO: XXX

7 SUPPORT

1. STANDARD REQUIREMNETS:

7.5.3 CONTROL OF DOCUMENTED INFORMATION

Documented information required by the OH&S management system and by this document shall be controlled to ensure:

a) it is available and suitable for use, where and when it is needed;
b) it is adequately protected (e.g. from loss of confidentiality, improper use or loss of integrity).

For the control of documented information, the organization shall address the following activities, as applicable:

a) distribution, access, retrieval and use;
b) storage and preservation, including preservation of legibility;
c) control of changes (e.g. version control);
d) Retention and disposition.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the OH&S management system shall be identified, as appropriate, and controlled.

NOTE 1: Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

NOTE 2: Access to relevant documented information includes access by workers, and, where they exist, workers' representatives.

2. EXPLAINATION:

1. **Availability and Suitability for Use:** Documented information must be readily accessible and suitable for use at the time and place required. This ensures that employees have the necessary documents available to perform their tasks safely and effectively. By maintaining organized and easily retrievable documentation, the organization empowers workers to access vital safety procedures and guidelines, thereby enhancing compliance with health and safety standards and improving overall operational efficiency.

   Example: An organization maintains safety data sheets (SDS) for all hazardous materials, which must be readily accessible in the storage areas where these materials are kept. This ensures that workers can easily consult the SDS before handling any chemicals, thereby promoting safe practices. Providing immediate access to this crucial information allows employees to understand the potential hazards, necessary precautions, and proper emergency procedures associated with the chemicals they work with, enhancing workplace safety.

2. **Adequate Protection:** Documented information must be safeguarded against unauthorized access, loss of confidentiality, improper use, and loss of integrity. This involves implementing robust security measures, such as access controls, encryption, and secure storage solutions. By establishing clear protocols for handling sensitive information, organizations can protect their data from breaches and ensure that only authorized personnel have access, thereby maintaining the integrity and confidentiality of critical documents.

   Example: An organization maintains a digital database of employee health records, ensuring access is restricted to authorized personnel through secure login credentials. This practice protects sensitive information and maintains confidentiality. Additionally, regular

backups are conducted to prevent data loss, ensuring that vital records remain accessible and secure in case of system failures or breaches. These measures collectively enhance the overall security and integrity of employee health information within the organization.

3. **Control of Documented Information Activities:** The organization should establish processes to control activities related to documented information, including creation, review, approval, distribution, and revision of documents. Additionally, processes should ensure proper storage, access, and retention of information, while also maintaining security and confidentiality. Regular audits and assessments should be conducted to evaluate the effectiveness of these processes, ensuring compliance with applicable standards and regulations while promoting continuous improvement in information management practices.

a. **Distribution, Access, Retrieval, and Use:** This includes ensuring that documented information is properly distributed to relevant personnel who require access to perform their duties effectively. The organization should implement clear procedures for accessing and retrieving this information, allowing employees to obtain necessary documents when needed. Training on these procedures should be provided to all staff, ensuring they understand how to locate and utilize documented information efficiently while maintaining compliance with safety and regulatory standards.

Example: A company has a policy document detailing safety procedures that must be distributed to all employees during onboarding to ensure they understand the guidelines from the start. Additionally, a digital system should be implemented, allowing employees to access and retrieve updated versions of the policy easily as needed. This ensures that all staff is informed of the latest safety practices and can refer to the document whenever required for compliance and safety.

b) **Storage and Preservation:** Documented information must be stored in a manner that maintains its integrity and legibility over time, regardless of whether it is in physical or electronic format. For physical documents, this may involve using protective covers and storing them in a controlled environment. For electronic documents, regular backups and secure storage solutions are essential to prevent data loss or corruption, ensuring that the information remains accessible and reliable for future use.

Example: Safety manuals are stored in a designated area with controlled temperature and humidity to prevent degradation and maintain their condition over time. Digital documents are kept on a secure server equipped with redundancy measures, ensuring that they remain safe from data loss or corruption. Regular backups are performed to further protect these vital documents, allowing for reliable access and retrieval whenever necessary to support workplace safety protocols and compliance.

c) **Control of Changes (Version Control):** All changes to documented information must be carefully controlled to ensure its integrity and reliability. This involves implementing a clear version control system that tracks revisions, dates of changes, and the individuals responsible for those modifications. Each version should be appropriately labeled to prevent confusion, and obsolete versions must be archived or removed from circulation. This systematic approach helps maintain accuracy and ensures that only the most current information is utilized.

Example: When a safety procedure document is updated, the previous version is archived to prevent unauthorized access. The new version is clearly labeled with a version number and revision date for easy identification. All employees are promptly notified of the change to ensure they are aware of the latest procedures. Access to the obsolete version is restricted, maintaining the integrity of current safety protocols and ensuring compliance with established procedures.

d) **Retention and Disposition:** The organization must establish a clear retention policy specifying how long documented information will be kept, ensuring compliance with legal and regulatory requirements. This policy should outline the criteria for retaining documents and detail the process for their safe disposal once they are no longer needed. Proper disposal methods must be implemented to protect sensitive information and prevent unauthorized access, maintaining the integrity and confidentiality of the organization's data.

Example: The Company retains incident reports for duration of five years to comply with legal requirements. Once this retention period concludes, all reports are securely disposed of to safeguard sensitive information. For paper documents, shredding is utilized, while electronic files are permanently deleted from the system. This process ensures that sensitive data is protected and that the company adheres to established legal and regulatory obligations regarding document retention and disposal.

4. **Control of External Documented Information:** External documents essential for the Occupational Health and Safety (OH&S) management system must be identified and effectively controlled. This involves determining which external documents are necessary, such as regulatory guidelines, industry standards, and best practices. By maintaining oversight of these documents, the organization ensures that relevant external information is readily accessible and utilized correctly, supporting compliance and promoting a safe and healthy work environment for all employees.

   Example: The organization subscribes to safety guidelines issued by a regulatory body, which must be regularly reviewed and incorporated into the company's safety practices. This proactive approach ensures that employees are informed about the most current regulations and standards. By integrating these guidelines into daily operations and training, the organization fosters a culture of safety and compliance, ultimately enhancing the workplace environment and reducing risks associated with non-compliance.

5. **Access Considerations:** Access to documented information must be carefully controlled to ensure that only authorized personnel can view or modify critical safety documents. By implementing a permission system, the organization safeguards sensitive information and maintains the integrity of its safety protocols. This approach minimizes the risk of unauthorized changes and ensures that all modifications are tracked and documented, thereby upholding the accuracy and reliability of essential safety information across the organization.

   Example: Employees are granted access to view safety protocols pertinent to their specific job roles, ensuring they have the necessary information to perform safely. However, only supervisors or designated safety officers have the authority to update these protocols. Access permissions are efficiently managed through an IT system that logs all activities, recording who accesses or modifies the documents. This enhances accountability and maintains the integrity of the safety information within the organization.

6. **Worker Involvement:** Ensuring access to documented information is essential for fostering transparency and effective communication about safety practices within the organization. Workers and their representatives should be able to easily access relevant documents, allowing them to stay informed about safety protocols and procedures. This accessibility not only empowers employees to contribute to a safer workplace but also encourages collaboration between management and staff in identifying and addressing safety concerns.

   Example: Safety meeting minutes and updates on safety procedures are distributed to all employees, ensuring everyone is informed about critical safety issues and practices. These documents are accessible in common areas and on the company intranet, promoting transparency and encouraging a culture of safety. By making this information readily available, employees can stay up-to-date on safety protocols, fostering awareness and compliance with organizational safety standards.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The OH&S policy outlines the organization's commitment to providing a safe and healthy work environment. It should reflect the organization's objectives, adherence to legal requirements, and continual improvement efforts in occupational health and safety practices throughout the organization.

2. **Risk Assessment Records:** Risk assessment records document the systematic identification and evaluation of hazards associated with workplace activities. They should include methodologies used, risk levels assigned, and controls implemented, ensuring that the organization effectively manages potential risks to employee health and safety.

3. **Legal and Other Requirements:** This documentation identifies all relevant legal and regulatory obligations related to health and safety that the organization must comply with. It should be regularly updated and reviewed to ensure ongoing compliance and address any changes in legal requirements affecting operations.

4. **Objectives and Targets:** OH&S objectives and targets provide measurable goals aligned with the organization's health and safety policy. These records should detail specific, achievable targets, the assigned responsibilities for achieving them, timelines for completion, and methods for monitoring progress and evaluating success.

5. **Training Records:** Training records should document all health and safety training sessions provided to employees. They should include attendance logs, training materials, and competency assessments, ensuring that all personnel are equipped with the necessary knowledge and skills to perform their tasks safely.

6. **Incident and Accident Reports:** These reports document workplace incidents and accidents, including details such as the nature of the incident, contributing factors, immediate actions taken, and follow-up investigations. This documentation is crucial for identifying trends and implementing preventive measures to enhance workplace safety.

7. **Internal Audit Records:** Internal audit records should include audit plans, findings, corrective actions taken, and follow-up evaluations. These documents help assess the effectiveness of the OH&S management system, identify areas for improvement, and ensure compliance with established safety protocols and standards.

8. **Management Review Minutes:** Minutes from management review meetings should capture discussions about the performance of the OH&S management system, including evaluation of objectives, resource allocation, and identified issues. These records ensure that senior management actively participates in promoting a culture of safety.

9. **Documented Procedures:** Documented procedures related to health and safety detail how specific tasks and processes should be performed. This may include emergency response plans, maintenance procedures, and safety protocols, ensuring employees have clear guidelines to follow for safe operations.

10. **Inspection and Monitoring Records:** Records of safety inspections and monitoring activities detail the assessments of workplace environments and practices. These documents should include findings, corrective actions taken, and follow-up measures, ensuring that potential hazards are identified and managed proactively.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** A review of the Occupational Health and Safety (OH&S) policy was conducted to ensure alignment with ISO 45001 requirements. The assessment verified that the policy meets the necessary standards, promoting effective health and safety management within the organization and ensuring compliance evidence. Example: OH&S Policy Document No. OHS-001, Version 3.0, dated 2024-05-10, approved by John Doe, OH&S Manager.

2. **Risk Assessment Records:** Completed risk assessment forms detail identified workplace hazards, including their potential impacts, likelihood of occurrence, and recommended control measures. These documents ensure that the organization takes proactive steps to mitigate risks, enhancing overall safety and compliance with occupational health and safety regulations evidence. Example: Risk Assessment Form No. RA-2024-001, dated 2024-05-15, for Task: Forklift Operation, conducted by Jane Smith, Safety Officer.

3. **Training Records:** Documentation of training sessions outlines the topics covered, participants involved, and the date of each session focused on safety procedures and protocols. These records ensure employees are equipped with the necessary knowledge to maintain a safe working environment and comply with safety regulations evidence. Example: Training Record No. TR-2024-045, dated 2024-06-01, for "Emergency Response Training," conducted by Mark Brown, with 25 participants listed.

4. **Incident Reports:** Records of workplace incidents detail the nature of each incident, investigation findings, and corrective actions implemented to prevent recurrence. These documents serve as essential tools for monitoring safety performance and ensuring compliance with health and safety regulations within the organization reviewed. Example: Incident Report No. IR-2024-002, dated 2024-06-20, regarding a slip accident involving employee ID 12345, with corrective action: Safety signage installed.

5. **Internal Audit Reports:** Internal audit reports of the Occupational Health and Safety (OH&S) management system detail the findings from assessments conducted to evaluate compliance with policies and procedures. These reports highlight strengths, areas for improvement, and recommendations for enhancing overall safety management practices within the organization verified. Example: Internal Audit Report No. IAR-2024-007, dated 2024-07-10, covering the period from 2024-01-01 to 2024-06-30, findings included non-conformance with PPE usage.

6. **Management Review Minutes:** Minutes from management review meetings capture discussions on Occupational Health and Safety (OH&S) performance metrics and action items. These records provide insights into decisions made, responsibilities assigned, and strategies developed to enhance workplace safety and compliance with established standards evidence. Example: Management Review Meeting Minutes No. MR-2024-003, dated 2024-07-15, attended by senior management including Tom Williams, CEO, and Lisa Green, HR Director.

7. **Corrective Action Records:** Records of corrective actions outline the steps implemented to address findings from audits or incidents. These documents detail the specific measures taken, responsible personnel, and timelines for resolution, ensuring accountability and promoting continuous improvement in health and safety practice reviewed. Example: Corrective Action Report No. CAR-2024-005, initiated on 2024-07-20, addressing audit finding regarding insufficient safety signage, assigned to Emily Clark.

8. **External Audit Reports:** External audit reports evaluate the organization's compliance with health and safety regulations, detailing findings and recommendations. These reports provide insights into areas of strength and opportunities for improvement, ensuring that the organization adheres to legal and regulatory safety requirements reviewed. Example:

External Audit Report No. EAR-2024-001, dated 2024-08-01, conducted by ABC Safety Consultants, with recommendations for improving emergency response procedures.

9. **Personal Protective Equipment (PPE) Records:** Records indicate the distribution of personal protective equipment (PPE) to employees, along with details of training sessions conducted on proper usage. These records ensure compliance with safety standards and demonstrate the organization's commitment to providing a safe working environment evidence. Example: PPE Distribution Record No. PPE-2024-012, dated 2024-08-10, listing 50 safety helmets distributed to employees, with serial numbers ranging from HELM-1001 to HELM-1050.

10. **Stakeholder Consultation Records:** Records document consultations conducted with workers and their representatives on health and safety matters. These records capture discussions, feedback, and suggestions, ensuring that employee voices are heard and considered in the organization's health and safety decision-making processes verified. Example: Stakeholder Consultation Record No. SCR-2024-004, dated 2024-08-15, including feedback from 10 employee representatives on workplace safety concerns.

5. INTERVIEW QUESTIONS:

1. Can you demonstrate how documented information required by the OH&S management system is made available and suitable for use when needed?

2. What procedures do you have in place to ensure the protection of documented information from loss of confidentiality, improper use, or loss of integrity?

3. How is access to documented information controlled, and what criteria are used to determine who has permission to view or change these documents?

4. Could you provide examples of how you manage the distribution and retrieval of documented information within the organization?

5. What methods are employed to ensure the storage and preservation of documented information, including measures for maintaining legibility?

6. How do you manage and document changes to controlled information, such as version control practices?

7. Can you explain the retention and disposition policies you have in place for documented information related to the OH&S management system?

8. How do you identify documented information of external origin that is necessary for the planning and operation of the OH&S management system?

9. What processes do you follow to ensure that all relevant documented information is adequately controlled and accessible to workers and their representatives?

10. How do you communicate any changes to documented information to relevant stakeholders, including employees and management?

11. Are there any specific training programs in place to ensure employees understand how to access and use documented information effectively?

12. Can you provide evidence of regular reviews or audits conducted to ensure compliance with the documented information control requirements?

13. What actions are taken if documented information is found to be outdated, inaccurate, or no longer relevant?

14. How do you ensure that temporary documents, such as training materials or safety alerts, are also controlled and managed appropriately?

15. Can you describe how the effectiveness of your documented information control processes is evaluated and improved over time?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Document Control System:** The organization has developed a thorough document control system that categorizes and labels all necessary documented information, ensuring employees can efficiently access relevant materials. This organized structure promotes clarity and facilitates smooth operational workflows, enhancing overall safety management.

2. **User-Friendly Access Procedures:** The implementation of straightforward access procedures enables employees and their representatives to locate and utilize essential documented information easily. This accessibility empowers the workforce, allowing them to effectively engage with the OH&S management system, promoting a culture of safety.

3. **Effective Training Programs:** Regular training sessions on the handling and utilization of documented information ensure that all employees are well-informed about compliance and confidentiality requirements. This commitment to employee education fosters accountability and enhances the overall effectiveness of the safety management system.

4. **Regular Review and Updates:** The organization demonstrates a proactive approach by consistently reviewing and updating documented information. This practice ensures that safety protocols remain relevant and effective, reflecting changes in regulations, operational processes, and best practices, thereby supporting continuous improvement efforts.

5. **Version Control Practices:** A systematic version control process is effectively implemented, ensuring all changes to documented information are meticulously tracked. This practice not only maintains document integrity but also provides a clear historical record, facilitating accountability and transparency within the OH&S management framework.

6. **Strong Protection Measures:** Adequate protective measures are in place to secure documented information from unauthorized access and misuse. By safeguarding confidentiality and integrity, the organization demonstrates a commitment to responsible information management, vital for maintaining trust and compliance with safety regulations.

7. **Clear Retention and Disposition Policies:** Well-defined retention and disposition policies for documented information ensure compliance with legal and regulatory standards. These policies help minimize unnecessary storage costs and risks associated with retaining outdated documents, promoting an organized and efficient information management system.

8. **Documented Information of External Origin:** The organization effectively identifies and manages documented information of external origin, integrating it seamlessly into their OH&S management system. This thoughtful approach enhances planning and operational effectiveness, ensuring that all necessary resources are utilized to maintain workplace safety.

9. **Legibility and Preservation:** Significant emphasis on the storage and preservation of documented information ensures that legibility is maintained over time. This attention to detail guarantees that critical documents remain accessible and usable, supporting ongoing compliance and effective safety management practices.

10. **Open Communication Channels:** The organization fosters an environment of open communication regarding documented information, encouraging employees and representatives to voice concerns and suggest improvements. This collaborative approach strengthens workplace relationships, enhances safety practices, and promotes a shared commitment to health and safety management.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Access Control Measures:** The absence of stringent access control measures could allow unauthorized personnel to access critical documents. Implementing role-based access controls can restrict information access, ensuring that only qualified individuals can view or modify sensitive documented information, thus enhancing data security.

2. **Inadequate Training on Document Control:** Employees may not be adequately trained in document control processes, leading to potential mishandling of vital documents. Providing comprehensive training programs can raise awareness about the importance of proper document handling, ultimately promoting adherence to safety management practices.

3. **Insufficient Document Review Frequency:** If the organization fails to regularly review documented information, outdated or irrelevant documents may persist. Establishing a more frequent review cycle ensures that documents remain current, accurate, and aligned with operational needs, contributing to effective health and safety management.

4. **Limited Version Control Practices:** The organization may lack robust version control procedures, resulting in confusion over document changes. Implementing strict version control systems allows for tracking modifications, ensuring that employees consistently access the most current versions, thus enhancing accountability and accuracy.

5. **Poor Document Storage Conditions:** Inadequate storage conditions for documented information can lead to deterioration, compromising legibility and integrity. Improving storage solutions, such as climate-controlled environments or proper shelving, can preserve documents for extended periods, ensuring they remain usable and accessible.

6. **Unclear Retention Policies:** Ambiguities in retention and disposition policies can create uncertainty about how long documents should be retained. Clearly defining and communicating these policies can streamline document management, ensuring compliance with legal requirements and reducing the risk of information overload.

7. **Failure to Identify External Documents:** The organization may overlook necessary external documented information crucial for operational planning. Implementing systematic processes to identify and control these external documents can enhance the effectiveness of the OH&S management system, ensuring comprehensive safety measures.

8. **Inefficient Retrieval Systems:** If the retrieval system for accessing documented information is cumbersome, employees may experience delays when seeking critical documents. Streamlining the retrieval process, possibly through digital management systems, can improve efficiency, enabling faster access to essential information.

9. **Inadequate Documentation of Changes:** Changes to documented information may lack thorough documentation, leading to confusion about revisions and their justifications. Enhanced change documentation practices can provide clarity on the history and rationale behind modifications, promoting transparency and trust within the organization.

10. **Limited Communication of Changes:** Ineffective communication regarding updates to documented information can leave employees uninformed. Establishing structured communication channels, such as newsletters or meetings, can ensure all relevant personnel are aware of changes, thereby improving compliance and operational efficiency.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Access Control Mechanisms:** Employees without the necessary authorization were found accessing sensitive health and safety documents, raising significant concerns about data security and confidentiality. This unauthorized access could lead to improper handling of critical information, increasing the risk of non-compliance and safety violations.

   Example: Access logs from the document management system indicate unauthorized access by user ID XXXXX, highlighting a breach of protocol. This incident raises concerns about data security and compliance, necessitating immediate investigation and corrective actions to prevent future occurrences. FORM NO: XXX

2. **Inadequate Training on Document Control Procedures:** Employees have reported a lack of training regarding the management of documented information, indicating a gap in their understanding of proper procedures and protocols. This deficiency could lead to non-compliance and ineffective handling of critical documentation within the organization.

   Example: Training records reveal that 50% of employees who require knowledge on document control have not participated in training sessions. This lack of attendance raises concerns about their understanding of document management procedures and compliance with organizational standards and regulations. FORM NO: XXX

3. **Failure to Review Documents Regularly:** A review of safety procedures reveals that essential documents have not undergone evaluation or updates for more than two years. This lack of review raises concerns regarding their relevance, effectiveness, and alignment with current safety regulations and best practices

   Example: Document review records indicate the last evaluation date as YYYY-MM-DD, which surpasses the recommended annual review frequency. This delay in assessment could lead to outdated information and practices, posing risks to compliance and operational effectiveness within the organization. FORM NO: XXX

4. **No Version Control in Place:** Multiple versions of the same document were identified in circulation, highlighting the absence of a clear version control system. This situation creates confusion regarding the most current and accurate information, increasing the risk of non-compliance and operational inefficiencies.

   Example: Copies of documents were discovered with varying version numbers, such as v1.0 and v1.1, but without any accompanying logs or records indicating when updates were made. This lack of documentation compromises the integrity and traceability of the information. FORM NO: XXX

5. **Poor Document Storage Conditions:** Critical documents were found stored in an unprotected area vulnerable to environmental damage, such as moisture exposure. This inadequate storage poses a significant risk of deterioration, potentially compromising essential information and impacting safety and compliance within the organization.

   Example: Photographs depict documents stored in an open area exhibiting visible signs of water damage and high humidity indicators. This improper storage conditions pose a

serious risk to document integrity, potentially leading to loss of critical information and affecting compliance. FORM NO: XXX

6. **Lack of a Document Retention Policy:** The organization lacks a formal policy outlining the duration for which documents should be retained. This absence of a retention policy may lead to inconsistent practices, potential legal compliance issues, and challenges in managing historical information effectively over time.

   Example: The organization does not possess a retention policy document, nor are there records defining specific retention durations for various documents. This gap may lead to uncertainties regarding compliance, proper documentation management, and the potential for retaining unnecessary or outdated information. FORM NO: XXX

7. **Inadequate Change Control Documentation:** Records indicate that modifications to essential safety documents were not properly documented, lacking a clear log of changes. This oversight can lead to confusion regarding the most current procedures and may compromise the organization's adherence to safety standards and regulations.

   Example: Change logs for safety manuals are incomplete, lacking clear descriptions of modifications made. This absence of detailed information compromises the ability to track updates effectively and may result in confusion regarding the most current safety procedures and compliance requirements. FORM NO: XXX

8. **External Documents Not Controlled:** External safety standards applicable to the organization have not been identified or integrated into the management system. This oversight may lead to non-compliance with industry regulations and compromises the effectiveness of the organization's overall safety practices and procedures.

   Example: External safety guidelines, such as ISO standards, are available in the workplace; however, they are not logged or tracked within the document control system. This lack of documentation can hinder compliance efforts and proper reference during audits or assessments. FORM NO: XXX

9. **Access to Documents Not Clearly Defined:** Employees expressed confusion regarding access permissions for specific safety documents, indicating a lack of clarity about who is authorized to view or handle these materials. This uncertainty could lead to improper handling of sensitive information and potential safety risks.

   Example: Employee interviews revealed uncertainty regarding access permissions for specific safety documents, highlighting a lack of clear communication about who is authorized to access or manage these critical materials. This confusion poses a risk to document security and workplace safety. FORM NO: XXX

10. **Inefficient Retrieval Processes:** Employees reported challenges in finding essential safety documents because of disorganized storage practices. This disarray hampers their ability to access critical information promptly, potentially leading to safety risks and non-compliance with established health and safety procedures.

    Example: Survey results indicate that 70% of employees experienced difficulties in retrieving necessary documents. This highlights a significant issue with document accessibility, which may impede compliance with safety protocols and overall operational efficiency within the organization. FORM NO: XXX

8 OPERATION

1. STANDARD REQUIREMENTS:

8.1 OPERATIONAL PLANNING AND CONTROL

8.1.1 GENERAL

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

a) Establishing criteria for the processes;
b) Implementing control of the processes in accordance with the criteria;
c) Maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned;
d) Adapting work to workers.

At multi-employer workplaces, the organization shall coordinate the relevant parts of the OH&S management system with the other organizations.

2. EXPLAINATION:

1. **Planning and Implementation of Processes:** Organizations must outline the necessary processes to achieve their Occupational Health and Safety (OH&S) management system objectives. This involves identifying potential hazards, assessing associated risks, and implementing strategies to eliminate or control those risks effectively. By establishing clear procedures and responsibilities, organizations can enhance workplace safety, ensure compliance with regulations, and foster a proactive safety culture that protects employees and promotes overall organizational well-being.

   Example: A manufacturing company identifies potential hazards linked to machinery operation and develops a comprehensive safety process. This includes conducting regular safety inspections to ensure equipment is functioning correctly, implementing training programs for employees to enhance their safety awareness and skills, and establishing a clear procedure for reporting and addressing unsafe conditions. By prioritizing safety, the company aims to protect its employees and promote a culture of safety in the workplace.

2. **Establishing Criteria for the Processes:** The organization should establish specific criteria to evaluate the effectiveness of its Occupational Health and Safety (OH&S) processes. These criteria must align with legal requirements, adhere to internal standards, and incorporate industry best practices. By doing so, the organization can ensure compliance, improve safety performance, and foster a culture of continuous improvement. Regularly assessing these criteria will help identify areas for enhancement and ensure on-going effectiveness in managing OH&S risks.

   Example: A construction firm sets stringent criteria for fall protection measures, mandating the use of harnesses, safety nets, and regular training sessions for employees. They establish a clear goal that 100% of employees must complete safety training before engaging in work at heights. This commitment not only enhances workplace safety but also ensures compliance with industry regulations, ultimately fostering a culture of safety and responsibility among all team members.

3. **Implementing Control of the Processes:** The organization must implement controls to ensure that health and safety processes are adhered to as planned and effectively manage associated risks. This includes regular monitoring and evaluation of the processes, providing necessary resources and training, and establishing accountability measures for employees. By fostering a culture of compliance and continuous improvement, the organization can enhance workplace safety, minimize health risks, and ensure the effectiveness of its health and safety management system.

   Example: A logistics company implements a robust control system that incorporates checklists for vehicle inspections prior to departure. This system ensures that only vehicles meeting established safety standards are utilized for transporting goods. Additionally, the company conducts regular compliance monitoring to verify adherence to these inspection protocols. By prioritizing vehicle safety, the organization enhances operational reliability and minimizes risks, ultimately ensuring the safe and efficient transportation of goods.

4. **Maintaining and Retaining Documented Information:** Organizations should maintain documented evidence demonstrating that their processes have been executed as planned. This documentation should include comprehensive records of training sessions, inspection results, incident reports, and any actions taken in response to identified issues. By keeping these records, organizations can provide accountability, facilitate audits, and ensure compliance with regulatory requirements. This practice also supports continuous improvement by enabling the analysis of trends and the effectiveness of safety measures.

   Example: An office environment maintains a comprehensive log of all safety training sessions, detailing dates, participants, and the training materials utilized. Additionally, they keep thorough records of incident reports and the corrective actions taken to address any identified issues. This systematic documentation not only ensures compliance with safety regulations but also promotes a culture of accountability and continuous improvement, ultimately enhancing workplace safety and employee awareness.

5. **Adapting Work to Workers:** Organizations should take into account the capabilities and limitations of their workers when designing processes and work environments. This involves providing appropriate resources, tailored training programs, and on-going support to ensure that employees can perform their tasks effectively and safely. By fostering an inclusive and supportive work environment, organizations can enhance productivity, reduce the risk of injuries, and promote employee well-being, ultimately leading to better overall performance.

   Example: A hospital modifies its patient handling procedures to align with the physical capabilities of its staff. They introduce mechanical aids for lifting and transferring patients, ensuring safer practices that minimize physical strain. Additionally, the hospital offers training programs that emphasize ergonomic techniques, empowering staff to perform their duties effectively while reducing the risk of injury. This proactive approach enhances both employee well-being and patient care quality.

6. **Coordination at Multi-Employer Workplaces:** In environments where multiple employers operate, organizations must effectively coordinate their Occupational Health and Safety (OH&S) management systems to ensure comprehensive safety. This involves sharing critical information regarding potential hazards and risks, as well as collaborating on best safety practices and protocols. By fostering open communication and teamwork among employers,

organizations can create a safer work environment, enhance compliance with regulations, and promote a culture of collective responsibility for health and safety.

Example: At a construction site with multiple contractors, the main contractor organizes regular safety meetings to discuss on going work, potential hazards, and safety protocols. These meetings facilitate the sharing of information about any incidents that occur, promoting transparency and collective learning. The contractors collaborate to mitigate risks, including coordinating the safe use of shared equipment. This proactive approach enhances overall safety and ensures a unified commitment to health and safety standards.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The OH&S policy is a formal statement that articulates the organization's commitment to occupational health and safety. It outlines objectives, responsibilities, and the framework for establishing safety measures, ensuring that all levels of the organization are aligned with these principles.

2. **Risk Assessments:** Risk assessments document the systematic process of identifying hazards, evaluating risks, and determining appropriate control measures. They should include the methodologies used, results of assessments, and any follow-up actions taken, demonstrating a proactive approach to managing workplace health and safety.

3. **Control Measures Documentation:** This documentation details the specific control measures implemented to mitigate identified risks. It includes standard operating procedures (SOPs), safety guidelines, and risk mitigation strategies, ensuring that employees have clear instructions on how to perform tasks safely.

4. **Training Records:** Training records provide evidence of employee participation in health and safety training programs. They include dates, content, attendance, and evaluations, demonstrating that employees are equipped with the necessary knowledge and skills to work safely and effectively.

5. **Incident Reports:** Incident reports capture information regarding workplace accidents, injuries, and near misses. They should include a detailed description, root cause analysis, and corrective actions taken to prevent recurrence, reflecting the organization's commitment to learning from incidents and improving safety.

6. **Internal Audit Reports:** Internal audit reports document the evaluation of the OH&S management system's compliance and effectiveness. They include findings, evidence of non-conformities, and recommendations for improvement, providing insights into the system's strengths and weaknesses while ensuring continual enhancement.

7. **Management Review Minutes:** Management review minutes reflect discussions and decisions made regarding the OH&S management system. They should summarize performance metrics, action items, and resource needs, ensuring that top management is actively involved in monitoring and improving health and safety practices.

8. **Emergency Preparedness and Response Plans:** These plans outline procedures for responding to various emergency situations, such as fires or chemical spills. They should include training records, drills conducted, and any revisions made, ensuring that employees are prepared to handle emergencies effectively and safely.

9. **Personal Protective Equipment (PPE) Records:** PPE records document the selection, distribution, use, and maintenance of personal protective equipment. They include training on proper usage and compliance checks, ensuring that employees have access to appropriate protective gear to minimize workplace hazards.

10. **Compliance Records:** Compliance records provide evidence of adherence to relevant legal and regulatory requirements concerning occupational health and safety. They may include permits, inspection results, and correspondence with regulatory bodies, reflecting the organization's commitment to meeting external obligations.

4. OBJECTIVE EVIDENCES:

1. **Evidence of OH&S Policy Implementation:** The organization's Occupational Health and Safety (OH&S) policy was reviewed and confirmed to be effectively communicated to all employees through regular safety meetings, ensuring that everyone is informed about safety protocols and their importance in maintaining a safe work environment verified. Example: Policy Document No. OHSP-2024-001, communicated on 2024-08-15 during the Safety Meeting led by John Doe (Safety Manager).

2. **Risk Assessment Documentation:** Comprehensive risk assessments were carried out for all operational areas, ensuring a thorough evaluation of potential hazards. Documented reviews and updates were maintained to reflect any changes in processes or conditions, reinforcing the organization's commitment to on-going safety management and compliance reviewed. Example: Risk Assessment Report No. RAR-2024-005 dated 2024-09-01, covering operations at the main manufacturing site.

3. **Training Records for Employees:** Records show that 100% of employees completed health and safety training sessions focused on hazard recognition and emergency response. This comprehensive training ensures that all staff is equipped with the necessary skills to identify hazards and respond effectively in emergencies evidence. Example: Training Session ID TRN-2024-034, conducted on 2024-09-10, with attendance of 50 employees, led by Jane Smith (Training Coordinator).

4. **Incident Report Management:** All incidents and near misses are thoroughly logged and investigated to identify root causes. Corrective actions are documented and tracked to ensure their effectiveness, fostering a proactive approach to safety and continuous improvement within the organization's health and safety management system verified. Example: Incident Report No. IR-2024-017, dated 2024-09-15, included root cause analysis and action plan submitted by Alex Johnson (Safety Officer).

5. **Internal Audit Report:** The recent internal audit revealed no major non-conformities within the organization. It included valuable recommendations for minor improvements, highlighting areas for enhancement that could further strengthen compliance and operational efficiency in the organization's management systems and processes evidence.

Example: Internal Audit Report No. IAR-2024-003, conducted on 2024-09-20, by lead auditor Sarah Lee (Quality Assurance Manager).

6. **Management Review Meeting Minutes:** Management reviews of the Occupational Health and Safety (OH&S) management system demonstrate consistent engagement and proactive decision-making aimed at continuous improvement. This on-going commitment reflects the organization's dedication to enhancing safety practices and ensuring the well-being of all employees verified. Example: Management Review Minutes No. MRM-2024-002, dated 2024-09-30, capturing discussions led by Mark Brown (Operations Director).

7. **Emergency Preparedness and Response Plan:** The organization has established documented emergency response plans to guide staff in crisis situations. Regular drills have been conducted to ensure readiness, equipping employees with the necessary skills and confidence to respond effectively in the event of an emergency verified. Example: Emergency Response Plan Document No. ERP-2024-004, with fire drill conducted on 2024-09-25, attended by all employees, coordinated by Lisa White (Safety Coordinator).

8. **Personal Protective Equipment (PPE) Distribution Records:** Records confirm that personal protective equipment (PPE) has been issued to all employees. Additionally, comprehensive training on the proper usage of PPE has been completed, ensuring that staff is well-prepared to protect themselves effectively while performing their duties evidence. Example: PPE Distribution Record No. PPE-2024-012, dated 2024-09-05, with a total of 150 PPE kits issued to employees, tracked by Tom Green (PPE Manager).

9. **Compliance Audit Records:** Compliance with legal and regulatory requirements is meticulously documented, encompassing records of external inspections and their findings. This thorough documentation ensures accountability and demonstrates the organization's commitment to adhering to applicable laws and standards in its operations reviewed. Example: Compliance Inspection Report No. CIR-2024-006, dated 2024-09-28, conducted by the local regulatory authority, with no major violations reported.

10. **Occupational Health Surveillance Records:** Health surveillance records indicate that regular health assessments of employees are conducted, ensuring on-going monitoring of occupational health risks. This proactive approach helps identify potential issues early, promoting the well-being of employees and maintaining a safe work environment verified. Example: Health Surveillance Record No. HSR-2024-008 dated 2024-09-22, showing assessments conducted for 45 employees, with results reviewed by Dr. Emily Black (Occupational Health Physician).

5. INTERVIEW QUESTIONS:

1. How does the organization ensure that the processes required for the OH&S management system are effectively planned and controlled to meet the standard's requirements?
2. What criteria have been established for key OH&S processes, and how were these criteria determined?
3. Can you provide examples of documented criteria for specific OH&S processes? How do these criteria help ensure that safety objectives are met?
4. How does the organization control and monitor these processes to ensure they consistently meet the established OH&S criteria?

5. Can you walk me through a process where controls have been implemented according to the criteria set, and show how compliance with these criteria is maintained?
6. What documented information is maintained to verify that these processes are carried out as planned? Could I review some samples?
7. How does the organization decide which documents and records are necessary to retain confidence in process control and effectiveness?
8. In what ways does the organization review or adapt work practices to fit the needs, abilities, or limitations of the workers involved?
9. Can you provide examples of situations where work processes were adapted to better suit workers, especially in high-risk areas?
10. How does the organization coordinate its OH&S management system requirements with other companies or contractors at multi-employer workplaces?
11. Can you show evidence of communication or agreements with other organizations on OH&S requirements for shared or adjacent work areas?
12. How does the organization monitor and verify that contractors or other employers comply with the relevant OH&S requirements?
13. What measures are taken to regularly review and improve the criteria for OH&S processes? Are there specific intervals or triggers for these reviews?
14. How are changes to processes, especially those impacting safety, evaluated and approved before being implemented?
15. Can you show how feedback from workers is gathered and used to adjust or improve OH&S processes or work conditions?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Clear and Comprehensive Process Criteria:** The organization has established well-defined, detailed criteria for every Occupational Health and Safety (OH&S) process, ensuring that all safety-related activities follow a consistent, high-standard framework. This clarity demonstrates a systematic approach to achieving reliable and repeatable safety performance.
2. **Effective Implementation of Process Controls:** Controls are effectively implemented based on the set criteria, aligning operational activities closely with safety goals. This thorough approach helps maintain safety standards throughout processes and demonstrates a proactive strategy to prevent potential hazards, showcasing the organization's safety-first commitment.
3. **Consistent Documentation and Recordkeeping:** The organization retains necessary documentation for all OH&S processes, ensuring processes have been executed as planned. This systematic recordkeeping builds confidence in the accuracy of process execution, enabling easy tracking, verification, and demonstration of compliance with ISO 45001 requirements.

4. **Adaptation of Work Practices for Workers:** Work processes are adapted to fit the capabilities, needs, and safety of workers, reflecting genuine responsiveness to employee well-being. This adaptability in adjusting work practices shows a commitment to minimizing risks and prioritizing workers' health and comfort in the workplace.

5. **Strong Coordination with External Organizations:** Proactive coordination with other companies at multi-employer sites fosters a collaborative safety environment. This cooperative approach ensures that all relevant OH&S management requirements are consistently applied across shared workplaces, enhancing overall safety and compliance for everyone on-site.

6. **Employee Engagement and Feedback Mechanisms:** The organization actively involves employees in OH&S processes and welcomes their feedback on improvements, demonstrating a culture that values worker input. This engagement creates a sense of ownership in safety matters among employees, boosting their commitment to safer work practices.

7. **Continuous Review and Improvement of OH&S Criteria:** The organization conducts regular reviews and updates of process criteria, demonstrating dedication to continuous safety improvement. By systematically assessing and enhancing criteria, they remain adaptable to new risks and committed to high safety standards, reflecting a dynamic approach to OH&S.

8. **Systematic Risk and Control Assessment:** Comprehensive risk assessments are conducted for each safety process, with well-defined controls implemented accordingly. This rigorous approach identifies potential hazards early and ensures appropriate controls are in place, demonstrating a thorough risk management strategy and a solid understanding of workplace safety needs.

9. **Compliance with Regulatory Requirements:** Documented information and process controls align seamlessly with local regulatory and legal OH&S requirements. This level of compliance reflects the organization's strong commitment to adhering to external standards, ensuring lawful operations and a safe working environment for all stakeholders.

10. **Comprehensive Training and Awareness Programs:** The organization ensures employees and contractors are well-trained in OH&S processes, which underscores their commitment to a knowledgeable and safety-aware workforce. This emphasis on training strengthens the safety culture, equipping all personnel with the skills to uphold OH&S standards effectively.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inconsistent Process Criteria Documentation:** Variation in documenting criteria for safety processes may lead to inconsistent interpretations across departments. Standardizing documentation practices can provide clarity, enhance consistency, and ensure that everyone interprets safety guidelines uniformly, reducing the risk of miscommunication.

2. **Lack of Process Monitoring Metrics:** Some processes lack clear metrics to evaluate their effectiveness. Establishing specific Key Performance Indicators (KPIs) for each OH&S process can improve tracking, helping the organization identify performance trends and areas where safety controls may need enhancement.

3. **Insufficient Process Controls:** Certain high-risk activities lack adequate control measures, which can compromise safety. Strengthening control measures for these activities can ensure that safety risks are minimized and compliance with OH&S standards is maintained across the board.

4. **Outdated Documented Information:** Outdated documents on process criteria may misrepresent current safety practices. Regularly updating and reviewing documents ensures accuracy, keeps everyone informed of the latest procedures, and helps maintain compliance with evolving OH&S requirements.

5. **Inconsistent Document Retention Practices:** Document retention times and methods differ among departments, which can lead to gaps in record availability. A unified document retention policy would ensure that essential OH&S records are consistently accessible for review and auditing purposes.

6. **Limited Adaptation of Work Processes for Workers:** Processes that are not well-adapted for workers' needs, particularly in high-risk roles, can increase strain and injury risks. Conducting a review to tailor work processes to fit workers' physical and safety needs promotes both health and efficiency.

7. **Lack of Coordination with External Organizations at Multi-Employer Workplaces:** Limited collaboration on OH&S requirements with contractors or partners may lead to inconsistent safety standards. Regular coordination meetings would ensure that all organizations working on shared sites uphold the same safety standards and emergency protocols.

8. **Inadequate Employee Training on Process Criteria:** Some employees are unfamiliar with the specific safety criteria for their tasks, which can increase the risk of non-compliance. Providing additional training ensures that all employees fully understand the OH&S requirements related to their roles and responsibilities.

9. **Minimal Worker Involvement in Process Improvement:** Limited opportunities for worker feedback on OH&S processes mean valuable insights might be missed. Establishing a formal feedback system encourages employees to suggest safety improvements, creating a more inclusive and responsive safety culture.

10. **No Formal Review Cycle for Process Criteria:** Lack of a regular review cycle for process criteria may result in outdated practices. Instituting a formal review schedule ensures that criteria remain effective, up-to-date, and aligned with the latest OH&S standards and workplace needs.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Criteria for Process Establishment:** The organization has yet to establish specific criteria for its critical Occupational Health and Safety (OH&S) processes. Without defined criteria, it may be challenging to measure effectiveness accurately, assess compliance, and identify areas needing improvement to ensure workplace safety.

   Example: The process manual and work instructions lack documented criteria for the Hazard Identification Process, which may lead to inconsistencies in identifying and managing hazards. Defining clear criteria is essential for ensuring thorough and consistent hazard recognition across all operations. FORM NO: XXX

2. **Inconsistent Process Control Implementation:** Process control measures are applied inconsistently across departments, leading to variations in quality and safety practices. This inconsistency may impact the effectiveness of the organization's processes, highlighting the need for standardized controls to ensure uniformity and compliance throughout all departments.

   Example: Department A adheres to documented Occupational Health and Safety (OH&S) process controls, while Department B does not follow the same criteria. This inconsistency, noted in the internal audit, underscores the need for standardized practices to ensure comprehensive safety across departments. FORM NO: XXX

3. **Failure to Retain Documented Information:** The organization fails to retain essential records for key Occupational Health and Safety (OH&S) processes, which may hinder effective tracking and verification of safety measures. Maintaining these records is crucial for demonstrating compliance and supporting continuous improvement in safety management.

   Example: The required records for equipment inspection, as specified in the safety protocol, are missing. The absence of these records may compromise the ability to verify equipment safety, highlighting the need for consistent documentation to ensure compliance and safety standards. FORM NO: XXX

4. **No Regular Review of Documented Information:** The organization lacks a schedule for reviewing and updating process criteria, resulting in outdated information that may impact the effectiveness of operations. Regularly updating process criteria is essential to ensure alignment with current safety standards and best practices.

   Example: The criteria for Process X have not been revised in over two years, indicating a significant lapse in updating necessary information. This outdated status may hinder the effectiveness of the process and compromise compliance with current operational standards. FORM NO: XXX

5. **Incomplete Adaptation of Work to Fit Workers' Needs:** The organization has not modified certain processes to address workers' needs, resulting in ergonomic and safety concerns. This lack of adjustment may lead to discomfort or injury, highlighting the importance of aligning processes with employees' physical requirements for safe operation.

   Example: An ergonomics assessment for assembly line workers is missing, contributing to reported discomfort as noted in employee feedback. The absence of this assessment underscores the need to evaluate workstations and practices to enhance employee comfort and prevent potential injuries. FORM NO: XXX

6. **Lack of Coordination at Multi-Employer Workplaces:** The organization does not effectively coordinate Occupational Health and Safety (OH&S) practices with contractors at shared sites, leading to potential safety risks. Improved collaboration and communication are essential to ensure consistent adherence to safety protocols and protect all personnel involved.

   Example: The contractor safety meeting minutes lack any mention of the organization's Occupational Health and Safety (OH&S) requirements. This omission highlights the need for better communication to ensure that all contractors are informed and compliant with the established safety protocols. FORM NO: XXX

7. **Insufficient Training on OH&S Process Criteria:** Employees have not received training on the criteria and control measures for critical processes, resulting in potential gaps in knowledge and compliance. This lack of training may increase the risk of errors and compromise the effectiveness of operational safety measures.

   Example: Training records for Process Criteria Training are incomplete for new employees in Department C. This deficiency may hinder their understanding of essential procedures and protocols, potentially impacting their performance and the overall effectiveness of the department's operational standards. FORM NO: XXX

8. **No Records of Control Process Effectiveness:** The organization fails to document or track the effectiveness of implemented control measures, resulting in an inability to assess their impact on safety and compliance. This oversight may hinder continuous improvement efforts and the overall effectiveness of the safety management system.

   Example: There are no performance data or metrics established to verify the effectiveness of process controls for high-risk tasks. This lack of oversight may lead to undetected issues, jeopardizing safety and operational efficiency in critical areas of the organization. FORM NO: XXX

9. **Inconsistent Document Retention Practices Across Departments:** Retention practices across departments vary significantly, resulting in missing or incomplete Occupational Health and Safety (OH&S) documentation. This inconsistency can lead to challenges in compliance, tracking safety measures, and maintaining effective safety management throughout the organization.

   Example: Department A retains incident logs for one year, whereas Department B retains them for only six months, leading to inconsistent retention practices. This discrepancy may result in gaps in historical records and hinder comprehensive incident analysis. FORM NO: XXX

10. **Lack of Regular Review of Process Criteria:** There is currently no scheduled review process to regularly assess and update process criteria, resulting in potential misalignment with evolving requirements. This oversight may lead to outdated procedures, reduced effectiveness, and non-compliance with best practices. Establishing a periodic review schedule is essential to maintain relevance and efficiency.

    Example: The documented criteria in Safety Process X are outdated and have not been reviewed since their initial implementation. The absence of a review has led to criteria that may no longer align with current safety standards or requirements. FORM NO: XXX

8 OPERATION

1. STANDARD REQUIREMENTS:

8.1.2 ELIMINATING HAZARDS AND REDUCING OH&S RISKS

The organization shall establish, implement and maintain a process (es) for the elimination of hazards and reduction of OH&S risks using the following hierarchy of controls:

a) Eliminate the hazard;
b) Substitute with less hazardous processes, operations, materials or equipment;
c) Use engineering controls and reorganization of work;
d) Use administrative controls, including training;
e) Use adequate personal protective equipment.

NOTE: In many countries, legal requirements and other requirements include the requirement that personal protective equipment (PPE) is provided at no cost to workers.

2. EXPLAINATION:

1. **Eliminate the Hazard:** Eliminating a hazard is the most effective control method, as it completely removes the source of risk from the workplace. This proactive approach ensures that potential harm is no longer present, significantly reducing the need for further protective measures. By removing hazards, workplace safety is enhanced, accident risks are minimized, and a healthier, more secure environment is created for all employees.

   Example: A company recognizes that handling chemical substances poses health risks to workers. To address this, they modify their process to use pre-mixed, safer chemicals, eliminating the need for direct handling of hazardous raw materials. This change effectively removes the risk at its source, enhancing safety and creating a healthier work environment by reducing workers' exposure to harmful substances.

2. **Substitute with Less Hazardous Processes, Operations, Materials, or Equipment:** If hazard elimination isn't feasible, the next best approach is substitution—replacing the hazardous element with a safer alternative that fulfils the same purpose but lowers risk. This method helps reduce potential harm while maintaining productivity, promoting a safer work environment. By choosing less dangerous materials or processes, companies can proactively protect workers and decrease the need for extensive safety controls.

   Example: A company conducting a painting operation uses solvent-based paint that emits harmful fumes. To reduce health risks, they switch to a water-based paint, significantly lowering exposure to volatile organic compounds (VOCs). This change decreases workers' inhalation of toxic fumes, enhancing safety and contributing to a healthier work environment while still achieving the desired paint quality.

3. **Use Engineering Controls and Reorganization of Work:** Engineering controls involve modifying the workplace, equipment, or processes to minimize hazard exposure. This can include installing barriers to separate workers from risks, implementing ventilation systems to remove contaminants from the air, or redesigning workflows to limit exposure. By making these physical adjustments, companies can create a safer environment, reducing reliance on personal protective equipment and enhancing overall workplace safety.

Example: A manufacturing company enhances safety in a welding area by installing fume extractors and ventilation systems to remove toxic fumes. They also reorganize the workflow, designating a specific area for welding tasks, keeping non-welders at a safe distance. This approach reduces hazardous fume exposure for all employees, ensuring a healthier work environment and minimizing the risk associated with welding operations.

4. **Use Administrative Controls, Including Training:** Administrative controls focus on altering work practices to improve safety. This includes developing safety policies, procedures, and protocols that guide safe operations. Additionally, providing comprehensive training ensures workers understand and follow these practices, reducing exposure to hazards. By implementing clear guidelines and education on safe behaviours, companies create a culture of safety, minimizing risks without relying solely on physical barriers or protective equipment.

   Example: In a warehouse with heavy lifting tasks, the company implements a manual handling training program to teach safe lifting techniques. They introduce job rotation to minimize repetitive strain injuries and post clear guidelines in the work area, reminding workers of correct techniques and weight limits for loads. These administrative controls promote safety by reducing the risk of injury through training, awareness, and preventive practices.

5. **Use Adequate Personal Protective Equipment (PPE):** Personal Protective Equipment (PPE) is the last line of defense, used when risks can't be sufficiently controlled through other measures. It should be provided at no cost to employees, as required by law, and workers must be trained on its correct use, care, and limitations. Effective PPE usage helps safeguard employees from residual hazards, complementing other safety controls to enhance workplace protection.

   Example: On a construction site with falling object risks, workers are provided with hard hats, safety goggles, and steel-toe boots for protection. Those exposed to dust are also given respiratory protection. All personal protective equipment (PPE) is regularly maintained to ensure its effectiveness. This comprehensive approach ensures workers are safeguarded from various hazards, providing adequate protection where other controls may not fully eliminate the risks.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Risk Assessment and Hazard Identification Records:** Auditors should examine records that document identified workplace hazards, assessed risk levels, and any actions planned or taken to control or eliminate these risks. This includes initial risk assessments, reviews, and updates reflecting changes in conditions.
2. **Hierarchy of Controls Implementation Records:** These records should show the application of the hierarchy of controls, detailing how hazards are managed by eliminating, substituting, engineering, or administratively controlling risks, or providing PPE as a last resort. Evidence should reflect structured decision-making.
3. **Standard Operating Procedures (SOPs) and Work Instructions:** SOPs and work instructions must clearly outline safe practices for specific tasks, especially those involving high risks. Auditors should verify if these documents incorporate relevant control measures and reflect current procedures that help in hazard mitigation.
4. **Change Management Records:** Records should illustrate how the organization evaluates and manages changes in equipment, processes, or materials, identifying potential hazards. Documentation should include any adjustments made to risk controls based on new or modified operational factors.
5. **Safety Inspection and Audit Reports:** Safety inspection and audit reports provide insights into regular safety checks. Auditors should look for documentation of inspections, findings, and any corrective or preventive actions taken, confirming that the organization proactively addresses and mitigates hazards.
6. **Training Records and Competency Assessments:** Records should confirm that employees have received hazard awareness and control training relevant to their roles, including PPE use. Competency assessments show that employees understand and can apply safe work practices as part of the risk control strategy.
7. **Equipment Maintenance and Calibration Records:** Maintenance and calibration records are essential to confirm that safety-critical equipment functions effectively. Auditors should ensure that these records reflect routine checks and timely repairs to prevent equipment failure from contributing to workplace hazards.
8. **Personal Protective Equipment (PPE) Provision and Usage Records:** PPE records should show that employees are provided with required PPE free of cost, including types, distribution records, and training on usage. These records help auditors verify that PPE is used appropriately and consistently for risk mitigation.
9. **Incident Investigation and Root Cause Analysis Records:** Incident reports and root cause analysis documents should reveal how the organization investigates incidents, identifies contributing factors, and implements corrective actions. Auditors should check if the hierarchy of controls is applied to prevent incident recurrence.
10. **Corrective and Preventive Action (CAPA) Records:** CAPA records show the organization's response to identified hazards, detailing steps taken to eliminate or mitigate risks. Auditors should review whether these actions align with the hierarchy of controls and focus on long-term preventive measures.

4. OBJECTIVE EVIDENCES:

1. **Risk Assessment Report:** The organization has conducted a risk assessment, identifying potential hazards and evaluating associated risks in the workplace. This report helps to prioritize safety measures, ensuring that appropriate actions are taken to mitigate risks and protect employee health and safety verified. Example: Risk Assessment Report No. RA-2024-001, dated 2024-01-15, prepared by John Smith, HSE Manager.

2. **Hierarchy of Controls Implementation Log:** A log records each hazard, noting applied control measures in order of the hierarchy: elimination, substitution, engineering controls, administrative controls, and PPE. It documents hazard identification, action taken, responsible personnel, and date of implementation evidence. Example: Hierarchy Implementation Log No. HIC-2024-002, updated on 2024-03-22, including actions taken for Hazard ID HZ-005 (Chemical Spill).

3. **Standard Operating Procedures (SOPs):** SOPs outline safe work practices to manage specific hazards, detailing step-by-step procedures, control measures, required PPE, and emergency protocols. Each SOP assigns responsibilities, specifies hazard mitigation techniques, and includes training requirements to ensure safety compliance reviewed. Example: SOP No. SOP-4567 for "Chemical Handling," issued on 2024-02-10, reviewed by Sarah Lee, Safety Officer.

4. **Training Records:** Training records document sessions on hazard control measures, including dates, topics covered, trainer names, attendee lists, and assessment results. These records verify that employees received instruction on safe practices, PPE use, emergency procedures, and control hierarchy awareness verified. Example: Training Session No. TRN-7890, conducted on 2024-04-05, for 25 employees including names (e.g., Alex Johnson, Maria Garcia) on hazard awareness.

5. **Maintenance and Calibration Records:** Maintenance records confirm regular inspections, servicing, and calibration of safety equipment, noting dates, performed tasks, responsible personnel, and any identified issues. These records ensure equipment reliability, effectiveness in hazard control, and compliance with safety standards and regulations verified. Example: Calibration Record No. CAL-00123 for fume extraction system, dated 2024-03-01, conducted by TechCorp Services.

6. **Incident Investigation Report:** Investigation reports document incidents or near misses, detailing root cause analysis, contributing factors, and corrective actions taken. They include timelines, involved personnel, preventive measures, and recommendations to prevent recurrence, ensuring continuous improvement in safety protocols and hazard control verified. Example: Incident Report No. IR-2024-007, dated 2024-05-10, detailing a near-miss event involving Forklift Operation, analyzed by Jane Doe, Safety Auditor.

7. **Corrective Action Plan (CAPA):** Corrective and preventive action documents outline steps taken to address risks identified during audits or incidents. They include root cause analysis, corrective actions implemented, preventive measures, responsible parties, timelines, and effectiveness evaluations to prevent future occurrences and mitigate risks reviewed. Example: CAPA No. CAP-2345, initiated on 2024-05-15, addressing non-compliance in PPE provision, assigned to Tom Brown, Operations Manager.

8. **Personal Protective Equipment (PPE) Distribution Log:** The PPE issuance log tracks the distribution of personal protective equipment to employees at no cost. It records employee names, PPE items issued, issuance dates, and any replacements, ensuring compliance with safety regulations and that equipment is adequately provided reviewed. Example: PPE Distribution Log No. PPE-6789, updated on 2024-03-30, listing 30 employees who received PPE, including types and sizes.

9. **Emergency Preparedness Plan Document:** The emergency preparedness plan outlines procedures for responding to hazardous situations, including evacuation routes, emergency contacts, first aid, and equipment usage. It ensures employees are trained, roles are assigned, and resources are in place to manage potential emergencies effectively verified. Example: Emergency Plan Document No. EMP-2024, effective from 2024-02-01, reviewed by the Emergency Response Team, led by Peter Green.

10. **Feedback and Communication Records:** Documentation records employee feedback on safety measures, including concerns, suggestions, and improvement ideas. It also includes management's responses, actions taken, and any changes implemented based on feedback, ensuring continuous communication and improvement in workplace safety practices evidence. Example: Safety Feedback Report No. SFR-2024-003, dated 2024-04-20, summarizing feedback from the Safety Committee meeting chaired by Linda White, with follow-up actions noted.

5. INTERVIEW QUESTIONS:

1. Can you describe the process your organization follows to identify and eliminate hazards in the workplace?
2. How does your organization determine which hazards can be eliminated completely rather than just controlled?
3. What methods do you use to assess the effectiveness of hazard elimination efforts?
4. Can you provide examples of recent hazards that have been successfully eliminated, and what process was followed?
5. How does the organization approach substituting hazardous processes, materials, or equipment with less hazardous alternatives?
6. What documentation or records do you maintain to demonstrate compliance with the substitution of hazardous materials?
7. Can you show me evidence of engineering controls that have been implemented to reduce risks? How often are these controls evaluated for effectiveness?
8. How is the reorganization of work applied in your processes to minimize exposure to hazards? Can you provide examples?
9. What administrative controls, including training programs, have been established to mitigate risks? How is training effectiveness evaluated?
10. How do you ensure that employees are aware of the hazards associated with their tasks and the controls in place to mitigate those hazards?

11. Can you demonstrate that personal protective equipment (PPE) is provided to workers at no cost? How do you ensure that the PPE is suitable for the tasks performed?
12. What processes are in place for monitoring the use of PPE and ensuring compliance among workers?
13. How does your organization handle feedback or concerns from employees regarding workplace hazards or the effectiveness of risk controls?
14. Can you provide examples of corrective actions taken in response to incidents or near misses related to hazards, and how these actions align with the hierarchy of controls?
15. How often does the organization review its hazard elimination and risk reduction processes for continuous improvement? What metrics are used to measure success in this area?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Hazard Identification:** The organization employs a systematic approach to hazard identification by conducting regular risk assessments and workplace inspections. This proactive methodology ensures that potential hazards are recognized early, allowing for timely interventions to prevent accidents and injuries in the workplace.
2. **Effective Elimination Strategies:** The auditee has successfully eliminated multiple hazards from their work environment. By taking decisive actions to remove risks entirely, the organization demonstrates a strong commitment to safety, significantly reducing the likelihood of accidents and creating a more secure workplace for employees.
3. **Substitution of Hazardous Materials:** The organization actively seeks safer alternatives to hazardous materials and equipment. By substituting these elements with less harmful options, the auditee significantly reduces employees' exposure to dangerous substances, thereby enhancing overall workplace safety and promoting a healthier work environment.
4. **Implementation of Engineering Controls:** The auditee has made substantial investments in engineering controls, such as enhanced ventilation systems and protective barriers around machinery. These measures effectively mitigate risks by addressing hazards at their source, demonstrating a commitment to creating a safer and more efficient workplace.
5. **Reorganized Work Processes:** The organization has thoughtfully reorganized work processes to minimize risk exposure. By analysing workflows and implementing changes, the auditee enhances safety for employees, ensuring that tasks are performed in a manner that reduces the potential for accidents and injuries.
6. **Comprehensive Training Programs:** The organization provides extensive training programs that equip employees with essential knowledge about hazard recognition, safe work practices, and the proper use of personal protective equipment. This commitment to education ensures workers are prepared and informed, fostering a culture of safety.
7. **Clear Administrative Controls:** The auditee has established robust administrative controls that define safety protocols and procedures clearly. This structured approach not only enhances compliance with health and safety regulations but also fosters consistency in safety practices across the organization, promoting a safer workplace.

8. **Commitment to PPE Provision:** The organization provides personal protective equipment at no cost to its workers, adhering to legal requirements and reinforcing its commitment to employee safety. This practice demonstrates an understanding of the importance of protecting workers without imposing financial burdens on them.

9. **Continuous Monitoring and Improvement:** The auditee maintains a dedicated process for the regular review and enhancement of safety practices. By analysing incident reports and soliciting employee feedback, the organization shows a strong commitment to continuous improvement in occupational health and safety management practices.

10. **Engagement with Employees:** The organization values employee input on health and safety issues, actively seeking feedback to identify potential hazards and improvement areas. This engagement fosters a positive safety culture, where employees feel empowered to voice concerns and contribute to a safer workplace.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Inadequate Hazard Identification:** The organization may not have a comprehensive hazard identification process, leading to potential risks being overlooked. This lack of thorough assessments can result in unsafe conditions that jeopardize employee health and safety, underscoring the need for systematic evaluations.

2. **Insufficient Evidence of Elimination:** There may be limited documentation or examples of successfully eliminated hazards, indicating that the organization relies heavily on risk management rather than proactive hazard elimination. This situation highlights the necessity for more rigorous efforts to eradicate risks completely.

3. **Lack of Substitution Initiatives:** The organization might not actively pursue the substitution of hazardous materials with safer alternatives. By failing to implement substitution strategies, it misses crucial opportunities to minimize risks at the source, potentially exposing employees to harmful substances or processes.

4. **Limited Engineering Controls:** Insufficient engineering controls may exist to address identified hazards effectively. This lack indicates a need for improved infrastructure investments, such as installing safety guards or enhancing ventilation systems, to mitigate risks and protect employee health during operations.

5. **Workplace Reorganization Opportunities:** The organization may not have fully evaluated the benefits of reorganizing work processes to minimize exposure to hazards. By conducting structured assessments of workflows, it can identify safer operational methods that enhance employee safety and efficiency.

6. **Training Gaps:** Employees may not receive comprehensive training on hazard recognition and safety protocols. This gap can lead to misunderstandings about safety measures, increasing the risk of accidents and injuries. Enhanced training programs are essential for fostering a safety-conscious workforce.

7. **Inconsistent Administrative Controls:** The organization might display inconsistencies in implementing administrative controls, such as safety policies and procedures. This inconsistency can lead to confusion among employees and undermine adherence to safety practices, necessitating a standardized approach for clarity and effectiveness.

8. **PPE Compliance Issues:** There may be instances where personal protective equipment (PPE) is not consistently provided at no cost to workers, or the equipment may be inadequate for specific tasks. This non-compliance can compromise employee safety and violate legal obligations.

9. **Feedback Mechanism Weaknesses:** The organization may lack structured feedback mechanisms for employees to voice safety concerns or suggest improvements. This deficiency can inhibit a culture of safety, limiting the organization's ability to identify hazards and implement necessary changes effectively.

10. **Limited Monitoring of Control Effectiveness:** The absence of a robust process to monitor the effectiveness of implemented safety controls can hinder the organization's ability to assess whether risk reduction efforts are working. Regular monitoring is essential for continuous improvement in occupational health and safety.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Inadequate Hazard Identification Process:** The organization currently lacks a structured approach to identify workplace hazards, resulting in potential oversight of risks that could impact employee safety and operational continuity. Without a formal hazard identification process, the organization may struggle to prevent accidents and proactively manage safety concerns across all work environments.

   Example: A review of safety meeting minutes reveals no recorded hazard assessments or updates to the hazard identification process within the past year. This gap suggests a lack of proactive hazard management, potentially exposing the organization to unaddressed safety risks and limiting its ability to enhance workplace safety measures. FORM NO: XXX

2. **Failure to Eliminate Hazards:** The organization has not effectively eliminated identified workplace hazards, leaving employees exposed to on-going safety risks. Despite recognizing these hazards, the lack of follow-through on corrective actions undermines safety efforts and could lead to accidents, injuries, or compliance issues, impacting overall employee well-being and operational safety.

   Example: Inspection reports reveal on-going use of a machine identified as a safety risk in prior audits, with no corrective action taken. This continued operation despite documented warnings highlights a significant lapse in safety compliance, potentially endangering employees and exposing the organization to increased liability and safety violations. FORM NO: XXX

3. **Limited Substitution Efforts:** The organization shows no evidence of efforts to replace hazardous materials or processes with safer alternatives. This lack of substitution initiatives suggests missed opportunities to reduce health and safety risks, potentially compromising employee well-being and environmental safety, and indicates a need for a more proactive approach to hazard mitigation.

   Example: Inventory lists show the on-going use of high-risk chemicals, with no documented evaluation of safer alternatives or substitutions. This oversight indicates a failure to actively assess and reduce potential hazards, leaving the organization vulnerable

to safety and environmental risks, and neglecting opportunities for safer, more sustainable practices. FORM NO: XXX

4. **Insufficient Engineering Controls:** Engineering controls designed to mitigate workplace risks are either insufficient or have not been implemented. This gap in safety measures increases the likelihood of accidents and exposes employees to preventable hazards, highlighting the need for immediate action to enhance protective systems and ensure a safer work environment.

   Example: Site inspections reveal that essential machinery guards remain absent, despite prior safety evaluations recommending their installation. This failure to address critical safety measures increases the risk of accidents and injuries, reflecting inadequate follow-through on safety recommendations and a need for improved hazard control implementation. FORM NO: XXX

5. **Workplace Reorganization Not Explored:** The organization has not explored reorganizing workflows to reduce hazard exposure. This lack of proactive planning leaves employees vulnerable to safety risks, as workflows have not been adjusted to minimize contact with hazardous processes or materials, highlighting the need for a more effective risk management strategy.

   Example: Job Safety Analysis (JSA) documents indicate no review or reorganization of workflow processes in high-risk areas. This oversight suggests a lack of proactive hazard mitigation in critical zones, leaving employees exposed to potential dangers and indicating the need for a comprehensive review to improve safety in high-risk environments. FORM NO: XXX

6. **Inadequate Training on Hazards:** Employees are not receiving sufficient training on hazard recognition and safe practices. This lack of proper education increases the likelihood of unsafe behaviours and accidents, as workers may not be fully equipped to identify risks or follow necessary safety protocols, compromising workplace safety and overall operational effectiveness.

   Example: Training records reveal gaps in safety training, with numerous employees missing essential sessions on hazards specific to their job roles. This lack of targeted training compromises employees' ability to recognize and manage risks, potentially leading to unsafe practices and increased vulnerability to workplace accidents and injuries. FORM NO: XXX

7. **Inconsistent Implementation of Administrative Controls:** Administrative controls are inconsistently applied across the organization, leading to variations in safety practices and risk management. This lack of uniformity can create vulnerabilities, as some areas may lack proper oversight or procedures, undermining overall safety and increasing the likelihood of incidents or compliance issues.

   Example: A review of policies and procedures highlights discrepancies in the adherence to safety protocols across different departments and locations. These inconsistencies create gaps in safety management, increasing the risk of non-compliance and workplace incidents, and indicating a need for standardized procedures to ensure uniform safety practices throughout the organization. FORM NO: XXX

8. **Non-compliance with PPE Provision:** The organization fails to provide personal protective equipment (PPE) at no cost to workers, which violates legal requirements. This failure to comply with safety regulations exposes employees to preventable risks and could lead to legal consequences, highlighting the need for immediate corrective action to ensure worker safety and compliance.

   Example: Employee interviews reveal that workers are required to purchase their own PPE, contrary to legal requirements. Additionally, no budget allocation for PPE was found in financial records, indicating a failure to prioritize worker safety and comply with

regulations, potentially exposing the organization to legal and financial risks. FORM NO: XXX

9. **Lack of Safety Feedback Mechanism:** The organization lacks a structured mechanism for employees to report safety concerns or provide feedback. This absence of a clear reporting system hinders the identification and resolution of safety issues, potentially allowing hazards to persist unchecked and undermining efforts to maintain a safe and supportive work environment.

   Example: Employee satisfaction surveys highlight dissatisfaction with the safety reporting process, revealing that no formal procedure is in place for submitting concerns. This lack of a clear, accessible reporting system undermines employees' ability to address safety issues, potentially leaving hazards unreported and unresolved, and compromising workplace safety. FORM NO: XXX

10. **Insufficient Monitoring of Control Effectiveness:** The organization does not regularly monitor the effectiveness of implemented safety controls, leaving potential gaps in hazard mitigation unaddressed. Without on-going evaluation, it is difficult to ensure that safety measures remain effective over time, increasing the risk of workplace incidents and reducing the overall safety of the environment.

    Example: Audit reports indicate a lack of follow-up evaluations or assessments for controls implemented to address identified hazards. This absence of review undermines the effectiveness of safety measures, potentially allowing unresolved risks to persist and compromising the organization’s ability to ensure long-term hazard mitigation and workplace safety. FORM NO: XXX

8 OPERATION

1. STANDARD REQUIREMENTS:

8.1.3 MANAGEMENT OF CHANGE

The organization shall establish a process(es) for the implementation and control of planned temporary and permanent changes that impact OH&S performance, including:

a) new products, services and processes, or changes to existing products, services and processes, including:

- Workplace locations and surroundings;
- Work organization;
- Working conditions;
- Equipment;
- Work force;

b) Changes to legal requirements and other requirements;

c) Changes in knowledge or information about hazards and OH&S risks;

d) Developments in knowledge and technology.

e) The organization shall review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

NOTE: Changes can result in risks and opportunities.

2. EXPLAINATION:

1. **Establishment of a Process for Change Management:** Organizations must establish a systematic process to manage changes, whether temporary or permanent, ensuring they do not negatively impact Occupational Health and Safety (OH&S) performance. This process should include identifying potential risks, assessing their impact, and implementing necessary controls. It should involve relevant stakeholders, provide clear communication, and ensure that all changes align with the organization's OH&S objectives and legal requirements. Regular monitoring and evaluation are essential.

   Example: A manufacturing company introduces a new assembly line process to enhance efficiency. Prior to implementation, it conducts a comprehensive assessment to evaluate the impact on worker safety, including ergonomic considerations for workstations and potential hazards from new machinery. This proactive approach ensures that safety measures are in place, risks are mitigated, and the new process aligns with Occupational Health and Safety (OH&S) standards.

2. Types of Changes to be considered

- The organization must consider various types of changes, including:

a) **New Products, Services, and Processes:** This includes the development of entirely new products, enhancements to current services, or changes in operational processes. These changes aim to improve customer satisfaction, increase efficiency, and address evolving market demands. Regular assessment ensures that these updates align with the company's strategic goals and customer needs.

Example: A software development firm introduces a new application, assessing potential cyber security risks to ensure the software is secure. Before the software goes live, the company conducts comprehensive employee training on data privacy, ensuring staff are aware of best practices for protecting user information. This proactive approach helps mitigate risks, safeguard sensitive data, and ensures compliance with privacy regulations, enhancing the software's reliability and trustworthiness.

b) **Workplace Locations and Surroundings:** Changes in workplace locations can introduce new hazards, such as altered environmental conditions, unfamiliar equipment, or different health and safety risks. Moving to a new building or expanding facilities may require updated safety protocols, risk assessments, and training. Employers must identify potential hazards specific to the new location, ensuring compliance with safety regulations and providing employees with the necessary resources to work safely in the new environment.

Example: A logistics company opens a new warehouse facility and conducts a thorough risk assessment before moving operations. The assessment identifies potential hazards specific to the location, such as traffic patterns, storage arrangements, and employee movement. By addressing these risks, the company ensures the safety of its workforce and smooth operations. Proper safety protocols are implemented to mitigate identified hazards, ensuring a secure working environment.

c) **Work Organization:** Changes in job roles or shifts can impact worker safety by altering workload distribution, work environments, and exposure to hazards. For example, new responsibilities may require different skills or physical demands, while shift changes can affect worker alertness and fatigue levels. Employers must assess the risks associated with these changes, provide necessary training, and implement safety measures to protect workers' well-being and prevent accidents.

Example: An organization changes its shift patterns to meet increased production demands. It evaluates the potential for fatigue-related incidents by assessing the impact of longer shifts and fewer rest periods. To ensure worker safety, the company adjusts schedules, providing adequate rest breaks and rotating shifts to minimize fatigue. This proactive approach helps prevent accidents, maintain productivity, and safeguard employee well-being during the transition.

d) **Working Conditions:** Modifications to the environment where employees work can introduce new risks, such as changes in temperature, lighting, or layout. Altering the workspace, installing new equipment, or adjusting ventilation systems can lead to unfamiliar hazards or increased physical strain. Employers must conduct risk

assessments to identify these potential dangers, implement safety measures, and ensure employees are properly trained to handle the modified environment safely.

Example: When an office transitions to an open floor plan, the organization assesses potential noise levels and distractions that may affect employee productivity and well-being. To mitigate these issues, the company implements measures like soundproofing certain areas and creating quiet zones for focused work. These adjustments help maintain a conducive work environment; ensuring employees can concentrate effectively while minimizing disturbances from the open layout.

e) **Equipment:** The introduction of new equipment requires proper training and risk assessment to ensure safe and efficient use. Employees must be trained on operating procedures, safety protocols, and maintenance requirements. A thorough assessment identifies potential hazards associated with the new equipment, allowing the organization to implement safety measures and minimize risks. This proactive approach helps prevent accidents and ensures smooth integration of the equipment into operations.

Example: A construction company acquires new cranes and ensures all operators receive comprehensive training on safe operation, including load handling, signalling, and emergency procedures. The organization conducts a thorough risk assessment to identify potential hazards, such as overhead work and equipment failure. By addressing these risks, implementing safety measures, and maintaining proper training, the company ensures safe crane operations and minimizes the likelihood of accidents on site.

f) **Workforce:** Changes in staffing levels or skills can impact workplace safety by altering workload distribution and potentially increasing the risk of accidents. New or temporary employees may lack familiarity with safety procedures, while reduced staff may lead to increased pressure on remaining workers. Employers must ensure proper training, adequate supervision, and workload management to maintain safety standards and prevent incidents when staffing changes occur.

Example: When a company hires temporary workers during peak seasons, it conducts thorough training sessions to familiarize them with workplace safety protocols and emergency procedures. This ensures that all workers, regardless of their employment status, understand the hazards and know how to respond in case of an emergency. Proper training helps maintain a safe working environment and minimizes the risk of accidents or injuries during high-demand periods.

3. **Changes to Legal Requirements and Other Requirements:** Organizations must remain informed about changes in legal regulations and other requirements affecting Occupational Health and Safety (OH&S). This involves monitoring updates from regulatory authorities, industry standards, and best practices. By adapting their policies, procedures, and training programs accordingly, organizations ensure compliance, reduce risks, and maintain a safe and healthy work environment for employees while avoiding potential legal and operational disruptions.

Example: A chemical manufacturing company discovers updated regulations for hazardous waste disposal. In response, it reviews its existing disposal processes, identifies necessary changes, and implements updated procedures. The company also enhances employee

training programs to ensure compliance with the new standards. These actions minimize legal and safety risks, demonstrate regulatory adherence, and reinforce the organization's commitment to environmental and operational safety.

4. **Changes in Knowledge or Information about Hazards and OH&S Risks:** When new information about hazards emerges, organizations must promptly review and update their policies and practices. This process involves reassessing risks, implementing revised control measures, and ensuring employees are trained on the changes. By staying proactive and responsive, organizations can maintain a safer work environment, minimize potential risks, and align with evolving regulatory and industry standards to protect both employees and operations.

   Example: A healthcare facility adapts to updated infection control guidelines from health authorities by revising its protocols. The changes include enhanced sanitation procedures, improved personal protective equipment (PPE) usage, and updated training for staff. These measures ensure a safer environment for employees and patients, reduce the risk of infections, and demonstrate the facility's commitment to maintaining high standards of health and safety.

5. **Developments in Knowledge and Technology:** Staying updated with technological advancements enables organizations to identify and adopt innovative solutions that enhance Occupational Health and Safety (OH&S) performance. This may include implementing advanced safety equipment, automation to reduce manual risks, or data-driven systems for monitoring workplace hazards. Proactively leveraging technology fosters a safer work environment, minimizes incidents, and ensures compliance with evolving safety standards, ultimately contributing to continuous OH&S improvement.

   Example: A manufacturing plant implements smart helmets equipped with gas-detecting sensors to enhance worker safety. Before deployment, the organization evaluates the technology's potential to mitigate hazards and integrates it into the existing safety framework. Comprehensive training is provided to ensure proper use and understanding, fostering worker confidence. The initiative reflects the plant's commitment to leveraging innovation for improved occupational health and safety standards.

6. **Review of Unintended Changes and Mitigation Actions:** Organizations must establish procedures to review and address unintended changes that could negatively affect occupational health and safety (OH&S). These procedures should include identifying potential risks, investigating causes, and implementing corrective actions to prevent further issues. Regular assessments and employee feedback are essential in ensuring that any unexpected changes are promptly managed, minimizing impact on the safety and well-being of workers.

   Example: A manufacturing facility experiences a sudden decline in safety performance due to an unexpected equipment failure. The management team swiftly conducts a root cause analysis to identify the underlying issue. In response, they implement corrective actions, including enhancing maintenance protocols and providing retraining for employees; ensuring that the issue is addressed and that similar incidents are prevented in the future, safeguarding worker health and safety.

7. **Risks and Opportunities:** Organizations should acknowledge that changes, whether technological, procedural, or regulatory, can introduce both risks and opportunities related to Occupational Health and Safety (OH&S). While changes may present new hazards, they also offer opportunities to improve safety protocols, enhance employee training, and implement more efficient systems. By proactively managing these changes, organizations can mitigate risks while maximizing opportunities for better safety performance and overall workplace well-being.

   Example: When implementing remote work policies due to unforeseen circumstances (e.g., a pandemic), a company identifies the opportunity to enhance employee well-being through flexible work arrangements while also recognizing the risk of isolation and mental health challenges. The company develops support programs to address these risks while leveraging the opportunity for improved work-life balance.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Change Management Policy:** The change management policy defines the organization's framework for managing changes that affect occupational health and safety (OH&S) performance. It outlines objectives, key principles, and responsibilities, ensuring a consistent approach to evaluating and implementing changes across all departments.

2. **Change Management Procedure:** This procedure provides detailed steps for identifying, assessing, approving, and implementing changes impacting OH&S. It specifies roles and responsibilities, outlining how to document the change process, evaluate risks, and ensure effective communication with all stakeholders involved.

3. **Risk Assessment Reports:** Risk assessment reports document the potential hazards associated with planned changes. These reports detail the methodology used for assessments, findings related to risk levels, and recommended control measures, ensuring that changes do not adversely affect workplace safety or health.

4. **Change Request Forms:** Change request forms capture details about proposed changes, including objectives, justifications, and anticipated impacts. These forms facilitate structured review and decision-making processes, enabling the organization to evaluate the necessity and implications of changes before implementation.

5. **Change Approval Records:** Approval records indicate who authorized changes and under what conditions. This documentation ensures accountability and traceability, helping auditors verify that changes were assessed for their impact on OH&S and that necessary controls were implemented before any change took effect.

6. **Training Records:** Training records document the education provided to employees about new processes, equipment, or products associated with changes. These records verify that all personnel are adequately informed and trained to mitigate risks, promoting a safe working environment post-change.

7. **Communication Records:** Communication records include materials shared with employees regarding changes, such as emails, newsletters, or meeting minutes. They demonstrate the organization's commitment to transparency and ensure that all staff are informed about potential impacts on their health and safety.

8. **Monitoring and Review Records:** Monitoring and review records track the outcomes of implemented changes, documenting evaluations of effectiveness and safety performance. These records help identify any shortcomings in the change management process, facilitating continual improvement and the adjustment of practices as needed.

9. **Incident Reports:** Incident reports document any accidents, near misses, or safety breaches related to changes. These reports provide insights into the effectiveness of the change management process, highlighting areas for improvement and reinforcing the need for on-going monitoring and evaluation.

10. **Legal Compliance Documentation:** Legal compliance documentation outlines how the organization addresses changes in legal and regulatory requirements affecting OH&S. This ensures that the organization remains compliant and up-to-date with applicable laws, reducing the risk of penalties and enhancing workplace safety.

4. OBJECTIVE EVIDENCES:

1. **Change Management Policy Document:** The organization has implemented a formal Change Management Policy to oversee processes related to changes affecting Occupational Health and Safety (OH&S). This policy ensures that all modifications are assessed for safety impacts, with appropriate measures to mitigate potential risks verified. Example: Change Management Policy Document No. CM-2024-01, approved on 2024-01-15 by John Doe, OH&S Manager.

2. **Change Request Form:** A completed Change Request Form includes detailed information about proposed changes, associated risk assessments, and the necessary approvals. It ensures a structured approach to managing changes, addressing potential hazards, and obtaining appropriate authorization before implementing modifications impacting health and safety evidence. Example: Change Request Form No. CRF-2024-045, submitted on 2024-02-20 for the introduction of new machinery (Product No. XYZ-1001).

3. **Risk Assessment Report:** A risk assessment report evaluates potential hazards linked to a significant change, identifying possible safety risks and their impacts. It outlines mitigation strategies, control measures, and the necessary actions to reduce or eliminate risks, ensuring a safe transition or modification reviewed. Example: Risk Assessment Report No. RAR-2024-022, completed on 2024-02-25 for changes in work processes related to new equipment.

4. **Change Approval Record:** Documentation showing approval of a specific change by management includes signed approval forms or official memos. This confirms that the proposed change has been reviewed, assessed for risks, and authorized by the appropriate management personnel before implementation, ensuring compliance and accountability verified. Example: Change Approval Record No. CAR-2024-067, approved on 2024-03-01 by Jane Smith, Operations Manager, for the new warehouse layout.

5. **Training Record for New Equipment:** Training records document that employees have received proper training on new equipment introduced during a change. These records include details such as training dates, employee names, training content, and instructor information, ensuring that staffs are adequately prepared to operate the equipment safely reviewed. Example: Training Record No. TR-2024-032, dated 2024-03-10 for new equipment (Model No. EQ-2024-A) with 15 employees trained.

6. **Incident Report Related to Change:** An incident report documents accidents or near misses related to workplace changes. It includes details such as the date, description of the incident, involved parties, causes, and corrective actions taken. This helps identify risks and improve safety measures for future changes evidence. Example: Incident Report No. IR-2024-005, dated 2024-04-05, regarding a near-miss incident related to new equipment operation.

7. **Communication Records:** Evidence of communications sent to staff regarding upcoming changes and their impacts on OH&S includes emails, memos, meeting minutes, or bulletin board notices. These communications inform employees about safety procedures, potential risks, and necessary actions to ensure their well-being during the change verified. Example: Communication Email ID: COM-2024-053, sent on 2024-04-10 by HR to all employees regarding changes to shift patterns.

8. **Monitoring and Review Record:** A record of monitoring and evaluation activities related to a significant change includes logs of inspections, audits, and performance assessments. It tracks the effectiveness of implemented changes, identifies areas for improvement, and ensures that safety standards are consistently met reviewed. Example: Monitoring Review Report No. MRR-2024-015, completed on 2024-04-20 for the assessment of new safety protocols after equipment installation.

9. **Legal Compliance Documentation:** Documentation showing compliance with new legal or regulatory requirements following a change includes compliance certificates, updated policies, and audit reports. It demonstrates that the organization has reviewed and adhered to relevant laws or regulations, ensuring on-going legal conformity after the change reviewed. Example: Legal Compliance Review Document No. LCRD-2024-007, dated 2024-04-30, confirming adherence to updated hazardous material regulations.

10. **Feedback Mechanism Record:** Documentation of feedback received from employees regarding changes includes surveys, meeting notes, or comment forms. It records employee concerns or suggestions and outlines the actions taken to address them, ensuring that employee input is considered and improvements are implemented where necessary evidence. Example: Feedback Summary Report No. FSR-2024-001, compiled on 2024-05-05, summarizing input from 20 employees regarding the new work process introduced on 2024-02-15.

5. INTERVIEW QUESTIONS:

1. Can you describe the processes established for managing both planned temporary and permanent changes that impact occupational health and safety (OH&S) performance?
2. How does your organization ensure that changes to existing products, services, or processes are systematically evaluated for their impact on OH&S?
3. What documentation is maintained to record the assessment of risks associated with new workplace locations or changes to work organization?
4. How does your organization communicate changes in working conditions or equipment to affected employees, and what training is provided to ensure understanding?
5. Can you provide an example of a recent change made to a product or service and the steps taken to assess its impact on OH&S?
6. How are changes to legal requirements or other external obligations identified and integrated into your OH&S management system?
7. What processes are in place to monitor changes in knowledge or information about hazards and OH&S risks?
8. Can you demonstrate how the organization evaluates the consequences of unintended changes and the actions taken to mitigate any adverse effects?
9. How does your organization ensure that developments in knowledge and technology are assessed for their implications on OH&S?
10. Are there specific criteria used to determine whether a change requires a formal risk assessment, and how is this documented?
11. How does your organization involve employees or their representatives in the change management process, particularly in identifying potential risks?
12. Can you share examples of how feedback from employees regarding changes has been collected and acted upon?
13. What records are maintained to document the approval process for significant changes impacting OH&S?
14. How frequently are the change management processes reviewed for effectiveness, and what metrics are used to measure their success?
15. Can you provide evidence of any incidents or near misses that occurred as a result of changes and how those incidents were investigated and addressed?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Structured Change Management Process:** The organization has established a comprehensive and systematic process for managing both temporary and permanent changes, ensuring that all potential impacts on occupational health and safety (OH&S) are identified, evaluated, and addressed in a timely manner.

2. **Comprehensive Risk Assessments:** Risk assessments are meticulously conducted for every new product, service, or process, highlighting the organization's commitment to identifying hazards early. This proactive approach allows for effective mitigation strategies, thereby safeguarding the health and safety of all employees.

3. **Effective Communication Channels:** The organization utilizes clear and effective communication strategies to ensure that all employees are informed of changes that affect their work environment. This openness fosters a culture of safety, trust, and accountability within the workplace.

4. **Employee Involvement:** Actively engaging employees in the change management process encourages them to voice their concerns and suggestions. This involvement not only enhances the identification of potential risks but also empowers employees, fostering a sense of ownership over workplace safety.

5. **Training and Competency Development:** Robust training programs are implemented to ensure that employees receive adequate education on new equipment, processes, or changes. This focus on competency development equips staff with essential skills, minimizing risks associated with unfamiliar operations and enhancing workplace safety.

6. **Adaptability to Legal Changes:** The organization demonstrates remarkable agility in adapting to evolving legal requirements. By continuously monitoring regulatory changes and promptly updating internal procedures, the organization minimizes legal risks while ensuring compliance with all applicable health and safety regulations.

7. **Proactive Monitoring of Knowledge Updates:** A proactive approach is taken to stay abreast of new knowledge regarding hazards and OH&S risks. This continuous monitoring enables the organization to integrate the latest information into its practices, fostering a culture of on-going improvement in safety standards.

8. **Review of Unintended Changes:** The organization has a systematic process for reviewing unintended changes and assessing their consequences. By promptly addressing adverse effects, it minimizes risks and demonstrates a commitment to learning from experiences to enhance future safety protocols.

9. **Documentation and Record-Keeping:** Comprehensive documentation practices ensure that all changes, assessments, and actions are meticulously recorded. This transparency supports accountability and allows for thorough audits, facilitating continuous improvement and the ability to reference historical decisions made regarding OH&S management.

10. **Emphasis on Innovation:** The organization actively embraces advancements in technology and knowledge, using innovative solutions to enhance OH&S performance. This commitment to innovation not only improves safety but also positions the organization as a leader in best practices within its industry.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Formalized Change Management Process:** The organization could benefit from establishing a more formalized change management process. By creating a detailed procedure that outlines roles, responsibilities, and specific steps to follow, the organization can ensure consistent application and compliance across all changes.

2. **Enhanced Risk Assessment Procedures:** Improving risk assessment methodologies by incorporating quantitative metrics can significantly enhance decision-making. This allows the organization to prioritize risks more effectively, ensuring that resources are allocated to address the most critical safety concerns associated with changes.

3. **Employee Training and Awareness Programs:** Opportunities exist to strengthen training programs on change management. Regularly scheduled training sessions can boost employee awareness of processes, risks, and safety protocols, ensuring they are well-informed and prepared to respond appropriately to changes.

4. **Integration of Feedback Mechanisms:** Establishing structured feedback mechanisms can significantly improve the change management process. By regularly collecting input from employees regarding their experiences and concerns, management can identify potential risks and areas for improvement that might otherwise be overlooked.

5. **Documentation of Change Processes:** The organization should enhance its documentation practices related to change management. Comprehensive records of all planned and unplanned changes, including risk assessments and outcomes, support accountability and provide valuable insights during internal audits or reviews.

6. **Monitoring of External Changes:** Strengthening the monitoring of external changes, such as evolving legal requirements, can enhance compliance. By regularly reviewing industry standards and regulations, the organization can ensure its processes adapt to meet new challenges effectively and maintain legal conformity.

7. **Proactive Review of Knowledge Updates:** Establishing a dedicated team to continuously review and integrate new knowledge about hazards and risks can improve safety measures. This proactive approach ensures that the organization remains aware of emerging threats and can adapt its practices accordingly.

8. **Implementation of Lessons Learned:** Developing a formal process for capturing and analysing lessons learned from previous changes or incidents can enhance future change management efforts. Documenting experiences fosters a culture of learning and helps prevent the recurrence of similar issues.

9. **Use of Technology for Change Management:** Leveraging technology can streamline change management processes significantly. Utilizing software tools for tracking changes, assessments, and communications enhances visibility and accountability, making it easier for all stakeholders to remain informed and engaged throughout the process.

10. **Regular Audits of Change Processes:** Conducting regular internal audits focused on change management can identify areas of non-compliance or opportunities for enhancement. These audits reinforce the importance of effective change management and support continuous improvement within the organization's OH&S framework.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Established Change Management Process:** The organization lacks a documented process for managing planned changes that impact Occupational Health and Safety (OH&S) performance. Without such a process, there is a risk of inadequate assessment, communication, and control of potential hazards arising from these changes.

   Example: There is an absence of a formalized change management procedure (Document No: CMP-01), which is essential for guiding the systematic management of changes. Without this documented procedure, the organization may face challenges in controlling and mitigating risks associated with changes. FORM NO: XXX

2. **Inadequate Risk Assessment for New Products:** Risk assessments were not conducted for newly introduced products that impact workplace safety. This oversight exposes the organization to potential hazards, as the safety implications of these products have not been properly evaluated, increasing the risk of incidents.

   Example: The Product Risk Assessment Report for Product XYZ (Report No: PRA-XYZ-2024) is missing. This absence prevents the organization from evaluating and addressing potential risks associated with the product, potentially compromising workplace safety and regulatory compliance. FORM NO: XXX

3. **Failure to Update Work Instructions:** Work instructions were not updated following changes in work organization or processes, which could lead to unsafe practices. This gap increases the risk of errors, accidents, and non-compliance with safety protocols, potentially compromising employee well-being and operational efficiency.

   Example: The Work Instruction for Process ABC (WI-ABC-2023) is outdated, with the last update occurring some time ago. This poses a risk of employees following incorrect or obsolete procedures, potentially leading to inefficiencies, safety hazards, and non-compliance with updated work practices. FORM NO: XXX

4. **Non-Compliance with Legal Changes:** The organization has not identified or addressed recent legal requirements impacting Occupational Health and Safety (OH&S) performance. This oversight could result in non-compliance with relevant regulations, potentially exposing the organization to legal risks, penalties, and compromised safety standards for employees.

Example: The Regulatory Compliance Checklist (RCC-2024) is lacking updates to reflect new legislation. This gap in compliance tracking may result in the organization failing to adhere to the latest legal requirements, exposing it to potential risks, fines, and legal consequences. FORM NO: XXX

5. **Insufficient Training on New Processes:** Employees were not adequately trained on new processes or equipment introduced, increasing the risk of safety incidents. This lack of training may lead to improper use of equipment, errors in procedures, and a higher likelihood of accidents or injuries in the workplace.

   Example: The Training Attendance Records for New Equipment Training (Training ID: NET-001) show incomplete attendance. This indicates that some employees may not have received essential training, which could result in improper equipment use, safety risks, and potential operational inefficiencies due to lack of proper knowledge. FORM NO: XXX

6. **Failure to Communicate Changes to Workforce:** Changes impacting workplace safety were not communicated to all relevant employees, which could lead to confusion and an increased risk of accidents. This lack of communication may result in employees being unaware of safety protocols, exposing them to avoidable hazards and unsafe practices.

   Example: Communication logs regarding changes to work conditions (Communication Log No: CL-2024) are missing. This absence prevents tracking of crucial information about safety updates and process changes, potentially leading to gaps in employee awareness and increased risks due to un-communicated workplace modifications. FORM NO: XXX

7. **Neglecting Unintended Changes Review:** The organization failed to review unintended changes and their consequences, resulting in unresolved risks. This lack of assessment may lead to overlooked safety hazards, operational inefficiencies, or compliance issues, potentially compromising both workplace safety and organizational performance.

   Example: The absence of a review report for unintended changes indicates that no actions were taken to address the issues. This oversight may result in unresolved risks, on-going safety hazards, and missed opportunities for improvement, potentially impacting the organization’s overall performance and compliance. FORM NO: XXX

8. **Inadequate Documentation of Change Impact:** Changes made to equipment were not documented adequately, hindering proper evaluation of their impact on Occupational Health and Safety (OH&S). This lack of documentation may prevent the identification of potential hazards, delaying necessary safety measures and increasing the risk of incidents.

   Example: The Equipment Change Log (ECL-2024) shows incomplete entries for changes made, indicating a lack of thorough documentation. This deficiency prevents a comprehensive evaluation of the changes' impact on safety, potentially overlooking risks and compromising the effectiveness of safety protocols. FORM NO: XXX

9. **Ignoring Emerging Hazards:** The organization has not updated its knowledge base to reflect emerging hazards or risks, leaving employees vulnerable to potential dangers. This oversight may prevent timely identification and mitigation of new threats, increasing the likelihood of accidents or safety incidents in the workplace.

   Example: The Hazard Identification Report (HIR-2023) lacks updates based on recent industry trends, indicating that it has not been reviewed or revised to reflect current risks. This gap in information may prevent the organization from addressing emerging hazards and ensuring optimal safety measures. FORM NO: XXX

10. **Failure to Analyze Changes in Technology:** The organization did not analyze the impact of new technologies on Occupational Health and Safety (OH&S) performance, potentially overlooking associated risks. This lack of assessment may lead to unaddressed safety hazards and compromise the overall effectiveness of safety protocols in the workplace.

    Example: The Technology Assessment Report (TAR-2024) is missing for the implementation of new software, indicating that the potential impact on safety and operational efficiency has not been evaluated. This gap could lead to unforeseen risks and challenges that may compromise workplace safety and productivity. FORM NO: XXX

8 OPERATION

1. STANDARD REQUIREMENTS:

8.1.4 PROCUREMENT

8.1.4.1 GENERAL

The organization shall establish, implement and maintain a process (es) to control the procurement of products and services in order to ensure their conformity to its OH&S management system.

2. EXPLAINATION:

1. **Establishing a Procurement Process:** Organizations should establish a systematic procurement process aligned with their OH&S management system. This involves developing clear procedures for selecting suppliers and acquiring products or services that meet health and safety requirements. Key considerations include evaluating supplier compliance with OH&S standards, specifying safety criteria in procurement contracts, and ensuring acquired items support workplace safety objectives. Regular reviews help maintain alignment with health and safety goals.

   Example: A construction company can implement a procurement process requiring safety equipment suppliers to certify their products meet health and safety standards. This includes a detailed checklist of safety criteria for supplier evaluation before approval. By ensuring compliance with standards for items like helmets and gloves, the company promotes workplace safety and aligns procurement practices with its OH&S management system. Regular supplier reviews ensure on-going adherence.

2. **Evaluating Supplier Conformity:** Organizations should evaluate suppliers to ensure they can provide products and services meeting health and safety regulations and specific organizational requirements. This assessment may include site visits, audits, and reviewing suppliers' health and safety records. By verifying compliance and performance, organizations minimize risks, enhance workplace safety, and ensure alignment with their OH&S management system. Continuous monitoring helps maintain supplier reliability and adherence to safety standards.

   Example: A manufacturing firm may audit raw material suppliers to ensure their production processes minimize health risks, such as exposure to toxic substances. These audits verify compliance with health and safety standards. If a supplier fails to meet the requirements, the organization proactively seeks alternative suppliers to uphold safety standards, protect workers, and maintain alignment with its OH&S management system. Regular evaluations ensure continuous compliance.

3. **Risk Assessment in Procurement:** Before procurement, organizations should identify and assess potential risks associated with the products and services being acquired. This involves evaluating how these products may impact workplace safety and health, considering factors such as hazardous materials or equipment operation risks. By addressing these concerns during the procurement process, organizations can ensure alignment with OH&S management objectives and reduce the likelihood of safety incidents.

Example: When purchasing new machinery, an organization should assess risks such as noise levels, vibrations, and accident potential. This evaluation informs decisions on necessary protective measures and employee training to ensure safe operation. By addressing these risks before acquisition, the organization promotes workplace safety, aligns with OH&S objectives, and ensures machinery integration without compromising employee health and safety. Regular reviews enhance on-going risk management.

4. **Contractual Requirements:** Supplier contracts should include specific health and safety requirements to ensure products and services align with the organization's OH&S policies. These may involve clauses mandating compliance with applicable health and safety legislation and standards. By integrating these requirements into agreements, organizations promote accountability, reduce risks, and ensure supplier contributions support workplace safety objectives and regulatory compliance. Regular contract reviews ensure sustained adherence.

   Example: A logistics company can require transportation providers to comply with safe loading and unloading procedures in their contracts. This ensures that transport services align with the company's health and safety standards, minimizing risks during operations. By embedding these requirements in agreements, the company promotes safe practices, enhances compliance with OH&S policies, and safeguards workers and goods throughout the logistics process. Regular monitoring ensures adherence.

5. **Monitoring and Reviewing Procurement Processes:** Organizations should regularly monitor and review their procurement processes to ensure on-going effectiveness and compliance with health and safety requirements. This includes collecting feedback from stakeholders, conducting audits of suppliers, and evaluating the performance of procured products and services. Continuous monitoring helps identify potential risks, ensures adherence to safety standards, and enables necessary adjustments to maintain a safe and compliant workplace.

   Example: A facility management company could implement a quarterly review of its procurement process for cleaning chemicals; ensuring only products safe for use in enclosed environments are purchased. This review would include feedback from employees about chemical usage, helping to identify potential health and safety concerns. Employee insights would guide future procurement decisions, ensuring safer products are selected and compliance with health and safety standards is maintained.

6. **Training and Competence:** The organization should ensure that personnel involved in the procurement process are properly trained and competent to evaluate suppliers and products based on health and safety criteria. This includes understanding relevant regulations, assessing product safety features, and identifying potential risks. By investing in training, the organization ensures that procurement decisions align with health and safety standards, promoting a safer workplace and reducing potential risks.

   Example: A retail company could provide training sessions for its procurement staff on the importance of selecting products with low chemical emissions to safeguard both staff and customers from potential health hazards. This training would emphasize the impact of product choices on air quality and overall well-being. By ensuring staff are well-informed, the company aligns its procurement process with health and safety standards, promoting a healthier environment.

7. **Documentation and Record-Keeping:** Maintaining documentation of the procurement process is essential for demonstrating compliance with the OH&S management system. This includes keeping records of supplier evaluations, contracts, risk assessments, and monitoring activities. Proper documentation provides a clear audit trail, ensures transparency, and helps the organization demonstrate that health and safety standards are being met. It also supports continuous improvement and regulatory compliance in the procurement process.

   Example: An engineering firm could maintain detailed records of all supplier evaluations and safety certifications for procured equipment. These records serve as evidence of compliance with health and safety standards and the OH&S management system. During audits, the documentation can be reviewed to verify that safety criteria were met, ensuring transparency, accountability, and adherence to the organization's safety policies while supporting continuous improvement efforts.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Procurement Policy Document:** The procurement policy document articulates the organization's commitment to health and safety during procurement. It outlines roles, responsibilities, and processes that ensure adherence to occupational health and safety (OH&S) requirements, serving as a foundational guideline for procurement activities.

2. **Procurement Procedures:** Detailed procurement procedures define the step-by-step processes for acquiring products and services. These procedures include specific criteria for selection, ensuring that health and safety standards are prioritized and integrated throughout the procurement lifecycle, promoting a culture of safety.

3. **Supplier Evaluation Criteria:** Supplier evaluation criteria encompass the specific benchmarks used to assess potential suppliers. These criteria focus on health and safety compliance, quality assurance, and previous performance metrics, ensuring that only those suppliers who meet safety standards are considered for procurement.

4. **Supplier Audit Records:** Supplier audit records contain the findings from evaluations conducted on suppliers. They document compliance with health and safety standards, any identified deficiencies, corrective actions taken, and follow-up assessments, providing a thorough understanding of supplier reliability and safety practices.

5. **Contracts with Suppliers:** Contracts with suppliers incorporate specific health and safety obligations that must be adhered to. These contracts detail compliance expectations, quality standards, and the repercussions for non-compliance, thereby aligning procurement practices with the organization's overall OH&S management system.

6. **Risk Assessments:** Risk assessments related to procurement identify potential hazards associated with products or services being acquired. They detail risks, impact evaluations, and mitigation strategies, ensuring that health and safety considerations are integrated into the decision-making process before procurement.

7. **Supplier Safety Certifications:** Supplier safety certifications serve as evidence that procured products or services comply with established health and safety standards. These documents, such as ISO certifications, verify that suppliers maintain practices that align with relevant regulations and promote workplace safety.

8. **Training Records:** Training records document the educational initiatives provided to procurement staff regarding health and safety criteria. These records confirm that employees are equipped with the knowledge to make informed decisions and recognize safety-related issues in the procurement process.

9. **Communication Records with Suppliers:** Communication records include emails, meeting minutes, and correspondence between the organization and its suppliers. These documents demonstrate on-going dialogue regarding health and safety expectations, performance assessments, and any concerns raised, ensuring a collaborative approach to safety compliance.

10. **Feedback and Review Records:** Feedback and review records capture insights from employees about the safety and effectiveness of procured products and services. These documents are critical for identifying areas for improvement and ensuring that procurement aligns with health and safety objectives.

4. OBJECTIVE EVIDENCES

1. **Procurement Policy Document:** The organization has a documented procurement policy that includes specific health and safety requirements. This policy ensures that all procured products and services comply with relevant safety standards, supporting a safe work environment and aligning with the organization's OH&S management system verified. Example: Document Number: PROC-PO-2023-001, Date of Issue: 2023-01-15, Reviewed by: John Smith, Procurement Manager.

2. **Supplier Evaluation Criteria:** Supplier evaluation criteria have been established and documented to assess compliance with health and safety standards. These criteria ensure that suppliers meet the organization's safety requirements, supporting a safe working environment and ensuring alignment with health and safety policies evidence. Example: Evaluation Form Number: SUP-EVAL-2023-005, Criteria List Document Number: CRITERIA-2023-01, Effective Date: 2023-02-01.

3. **Supplier Audit Records:** Audits conducted on suppliers demonstrate their compliance with the organization's health and safety standards. These audits verify that suppliers adhere to safety regulations, ensuring that procured products and services meet required health and safety criteria, supporting a safe workplace reviewed. Example: Audit Report Number: AUD-2023-012, Audit Date: 2023-03-10, Auditor: Emily Johnson, Supplier Name: ABC Supplies Co.

4. **Contracts with Suppliers:** Contracts with suppliers include specific clauses requiring health and safety compliance. These clauses ensure that suppliers adhere to relevant safety regulations and standards, aligning their products and services with the organization's health and safety policies and workplace safety objectives verified. Example: Contract

Number: CON-2023-045, Effective Date: 2023-04-01, Supplier: XYZ Manufacturing, Compliance Clause Reference: Clause 6.2.

5. **Risk Assessments:** Documented risk assessments for procured products ensure the identification and mitigation of potential hazards. These assessments help evaluate the safety of products, guiding procurement decisions and ensuring compliance with health and safety standards to protect the workplace verified. Example: Risk Assessment Number: RA-2023-007, Date of Assessment: 2023-05-15, Assessor: Michael Lee, Product: Industrial Cleaner.

6. **Supplier Safety Certifications:** Suppliers provide safety certifications for products, demonstrating their compliance with health and safety standards. These certifications ensure that the products meet required safety criteria, helping the organization maintain a safe workplace and align with its health and safety policies reviewed. Example: Certification Document Number: CERT-ABC-2023-009, Issued Date: 2023-06-01, Supplier: PQR Chemicals Ltd., Certification Body: ISO 9001:2015.

7. **Training Records:** Training records show that procurement personnel have been trained in health and safety criteria. This ensures they are equipped to evaluate suppliers and products based on safety standards, helping the organization maintain a safe workplace and compliance with health regulations verified. Example: Training Session Number: TRAIN-2023-015, Date: 2023-07-20, Participants: Sarah Adams, Tom Brown, and Trainer: Laura White.

8. **Performance Monitoring Records:** Performance monitoring records track supplier adherence to health and safety standards by documenting compliance with safety protocols, identifying potential risks, and ensuring suppliers meet required safety benchmarks. These records help mitigate risks and maintain a safe working environment across the supply chain verified. Example: Monitoring Report Number: MON-2023-018, Date of Report: 2023-08-10, Supplier: DEF Logistics, Compliance Rating: 85%.

9. **Incident Reports:** Incident reports document health and safety incidents related to procured products, including detailed descriptions of the incidents and the corrective actions taken. These records help identify recurring issues, enabling the organization to improve safety measures and prevent future incidents evidence. Example: Incident Report Number: INC-2023-022, Date of Incident: 2023-09-05, Reported By: Alice Green, Product Involved: Chemical X.

10. **Management Review Minutes:** Minutes from management reviews document discussions on procurement processes, focusing on health and safety compliance. These records capture decisions and actions taken to ensure that procurement practices align with safety standards, supporting the organization's commitment to maintaining a safe work environment reviewed. Example: Review Meeting Minutes Number: MM-2023-030, Date of Meeting: 2023-09-30, Attendees: Management Team, Action Item: Review Supplier Safety Compliance.

5. INTERVIEW QUESTIONS:

1. Can you describe the processes established to ensure that the procurement of products and services conforms to your Occupational Health and Safety (OH&S) management system?
2. How do you evaluate and select suppliers to ensure they meet your health and safety standards before procurement?
3. What criteria do you use to assess supplier performance in relation to OH&S requirements, and can you provide examples of recent evaluations?
4. Are there documented procedures for auditing suppliers, and how often are these audits conducted?
5. How do you ensure that contracts with suppliers include specific health and safety requirements, and can you show me an example of a recent contract?
6. What steps are taken to identify potential risks associated with the products and services you procure, and how is this information documented?
7. Can you explain the training provided to procurement staff regarding health and safety criteria in procurement decisions?
8. How do you monitor the compliance of suppliers with health and safety regulations post-procurement, and what records do you maintain?
9. What processes are in place for addressing non-conformities identified during supplier evaluations or audits?
10. Can you provide examples of any incidents related to procured products or services, and how were these incidents managed and communicated?
11. How do you handle changes in suppliers or procurement processes, and what documentation is maintained to reflect these changes?
12. What methods do you use to gather feedback from employees regarding the safety and effectiveness of procured products and services?
13. How is supplier safety performance documented and reviewed in management meetings or reports?
14. Are there any on-going improvement initiatives related to your procurement processes that focus on enhancing OH&S outcomes?
15. Can you demonstrate how your procurement practices have evolved in response to previous audits or management reviews concerning health and safety compliance?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Procurement Policy:** The organization has developed a robust procurement policy that articulates its commitment to integrating occupational health and safety (OH&S) considerations throughout the procurement process. This policy provides a framework that guides decision-making, ensuring safety is prioritized at every stage.

2. **Supplier Selection Criteria:** Established supplier selection criteria are designed to rigorously evaluate potential suppliers based on their adherence to health and safety standards. This proactive approach helps mitigate risks by ensuring that only compliant suppliers are included in the procurement process, enhancing overall safety.

3. **Supplier Evaluation Process:** A systematic and regular supplier evaluation process is in place, which includes comprehensive audits focused on compliance with OH&S requirements. This not only ensures on-going supplier accountability but also fosters a culture of continuous improvement in safety practices within the supply chain.

4. **Training for Procurement Staff:** The organization invests in regular training for procurement staff, emphasizing the importance of health and safety considerations in procurement decisions. This training equips employees with essential knowledge and skills, enabling them to make informed choices that prioritize workplace safety.

5. **Integration of Risk Assessments:** The procurement process incorporates thorough risk assessments that identify and evaluate potential hazards associated with products and services. This proactive strategy enhances safety management by anticipating risks, allowing the organization to implement preventive measures before procurement decisions are made.

6. **Documentation of Supplier Performance:** Comprehensive records of supplier performance concerning health and safety are meticulously maintained and regularly reviewed. This documentation not only facilitates performance tracking but also informs future procurement decisions, contributing to on-going improvements in supplier safety compliance.

7. **Supplier Contracts with Safety Clauses:** Contracts with suppliers explicitly include health and safety requirements, establishing clear expectations and accountability for compliance. This contractual obligation ensures that suppliers prioritize safety and adhere to the organization’s OH&S standards throughout their partnership.

8. **Feedback Mechanism:** An effective feedback mechanism is established, allowing employees to report concerns related to procured products or services. This open communication channel fosters a culture of safety and continuous improvement, enabling the organization to address issues proactively and enhance safety measures.

9. **Management Involvement:** Management plays an active role in reviewing and overseeing procurement processes, demonstrating a strong commitment to health and safety. Their involvement ensures that procurement decisions align with the organization's OH&S objectives, reinforcing a culture of safety throughout the organization.

10. **Incident Management and Review:** The organization has established comprehensive processes for managing incidents related to procured products, including thorough investigations and corrective actions. This systematic approach facilitates learning from incidents and enhances future procurement practices by implementing improvements based on identified issues.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Defined Processes:** The organization may not have established formalized procurement processes that specifically address health and safety considerations. This absence can lead to inconsistencies in how safety standards are applied, increasing the risk of unsafe products or services being procured.

2. **Insufficient Supplier Evaluation Criteria:** Existing criteria for evaluating suppliers might not comprehensively assess their health and safety performance. This gap can result in the selection of suppliers who do not meet the organization's OH&S requirements, thereby compromising overall safety in the procurement process.

3. **Inadequate Risk Assessment Procedures:** The organization may lack comprehensive procedures for conducting risk assessments related to procurement activities. Without identifying potential hazards associated with procured products and services, the organization may inadvertently expose itself to significant safety risks in its operations.

4. **Limited Training for Procurement Staff:** Procurement personnel might not receive adequate training focused on OH&S requirements and compliance. This lack of training can hinder their ability to effectively evaluate suppliers and make informed decisions that prioritize safety in procurement processes.

5. **Absence of Performance Monitoring:** A systematic approach for monitoring and evaluating supplier performance related to health and safety may be lacking. Without on-going assessments, the organization risks missing opportunities to improve supplier safety standards and ensure compliance with its OH&S management system.

6. **Inconsistent Documentation Practices:** Inconsistent documentation regarding procurement processes and supplier evaluations can hinder accountability and traceability. This inconsistency makes it challenging for the organization to demonstrate compliance with OH&S management requirements, potentially leading to regulatory issues or safety lapses.

7. **Lack of Feedback Mechanisms:** The absence of formal mechanisms for employees to report safety issues regarding procured products may limit the organization's ability to effectively address concerns. Establishing such mechanisms encourages open communication, allowing for timely identification and resolution of safety-related issues.

8. **Non-Conformities in Supplier Audits:** Recent supplier audits may reveal non-conformities related to health and safety standards. If the organization fails to take appropriate follow-up actions to address these non-conformities, it can negatively impact the overall effectiveness of its procurement processes.

9. **Missing Integration of OH&S in Contracts:** Supplier contracts may not consistently include explicit health and safety clauses. This omission can lead to a lack of accountability for compliance with safety standards, increasing potential risks and undermining the organization's commitment to maintaining safe procurement practices.

10. **Insufficient Management Review:** Limited involvement from management in reviewing procurement processes related to OH&S can hinder organizational effectiveness. Without leadership support, there may be insufficient focus on compliance, continuous improvement, and resource allocation necessary for enhancing safety in procurement activities.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Defined Procurement Process:** The organization lacks a documented procurement process that incorporates Occupational Health and Safety (OH&S) requirements. This gap may lead to suppliers or contractors not meeting safety standards, increasing the risk of workplace hazards and non-compliance with safety regulations.

   Example: The absence of a procurement procedure manual or documented workflows detailing how Occupational Health and Safety (OH&S) criteria are integrated into purchasing decisions leaves the organization without a structured approach to ensure safety standards are considered during procurement, potentially compromising workplace safety. FORM NO: XXX

2. **Inadequate Supplier Evaluation Criteria:** The criteria used for evaluating suppliers do not include health and safety performance metrics, which may result in selecting suppliers who do not meet the necessary safety standards. This oversight could lead to potential risks and compromise the organization's overall safety objectives.

   Example: Supplier evaluation forms lack sections for assessing Occupational Health and Safety (OH&S) compliance, which prevents a thorough evaluation of suppliers' adherence to safety standards. This omission could result in engaging suppliers who may not meet required safety benchmarks, increasing potential risks. FORM NO: XXX

3. **Missing Risk Assessments for Procured Products:** No formal risk assessments are conducted for products and services being procured, leaving the organization vulnerable to potential hazards. This lack of evaluation may result in the acquisition of unsafe products or services, compromising workplace safety and regulatory compliance.

   Example: Procurement files lack risk assessment documentation for new suppliers or products, indicating that potential hazards have not been evaluated before acquisition. This gap could lead to the selection of unsafe products or suppliers, exposing the organization to health and safety risks. FORM NO: XXX

4. **Insufficient Training Records for Procurement Staff:** Procurement staff has not received training on the organization's Occupational Health and Safety (OH&S) requirements, which may lead to the procurement of unsafe products or services. This lack of training increases the risk of non-compliance and potential safety hazards in the workplace.

   Example: Training records show that procurement personnel have not completed the required OH&S training courses, indicating a gap in their understanding of safety requirements. This deficiency may result in procurement decisions that overlook health and safety standards, increasing risks to the organization. FORM NO: XXX

5. **No Performance Monitoring of Suppliers:** The organization does not monitor or evaluate supplier performance regarding health and safety after procurement, which leaves the organization unaware of any on-going safety issues. This lack of oversight could lead to non-compliance with safety standards and potential risks in the workplace.

   Example: There is a lack of supplier performance review reports or metrics related to safety incidents, indicating that the organization does not track or evaluate supplier safety performance. This absence of evaluation could result in unaddressed safety issues and increased risks. FORM NO: XXX

6. **Inconsistent Documentation of Procurement Activities:** Documentation of procurement activities is inconsistent or incomplete, hindering traceability and making it difficult to verify the procurement process. This lack of thorough record-keeping could lead to challenges in tracking decisions, ensuring compliance, and addressing potential safety issues with acquired products or services.

   Example: Procurement logs contain missing entries or lack sufficient detail, which compromises the transparency and traceability of the procurement process. This deficiency may prevent the organization from accurately tracking procurement decisions and ensuring that safety and compliance standards are consistently met. FORM NO: XXX

7. **Absence of Feedback Mechanisms for Employees:** There are no formal mechanisms in place for employees to report safety concerns related to procured products. This lack of reporting channels may prevent potential safety issues from being identified and addressed, increasing the risk of incidents or non-compliance.

   Example: There is a lack of feedback forms or channels for employees to communicate OH&S issues, which hinders the organization's ability to identify and address safety concerns. This absence of a communication mechanism increases the risk of overlooked hazards and unresolved safety problems. FORM NO: XXX

8. **Supplier Non-Conformities Not Addressed:** Identified non-conformities during supplier audits have not been addressed or resolved, leaving potential safety risks unmitigated. This failure to take corrective action undermines the organization's efforts to ensure compliance with health and safety standards and may lead to recurring safety issues.

   Example: Audit reports indicate unresolved non-conformities with suppliers regarding safety practices, highlighting a failure to address critical safety issues. This oversight poses risks to the organization's compliance with safety standards and may result in unsafe practices persisting within the supply chain. FORM NO: XXX

9. **Missing Health and Safety Clauses in Contracts:** Supplier contracts do not consistently include health and safety compliance clauses, potentially leaving the organization vulnerable to safety risks. This absence of clear contractual obligations undermines efforts to ensure that suppliers adhere to necessary safety standards, increasing the risk of non-compliance.

   Example: A review of supplier contracts reveals the absence of specific OH&S requirements, which may lead to gaps in ensuring suppliers meet essential safety standards. This lack of contractual clarity increases the potential for non-compliance and safety-related issues in the supply chain. FORM NO: XXX

10. **Management Reviews of Procurement Processes Not Conducted:** Management has shown insufficient involvement in reviewing procurement processes related to OH&S, which could lead to missed opportunities for addressing potential safety risks. This lack of oversight may result in inadequate safety measures being incorporated into procurement decisions and practices.

    Example: Meeting minutes from management reviews indicate that procurement processes related to OH&S were not discussed, reflecting a gap in oversight. This lack of attention may prevent critical safety considerations from being addressed and incorporated into procurement decision-making and supplier relationships. FORM NO: XXX

8 OPERATION

1. STANDARD REQUIREMENTS:

8.1.4.2 CONTRACTORS

The organization shall coordinate its procurement process (es) with its contractors, in order to identify hazards and to assess and control the OH&S risks arising from:

a) The contractors' activities and operations that impact the organization;

b) The organization's activities and operations that impact the contractors' workers;

c) The contractors' activities and operations that impact other interested parties in the workplace.

The organization shall ensure that the requirements of its OH&S management system are met by contractors and their workers. The organization's procurement process (es) shall define and apply occupational health and safety criteria for the selection of contractors.

NOTE: It can be helpful to include the occupational health and safety criteria for the selection of contractors in the contractual documents.

2. EXPLAINATION:

1. **Coordination of Procurement Processes:** Organizations should collaborate closely with contractors during the procurement phase to identify, assess, and control occupational health and safety (OH&S) risks. This involves clear communication of safety expectations, thorough risk assessments, and the inclusion of OH&S requirements in contracts. By fostering collaboration and ensuring compliance, organizations can mitigate hazards, protect workers, and promote a safe working environment throughout the supply chain.

   Example: A construction company hiring subcontractors ensures safety by coordinating to identify potential hazards, such as working at heights, noise exposure, or machinery operation. This involves site visits, joint risk assessments, and clear communication of safety requirements. By collaborating closely, the main contractor ensures all parties understand and address risks, fostering a safer working environment and compliance with occupational health and safety standards.

2. **Identifying Hazards Related to Contractors' Activities:** Organizations must evaluate the occupational health and safety (OH&S) risks stemming from contractors' activities that could impact their operations. This involves identifying potential hazards, conducting thorough risk assessments, and implementing control measures to mitigate these risks. Clear communication of safety standards, regular monitoring, and collaborative planning are essential to ensure contractor activities align with the organization's safety objectives, minimizing disruptions and promoting a safe working environment.

   Example: In a manufacturing facility, contractors performing heavy machinery maintenance pose risks like machinery malfunction, endangering both contractor and organizational staff. The organization must assess these risks through thorough evaluations and implement controls, such as lockout/tagout procedures, to prevent accidental activation. Clear communication, safety training, and adherence to established protocols ensure a safe environment for all parties during maintenance activities.

3. **Assessing Risks to Contractors' Workers:** Organizations must assess how their activities could affect the health and safety of contractors' workers. This involves identifying potential hazards, such as exposure to harmful substances or operational risks, and implementing controls to mitigate them. Clear communication, coordination, and the establishment of safety protocols ensure contractors are aware of risks and equipped to work safely, fostering a collaborative and secure working environment for all.

   Example: During a chemical spill clean-up, the company must protect contractors working nearby from hazardous material exposure. This includes providing appropriate protective gear, such as gloves and respirators, and establishing clear communication protocols about potential risks. Regular safety briefings, hazard assessments, and monitoring are essential to ensure contractors' safety, preventing accidents and ensuring compliance with health and safety regulations during the clean-up process.

4. **Impact on Other Interested Parties:** Organizations must evaluate how contractor activities could impact other stakeholders, such as nearby residents, visitors, and other on-site contractors. This includes identifying potential hazards like noise, dust, or restricted access and implementing measures to mitigate these risks. Clear communication, stakeholder engagement, and adherence to safety protocols ensure that all affected parties are protected, promoting a safe and harmonious environment for everyone involved.

   Example: Construction activities may produce noise and dust, impacting neighboring businesses and residences. To minimize these effects, organizations can schedule noisy operations during off-peak hours and apply dust suppression measures, such as water spraying or installing dust barriers. Regular communication with nearby stakeholders ensures awareness of planned activities. These proactive steps help reduce disturbances, fostering good community relations and compliance with environmental regulations.

5. **Ensuring Compliance with OH&S Management System:** Organizations must ensure contractors adhere to their occupational health and safety (OH&S) management system, including established safety policies and procedures. This involves clearly communicating expectations, providing necessary training, and conducting regular audits or inspections to verify compliance. Collaborative planning and monitoring help address risks proactively, ensuring contractors align with the organization's safety standards to maintain a secure and compliant working environment for all stakeholders.

   Example: Before awarding a contract, an organization can request contractors to demonstrate their safety performance by providing safety training records, incident reports, and safety certifications. The organization may include clauses in the contract that require contractors to adhere to its safety protocols. This ensures contractors meet safety standards, reducing risks and fostering a commitment to a safe working environment throughout the project.

6. **Defining OH&S Criteria in Procurement Processes:** The procurement process should include occupational health and safety (OH&S) criteria when selecting contractors. This ensures that potential contractors have a strong safety record, adhere to safety standards, and are capable of managing risks effectively. By evaluating safety performance, training, and adherence to protocols, organizations can reduce hazards and promote a safer work environment, aligning contractor activities with the organization's safety objectives.

Example: When issuing a tender for a construction project, the organization requires contractors to have a documented safety management system, a specified number of trained safety personnel, and a proven track record of low incident rates. These criteria ensure that only qualified contractors, with a strong focus on safety, are considered for the job, reducing risks and promoting a safe working environment throughout the project.

7. **Incorporation into Contractual Documents:** An Including OH&S criterion in contractual documents reinforces the organization's commitment to safety and clearly defines expectations for contractors. This ensures that all parties are aware of their safety responsibilities, promotes compliance with safety protocols, and helps mitigate risks. By incorporating specific safety standards, the organization holds contractors accountable for maintaining a safe working environment, fostering a culture of safety throughout the project.

   Example: The contract may require contractors to conduct safety briefings before starting work, adhere to specific safety regulations, and immediately report any incidents. These provisions ensure that safety standards are met throughout the project. Failure to comply with these requirements could result in penalties or even termination of the contract, holding contractors accountable for maintaining a safe work environment and minimizing potential risks to workers.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Contractor Selection Criteria:** Review documented criteria used for selecting contractors, focusing on their safety performance, qualifications, and relevant experience. This ensures that only those with a demonstrated commitment to occupational health and safety are considered for procurement.

2. **Procurement Process Documentation:** Examine records detailing the procurement processes, including how occupational health and safety criteria are integrated into the evaluation and selection of contractors, highlighting the organization's commitment to ensuring safe practices throughout its supply chain.

3. **Risk Assessments:** Verify completed risk assessment reports that identify hazards associated with contractors' activities and the organization's operations. These assessments should evaluate potential impacts on safety and outline controls implemented to mitigate identified risks effectively.

4. **Contractual Agreements:** Inspect contracts with contractors that explicitly include occupational health and safety clauses, outlining safety requirements and compliance expectations. This documentation reinforces the organization's commitment to ensuring that contractors adhere to established safety protocols.

5. **Safety Performance Records:** Analyze historical safety performance data of contractors, including incident reports and safety audits. These records provide insight into contractors' past performance, helping to inform future procurement decisions and ensuring alignment with the organization's safety standards.

6. **Communication Records:** Review records of communications between the organization and contractors regarding safety expectations and hazard identification. Effective communication is vital for ensuring that contractors are aware of the organization's safety policies and can operate safely on-site.

7. **Training Records:** Examine documentation showing that contractors' workers have received appropriate safety training relevant to their tasks. Proper training ensures that all personnel understand potential hazards and know how to mitigate risks associated with their work activities.

8. **Safety Procedures and Policies:** Assess the organization's safety policies and procedures that contractors must follow during their operations. These documents should clearly outline expectations for safe practices, emergency protocols, and compliance with legal and regulatory requirements.

9. **Incident and Accident Reports:** Investigate reports of any incidents or accidents involving contractors, focusing on investigations and corrective actions taken. These reports are crucial for identifying trends, learning from mistakes, and improving safety practices within the organization.

10. **Audit Reports:** Review internal and external audit reports evaluating contractor compliance with the organization's occupational health and safety management system. These audits help identify gaps in safety practices and inform corrective actions necessary for continuous improvement.

4. OBJECTIVE EVIDENCES:

1. **Contractor Selection Criteria Document:** The Contractor Selection Criteria Document ensures that only qualified contractors are chosen by evaluating their safety performance, including safety management systems, training records, incident history, and adherence to safety standards. This helps mitigate risks and ensures a safe working environment verified. Example: Document No. DOC-2024-001, Revision Date: 2024-05-15, Criteria include: Safety Record (minimum incident rate of 0.5), Training Certification required.

2. **Procurement Process Records:** Procurement process documentation outlines the integration of OH&S criteria into contractor selection by specifying safety performance requirements, training standards, and incident history. This ensures contractors meet safety expectations, reducing risks and promoting a safe working environment throughout the project reviewed. Example: Procurement Record No. PR-2024-045, Date of Issue: 2024-06-01, Reviewed by: John Smith, Safety Manager.

3. **Risk Assessment Report:** Completed risk assessment reports identify hazards related to contractors' activities by evaluating potential risks, such as exposure to harmful substances or machinery hazards. These reports help implement safety measures, ensuring a safer work environment and compliance with occupational health and safety standards evidence. Example: Risk Assessment Report No. RA-2024-078, Date: 2024-06-10, Conducted by: Jane Doe, Safety Officer.

4. **Contractual Agreement with OH&S Clauses:** The contract with contractors includes specific occupational health and safety clauses that outline safety expectations, protocols, and responsibilities. These clauses ensure compliance with safety standards, mitigate risks, and hold contractors accountable for maintaining a safe working environment throughout the project reviewed. Example: Contract No. CONTRACT-2024-007, Signed Date: 2024-06-20, Contractor: XYZ Construction Ltd.

5. **Safety Performance Records:** Historical safety performance data of contractors highlights their commitment to safety by showing past incident rates, adherence to safety protocols, and overall safety record. This data helps organizations assess the contractor's ability to maintain a safe working environment reviewed. Example: Safety Performance Report No. SPR-2024-003, Period: 2023 Q4, Contractor: ABC Services Inc., Incident Rate: 0.3.

6. **Communication Log:** Records of communications regarding safety expectations and hazard identification between the organization and contractors document discussions, safety protocols, and identified risks. These records ensure both parties are aligned on safety standards, responsibilities, and actions needed to mitigate potential hazards verified. Example: Communication Log No. CL-2024-002, Date: 2024-06-15, Discussed with: Mike Brown, Contractor Representative.

7. **Training Records for Contractors' Workers:** Documentation confirming that contractors' workers have received necessary safety training includes training certificates, course completion records, and attendance logs. This ensures that workers are adequately prepared to follow safety protocols and mitigate risks while performing their tasks on-site reviewed. Example: Training Record No. TR-2024-019, Training Date: 2024-06-25, Conducted by: Safety Training Solutions, Attendees: 15 workers from DEF Services.

8. **Incident Report:** Reports of incidents involving contractors detail safety violations or accidents, demonstrating compliance with safety protocols. These reports include corrective actions, preventive measures, and improvements implemented, ensuring on-going safety improvements and reducing the likelihood of future incidents on-site verified. Example: Incident Report No. IR-2024-005, Date: 2024-07-01, Incident Forklift accident, Contractor: GHI Logistics, Action Taken: Safety training conducted.

9. **Audit Report on Contractor Compliance:** An internal audit report evaluating contractor compliance with OH&S management systems assesses whether contractors adhere to safety protocols, regulations, and performance standards. It identifies non-compliance issues, recommends corrective actions, and ensures continuous improvement in safety practices on-site verified. Example: Audit Report No. AR-2024-034, Audit Date: 2024-07-10, Conducted by: Linda White, Findings: 3 non-conformities identified.

10. **Emergency Response Plan Document:** An emergency response plan includes provisions for contractors, outlining procedures for various emergencies, roles, and responsibilities. It ensures contractors are trained, equipped, and prepared to respond effectively to emergencies, minimizing risks and ensuring the safety of all personnel on-site evidence. Example: Emergency Plan Document No. ERP-2024-011, Effective Date: 2024-07-15, Reviewed by: Emily Green, Safety Coordinator.

5. INTERVIEW QUESTIONS:

1. Can you describe how your procurement process is structured to ensure coordination with contractors for identifying hazards associated with their activities?

2. What specific occupational health and safety criteria do you apply when selecting contractors, and how are these criteria documented?

3. How do you ensure that contractors are aware of the OH&S requirements and responsibilities that apply to their activities and operations?

4. Can you provide examples of how risks arising from contractors' activities have been assessed and controlled in recent projects?

5. What process do you follow to evaluate the safety performance of contractors before and after their engagement?

6. How do you communicate the identified hazards and associated risks to contractors and their workers prior to the commencement of work?

7. Can you show any records or documentation that demonstrates the identification and assessment of risks impacting your contractors' workers?

8. How do you monitor the compliance of contractors with the OH&S management system requirements during their operations?

9. What mechanisms are in place to address non-compliance by contractors regarding OH&S requirements, and can you provide examples of how this has been handled?

10. Can you describe how you involve contractors in the development of safety procedures and emergency response plans relevant to their operations?

11. What steps do you take to ensure that contractors' activities do not adversely impact other interested parties in the workplace?

12. How are OH&S performance metrics tracked and reported for contractors, and what actions are taken based on this data?

13. Can you provide evidence of training provided to contractors' workers regarding the OH&S requirements and procedures they need to follow?

14. How do you review and update the OH&S criteria used in the contractor selection process, and when was the last review conducted?

15. Can you share examples of lessons learned from previous contractor engagements that have led to improvements in your procurement and safety processes?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Procurement Process:** The organization has established a detailed procurement process that systematically engages with contractors. This ensures that all potential hazards associated with contractor operations are identified and mitigated before work begins, promoting a proactive safety culture.

2. **Clear Hazard Identification:** A robust framework for hazard identification is in place, allowing the organization to thoroughly evaluate risks linked to contractor activities. This proactive stance minimizes workplace incidents and enhances overall safety, demonstrating a commitment to risk management and worker protection.

3. **Risk Assessment Protocols:** The organization utilizes well-defined protocols for assessing OH&S risks from contractors' and internal operations. These protocols help ensure that any potential safety concerns are systematically evaluated and controlled, resulting in a safer environment for all stakeholders involved.

4. **Contractual OH&S Criteria:** Including specific occupational health and safety criteria within contractual documents showcases the organization's commitment to enforcing safety standards. This practice ensures that all contractors are fully aware of their OH&S responsibilities, enhancing accountability and compliance throughout the engagement.

5. **Engagement with Contractors:** The organization actively engages contractors in discussions regarding safety requirements, promoting a collaborative approach to OH&S. This engagement fosters a shared responsibility for safety, encouraging contractors to contribute to a safer working environment and improving overall performance.

6. **Training and Communication:** Evidence of comprehensive training programs for contractors and their workers highlights the organization's commitment to effective communication of OH&S policies. By enhancing safety awareness, these initiatives ensure that all personnel understand their roles in maintaining workplace safety.

7. **Monitoring and Compliance Measures:** The implementation of systematic monitoring mechanisms to assess contractor compliance with OH&S requirements reflects a strong dedication to safety oversight. These measures help identify non-compliance issues early, allowing for timely corrective actions to maintain high safety standards.

8. **Continuous Improvement Practices:** The organization's commitment to continuous improvement is evident through regular reviews of contractor safety performance. This proactive approach ensures that procurement processes are updated based on lessons learned, fostering an environment of on-going safety enhancement and organizational growth.

9. **Inclusive Safety Culture:** The organization promotes an inclusive safety culture where contractors are seen as vital partners in achieving OH&S goals. This collaborative mind-set encourages shared ownership of safety responsibilities, ultimately leading to improved safety outcomes and a healthier work environment.

10. **Documentation and Record-Keeping:** The organization maintains comprehensive documentation related to the procurement process, risk assessments, and contractor communications. This thorough record-keeping enhances accountability, supports effective audits, and ensures that safety practices are consistently followed, contributing to overall operational integrity.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Formal Coordination Process:** The absence of a structured coordination process between procurement and contractors can lead to inconsistent approaches in hazard identification and risk assessment. Implementing formal procedures ensures that all safety aspects are systematically addressed, reducing potential risks during contractor engagements.

2. **Insufficient Hazard Identification Training:** Without adequate training programs focused on hazard identification for procurement personnel and contractors, critical risks may be overlooked. Enhancing training initiatives fosters a thorough understanding of safety responsibilities, empowering all parties to recognize and address hazards effectively.

3. **Inadequate Risk Assessment Documentation:** Poor documentation of risk assessments can hinder accountability and traceability, making it challenging to ensure compliance with the OH&S management system. Improving documentation practices enhances clarity and allows for better tracking of identified risks and mitigation measures.

4. **Undefined Selection Criteria:** The lack of clear occupational health and safety criteria for contractor selection can result in hiring practices that overlook essential safety standards. Establishing well-defined criteria ensures that only qualified contractors who prioritize safety are engaged, enhancing overall workplace safety.

5. **Limited Contractor Engagement:** Opportunities for improved safety outcomes may be lost if contractors are not actively involved in safety discussions. Enhancing engagement fosters collaboration, allowing for shared insights and the development of effective strategies to mitigate identified risks.

6. **Weak Communication Channels:** Ineffective communication between the organization and contractors regarding OH&S requirements can lead to confusion and misinterpretations. Establishing clear communication channels ensures timely dissemination of critical safety information, enhancing overall awareness and compliance with safety protocols.

7. **Monitoring and Evaluation Gaps:** Without robust monitoring and evaluation processes, contractor compliance with OH&S requirements may go unchecked. Implementing regular compliance assessments ensures that safety standards are upheld and allows for timely corrective actions if issues arise.

8. **Lack of Performance Metrics:** The absence of key performance indicators related to contractor safety can hinder the organization's ability to measure safety performance effectively. Establishing measurable metrics enables better tracking of safety outcomes and facilitates continuous improvement initiatives.

9. **Inconsistent Application of Safety Criteria:** If occupational health and safety criteria are not consistently enforced across projects, this inconsistency can lead to varying safety standards and increased risks. Standardizing the application of these criteria enhances safety practices and ensures uniformity in contractor engagements.

10. **Limited Focus on Interested Parties:** Failing to consider the impact of contractors' activities on other interested parties may overlook critical safety concerns. Addressing the safety implications for all stakeholders, including visitors and nearby employees fosters a comprehensive approach to workplace safety.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Absence of Hazard Identification Process:** The organization lacks a formalized process for identifying hazards related to contractors' activities, which may lead to unrecognized risks. Implementing a structured hazard identification process is essential to proactively address potential safety concerns and ensure contractor compliance with safety standards.

   Example: There is no documented procedure or records, such as SOP-001, for hazard identification in procurement processes. This absence hinders the ability to systematically identify and manage risks associated with contractors' activities, compromising safety and compliance within the organization. FORM NO: XXX

2. **Inadequate Risk Assessment for Contractors:** The organization has not conducted sufficient risk assessments for contractor activities affecting its operations. This lack of assessment exposes the organization to potential hazards, jeopardizing safety, compliance, and operational efficiency. Conducting thorough risk evaluations is essential for mitigation.

   Example: Risk assessment reports for contractors engaged in critical tasks are either missing or incomplete. This gap in documentation poses a significant risk to safety and operational efficiency, as potential hazards remains unaddressed, highlighting the need for comprehensive assessments and proper record-keeping. FORM NO: XXX

3. **Lack of Contractor Training on OH&S Policies:** Contractors have not received training on the organization's OH&S policies and procedures, leaving them unprepared to follow safety protocols. This lack of training increases the risk of accidents, non-compliance, and inefficiencies, highlighting the need for structured safety education.

   Example: Training records do not include attendance or acknowledgment from contractors regarding OH&S training. This absence of documentation compromises accountability and verification of contractor training, potentially leading to safety risks and non-compliance with organizational health and safety requirements. FORM NO: XXX

4. **Undefined Occupational Health and Safety Criteria:** The organization has not defined clear OH&S criteria for selecting contractors, which may lead to the hiring of contractors who are not equipped to meet safety standards. Establishing specific safety requirements is essential to ensure a safe working environment.

   Example: Procurement documentation, such as Purchase Order 12345, lacks specific safety criteria for contractor evaluation. This omission risks selecting contractors who may

not meet necessary safety standards, potentially compromising workplace safety and compliance with the organization's health and safety policies. FORM NO: XXX

5. **No Communication of OH&S Requirements:** The organization does not effectively communicate OH&S requirements to contractors, leading to a lack of awareness and adherence to safety protocols. Clear communications of safety expectations is crucial to ensuring contractors follow necessary procedures and maintain a safe working environment.

   Example: Meeting minutes indicate that safety requirements were not discussed, highlighting a gap in communication. This lack of focus on safety during contractor meetings increases the risk of non-compliance, potentially leading to unsafe working conditions and missed opportunities for hazard identification. FORM NO: XXX

6. **Insufficient Monitoring of Contractor Compliance:** There are inadequate processes for monitoring contractors' compliance with OH&S requirements, which could lead to overlooked safety violations and increased risks. Establishing clear monitoring mechanisms is essential to ensure contractors consistently adhere to safety protocols and mitigate potential hazards.

   Example: Audit reports show that no follow-up assessments were conducted on contractor performance, indicating a lack of on-going monitoring. This absence of review could result in unresolved safety issues, non-compliance, and increased risks to the organization's overall safety standards. FORM NO: XXX

7. **Lack of Records on Contractor Performance Evaluations:** There are no documented evaluations of contractor performance regarding OH&S compliance, leaving a gap in assessing their adherence to safety standards. This absence of formal evaluations hinders the ability to identify issues, enforce corrective actions, and improve safety outcomes.

   Example: Performance review records for engaged contractors are absent or incomplete, which hinders the ability to assess their compliance with safety standards. Without comprehensive reviews, the organization risks overlooking performance issues, potentially compromising safety and operational efficiency. FORM NO: XXX

8. **Failure to Address Risks to Contractor Workers:** The organization has not assessed the risks that its operations pose to contractor workers, potentially exposing them to hazards. Conducting such assessments is crucial to identify and mitigate risks, ensuring the safety and well-being of all individuals involved.

   Example: Risk assessment reports do not include evaluations of risks to contractor personnel, leaving potential hazards unaddressed. This oversight exposes contractors to unmitigated risks, highlighting the need to incorporate their safety in risk assessments to ensure a safe working environment. FORM NO: XXX

9. **Inadequate Emergency Response Planning for Contractors:** Emergency response plans do not consider the presence of contractors on-site, potentially leaving them unaccounted for in emergency situations. Including contractors in these plans is essential to ensure their safety and preparedness during emergencies, protecting all personnel involved.
   Example: Emergency response documentation lacks provisions for contractor activities during emergencies, leaving gaps in safety protocols. Including contractor-specific actions and responsibilities in the emergency response plan is essential to ensure their safety and effective coordination during critical situations. FORM NO: XXX

10. **Non-compliance with Contractual OH&S Obligations:** Contractors are not adhering to OH&S obligations stated in contracts, compromising safety standards. This non-compliance exposes the organization to risks and potential liabilities, highlighting the need for better enforcement of safety requirements and consistent monitoring of contractor performance.

    Example: Compliance inspection reports indicate multiple violations of contractual safety requirements by contractors. These violations demonstrate a failure to adhere to established safety protocols, highlighting the need for stronger enforcement, corrective actions, and improved oversight to ensure compliance and mitigate risks. FORM NO: XXX

8 OPERATION

1. STANDARD REQUIREMENTS:

8.1.4.3 OUTSOURCING

The organization shall ensure that outsourced functions and processes are controlled. The organization shall ensure that its outsourcing arrangements are consistent with legal requirements and other requirements and with achieving the intended outcomes of the OH&S management system. The type and degree of control to be applied to these functions and processes shall be defined within the OH&S management system.

NOTE: Coordination with external providers can assist an organization to address any impact that outsourcing has on its OH&S performance.

2. EXPLAINATION:

1. **Control of Outsourced Functions and Processes:** Organizations must ensure that outsourced functions or processes are properly controlled. Although external parties may perform the work, the organization remains responsible for ensuring compliance with relevant safety standards and practices. This includes monitoring performance, conducting risk assessments, and enforcing safety protocols to mitigate potential hazards. By maintaining oversight, the organization can ensure that outsourced activities meet the required safety and compliance standards.

   Example: A manufacturing company outsourcing its waste disposal process to a third-party must ensure the waste management company complies with all legal requirements for hazardous waste disposal. The company must verify that safe practices are followed to prevent accidents, spills, or environmental harm. Regular audits, clear communication, and monitoring are essential to ensure the third party adheres to safety standards and effectively manages risks associated with hazardous waste disposal.

2. **Consistency with Legal and Other Requirements:** Outsourcing arrangements must comply with relevant laws, regulations, and OH&S requirements to avoid legal liabilities and ensure safety. The organization should ensure that external parties understand and follow these standards, protecting the health and safety of all personnel involved. Proper monitoring, clear communication, and regular compliance checks are essential to maintain adherence to safety practices, minimizing risks and ensuring a safe working environment for everyone.

   Example: If a construction company outsources scaffolding services, it must ensure the external provider complies with local safety regulations. This includes using appropriate materials, ensuring proper scaffolding design, and providing safety training for workers. The company must verify that the provider follows all safety protocols, conducts risk assessments, and maintains regular inspections to ensure the scaffolding setup is safe, minimizing risks to workers and site personnel.

3. **Achieving Intended Outcomes of the OH&S Management System:** Outsourced functions must align with the organization's OH&S management system objectives and outcomes. This ensures that the quality and safety standards of outsourced work meet the organization's OH&S goals. The external parties should be required to adhere to the same safety protocols, risk assessments, and compliance measures as internal operations, ensuring a consistent approach to health and safety across all activities and preventing any discrepancies or risks.

   Example: A healthcare facility outsourcing cleaning services must ensure the cleaning company follows strict hygiene protocols to minimize the risk of infection. The external provider should use appropriate cleaning materials, provide staff with necessary training, and adhere to safety guidelines. This ensures the safety and well-being of patients and staff, aligning with the healthcare facility's OH&S objectives by maintaining a clean, safe, and infection-free environment.

4. **Defined Control Measures:** The organization must define the type and degree of control over outsourced functions within its OH&S management system. This includes specifying how the organization will monitor and manage the performance of external providers to ensure compliance with safety standards. The organization should establish clear expectations, conduct regular assessments, and implement corrective actions as necessary to ensure outsourced processes align with its overall safety goals and requirements.

   Example: An organization may conduct regular audits of an outsourced logistics provider to ensure compliance with safety standards. These audits could include checks on vehicle maintenance, driver safety training, and adherence to transportation regulations. By monitoring the provider's operations, the organization ensures that safety protocols are followed, reducing risks to workers and the public, and aligning the provider's activities with the organization's OH&S management system and objectives.

5. **Coordination with External Providers:** The clause emphasizes the need for coordination with external providers to address the impact of outsourcing on OH&S performance. Collaboration allows the organization to identify potential risks associated with outsourced activities and implement mitigation measures. By working together, both parties can ensure that safety standards are met, compliance is maintained, and risks are minimized, ultimately contributing to the organization's overall health and safety objectives.

   Example: A company outsourcing equipment maintenance can establish regular communication channels with the service provider to ensure safety. This includes sharing safety data, incident reports, and conducting joint training sessions. By fostering collaboration, both parties stay informed about potential hazards, safety protocols, and best practices, ensuring that the outsourced maintenance activities are conducted in line with the company's OH&S standards and contributing to a safer working environment.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Outsourcing Policy:** The outsourcing policy outlines the organization's approach to outsourcing, including selection criteria for external providers, procedures for establishing oversight, and strategies for maintaining compliance with health and safety standards throughout the outsourcing process.

2. **Outsourcing Agreements/Contracts:** Contracts with external providers should clearly define roles, responsibilities, safety requirements, and compliance obligations. These agreements ensure that both parties understand expectations and are accountable for meeting legal and safety standards relevant to the outsourced functions.

3. **Legal and Regulatory Compliance Records:** Records demonstrating compliance with applicable laws and regulations related to outsourced activities are critical. These documents may include permits, licenses, and safety certifications that validate the external provider's ability to perform the required functions safely and legally.

4. **Risk Assessments:** Risk assessments should identify potential hazards associated with outsourced functions, evaluating their likelihood and impact. Documentation of these assessments informs decision-making, ensuring that the organization can implement appropriate controls to mitigate identified risks effectively.

5. **Control Measures and Procedures:** Written procedures should detail the specific control measures in place to monitor and manage outsourced activities. This includes guidelines for inspections, performance evaluations, and safety practices to ensure the external provider aligns with the organization's OH&S management system.

6. **Performance Metrics:** Performance metrics or Key Performance Indicators (KPIs) help evaluate the effectiveness of outsourced processes. These metrics may include safety incident rates, compliance with contractual obligations, and overall service quality, allowing organizations to assess provider performance against established standards.

7. **Audit and Inspection Reports:** Reports from internal or external audits of outsourced providers should include findings, corrective actions, and follow-up activities. These documents provide insight into compliance levels, highlighting areas for improvement and ensuring continuous alignment with safety expectations.

8. **Training Records:** Documentation of training provided to both internal staff and external providers is essential. Records should include training content, dates, participant lists, and evaluations to demonstrate the organization's commitment to ensuring that personnel understand safety protocols and compliance requirements.

9. **Communication Records:** Evidence of effective communication with external providers, such as meeting minutes and incident reports, ensures transparency and facilitates collaboration. These records help maintain alignment on safety expectations and allow for the timely sharing of critical information regarding performance.

10. **Incident Reports:** Records of incidents or accidents related to outsourced activities should detail the circumstances, investigations, root causes, and corrective actions taken. This documentation is vital for learning and preventing future occurrences while also demonstrating a commitment to continuous improvement.

4. OBJECTIVE EVIDENCES:

1. **Outsourcing Policy Document:** A formal document that outlines the organization's procedures for selecting, managing, and evaluating external providers, with a focus on ensuring safety compliance and performance. It includes criteria for assessment, monitoring, and regular evaluation to maintain safety standards verified. Example: Outsourcing Policy Document No. OP-2024-01, issued on 2024-05-15, reviewed by John Doe, OH&S Manager.

2. **Outsourcing Agreement/Contract:** A signed contract outlining the roles and responsibilities of both the organization and the external provider, ensuring compliance with OH&S standards. It specifies safety obligations, performance expectations, and legal requirements to safeguard both parties' adherence to safety protocols evidence. Example: Contract No. C-45001/2024, effective from 2024-06-01, with ABC Waste Management Ltd.

3. **Legal Compliance Records:** Documentation that shows the external provider's compliance with relevant local laws and regulations, ensuring the implementation of safe practices. This includes certificates, licenses, safety audits, and reports confirming that the provider adheres to legal and safety requirements reviewed. Example: Compliance Certificate No. CC-12345, issued on 2024-07-10 for ABC Waste Management Ltd.

4. **Risk Assessment Report:** A formal assessment that identifies potential risks associated with outsourcing activities, including safety, operational, and compliance risks. It outlines necessary controls and mitigation measures to address these risks, ensuring the outsourced activities align with the organization's safety standards reviewed. Example: Risk Assessment Report No. RA-2024-02, dated 2024-04-20, prepared by Jane Smith, Safety Officer.

5. **Performance Metrics Report:** Regular reports that evaluate the safety and operational performance of outsourced providers, ensuring their on-going compliance with safety standards. These reports include assessments of safety practices, incident tracking, and performance metrics to maintain consistent adherence to safety protocols evidence. Example: Metrics Report No. PMR-2024-08, for July 2024, indicating a safety incident rate of 0.02 per 1000 deliveries.

6. **Audit Report of External Provider:** An audit conducted on an external provider to assess their compliance with the organization's safety standards and legal requirements. This audit reviews safety practices, documentation, and procedures to ensure alignment with regulatory and organizational safety expectations verified. Example: Audit Report No. AR-2024-03, conducted on 2024-08-15, with findings summarized by Mark Johnson, Lead Auditor.

7. **Training Records for External Provider Personnel:** Documentation verifying that personnel from the outsourced provider have received required training related to safety and operational standards. This includes training records, certifications, and acknowledgment forms confirming that employees are equipped to meet safety and operational requirements reviewed. Example: Training Record No. TR-2024-09 dated 2024-07-25, indicating that 15 employees completed the training.

8. **Incident Report:** A report detailing accidents, injuries, or safety incidents involving an outsourced provider, include investigation results, root cause analysis, and corrective actions taken. This report ensures transparency and supports continuous improvement in safety practices and compliance reviewed. Example: Incident Report No. IR-2024-05, dated 2024-09-12, documenting a slip and fall accident involving outsourced cleaning staff.

9. **Communication Records with External Provider:** Documentation of meetings or communications with external providers discussing safety concerns, performance evaluations, and risk mitigation strategies. This includes meeting minutes, emails, and action plans, ensuring that both parties are aligned on safety expectations and necessary improvements verified. Example: Minutes of Coordination Meeting No. MCM-2024-06, held on 2024-08-01, attended by John Doe (Company) and Sarah Lee (Provider).

10. **Change Management Records:** Documents detailing changes made to outsourced services, including assessments of how these changes may affect safety and operational performance. These records ensure that any modifications are evaluated for their potential impact on compliance with safety standards and operational efficiency reviewed. Example: Change Management Document No. CMD-2024-04 dated 2024-09-15, outlining the transition of logistics provider from XYZ Logistics to ABC Logistics.

5. INTERVIEW QUESTIONS:

1. How does the organization define and document its outsourcing policy in relation to occupational health and safety (OH&S) management?
2. Can you provide examples of outsourced functions or processes and how they are monitored for compliance with legal and OH&S requirements?
3. What criteria does the organization use to select external providers, and how do you ensure they meet safety and compliance standards?
4. How does the organization ensure that its outsourcing arrangements are consistent with its OH&S management objectives and intended outcomes?
5. What specific controls are in place to manage the risks associated with outsourced activities, and how are these controls documented?
6. Can you describe the process for conducting risk assessments related to outsourced functions and how findings are communicated to relevant parties?
7. How frequently does the organization review the performance of outsourced providers, and what metrics or KPIs are used to assess their safety performance?
8. What training and competency requirements are established for personnel from outsourced providers, and how is compliance with these requirements verified?
9. Can you provide documentation of any incidents or non-conformities related to outsourced activities, along with the corrective actions taken?
10. How does the organization communicate safety expectations and performance requirements to external providers?
11. What processes are in place for coordinating with external providers to address any impacts that outsourcing may have on OH&S performance?

12. How does the organization ensure that changes to outsourced services are properly assessed for OH&S implications before implementation?
13. Can you show records of audits or inspections conducted on outsourced functions, and what were the outcomes of those assessments?
14. How does the organization document and manage changes to its outsourcing arrangements, particularly regarding safety requirements?
15. In what ways does the organization promote continuous improvement in its outsourcing arrangements to enhance OH&S performance?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Outsourcing Policy:** The organization has established a detailed outsourcing policy that delineates specific criteria for selecting external providers. This policy ensures alignment with occupational health and safety (OH&S) management objectives, demonstrating a proactive approach to risk management and safety assurance.

2. **Risk Management Integration:** By integrating risk management practices into outsourcing arrangements, the organization systematically identifies potential hazards associated with outsourced functions. This proactive stance enables the implementation of effective controls, ultimately reducing risks and enhancing the overall safety of operations.

3. **Legal Compliance Assurance:** The organization actively monitors and reviews outsourcing arrangements to ensure adherence to applicable health and safety regulations. This commitment to legal compliance reflects a robust governance structure, safeguarding both the organization and its external providers against potential legal repercussions.

4. **Performance Monitoring Metrics:** The development of performance monitoring metrics for outsourced functions showcases the organization's dedication to evaluating safety performance. These metrics facilitate on-going assessments, enabling timely identification of areas needing improvement, thereby promoting a culture of accountability and continuous enhancement.

5. **Effective Training Programs:** The organization invests in comprehensive training programs for both internal personnel and external providers, ensuring that everyone is well-versed in safety protocols and compliance requirements. This approach fosters a shared understanding of responsibilities, enhancing overall safety culture across outsourced activities.

6. **Regular Audits and Inspections:** Conducting regular audits and inspections of outsourced providers reflects the organization's diligence in maintaining safety standards. By identifying and addressing non-conformities promptly, the organization reinforces its commitment to a safe working environment and ensures compliance with OH&S policies.

7. **Clear Communication Channels:** The establishment of clear communication channels with external providers facilitates transparency and collaboration in addressing OH&S performance issues. This open dialogue ensures alignment on safety expectations, fostering a culture of mutual respect and shared responsibility for maintaining safe operations.

8. **Continuous Improvement Initiatives:** The organization actively promotes a culture of continuous improvement in its outsourcing practices. Regular reviews and updates of procedures ensure that safety performance is consistently enhanced, demonstrating a commitment to adapt and evolve in response to changing safety landscapes.

9. **Incident Reporting and Management:** Implementing an effective incident reporting and management system allows the organization to track and analyze incidents related to outsourced functions. This systematic approach enables thorough investigations, driving the implementation of corrective actions that prevent future occurrences and enhance safety.
10. **Stakeholder Involvement:** Involving relevant stakeholders in the outsourcing process ensures that diverse perspectives are considered in decision-making. This collaborative approach fosters a shared understanding of safety responsibilities and expectations, ultimately leading to more effective management of outsourced functions and improved OH&S outcomes.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Documented Procedures:** The organization may not have comprehensive documented procedures for controlling outsourced functions. This absence can lead to inconsistent application of safety measures, increasing the risk of non-compliance with OH&S management standards and compromising overall safety performance.

2. **Inadequate Risk Assessments:** Insufficient risk assessments for outsourced activities could result in overlooking specific hazards unique to external providers. This gap may expose the organization to unforeseen risks, undermining the effectiveness of the OH&S management system and potentially leading to accidents or incidents.

3. **Weak Performance Metrics:** The absence of clear performance metrics to evaluate the safety performance of external providers can hinder effective monitoring and oversight. Without quantifiable data, it becomes challenging to identify areas needing improvement or assess compliance with established safety standards.

4. **Limited Provider Evaluation Criteria:** Inadequate criteria for evaluating external providers may lead to selecting unsuitable partners, increasing the risk of safety breaches. A comprehensive evaluation process is essential to ensure that providers meet the organization's safety and compliance standards, safeguarding overall operations.

5. **Insufficient Training for External Providers:** Inadequate training programs for external providers can result in a lack of understanding of the organization's safety protocols and compliance requirements. This gap may compromise safety performance, as providers might not adhere to necessary safety measures or best practices.

6. **Inconsistent Communication Processes:** The absence of effective communication processes with external providers can lead to misunderstandings regarding safety expectations and responsibilities. Establishing clear channels for communication is vital for ensuring alignment on OH&S objectives and enhancing collaboration in safety management.

7. **Reactive Incident Management:** Relying primarily on reactive incident management can hinder continuous improvement efforts within the OH&S management system. A proactive approach, focusing on identifying root causes and implementing preventive measures, is essential for fostering a culture of safety and minimizing future incidents.

8. **Poor Monitoring of Changes:** Inadequate procedures for monitoring and evaluating the impact of changes in outsourcing arrangements can lead to unmanaged risks. Continuous assessment is necessary to ensure that adjustments do not negatively affect safety performance and compliance with OH&S requirements.

9. **Insufficient Stakeholder Involvement:** Not actively involving relevant stakeholders in the outsourcing process can limit effective decision-making. Engaging stakeholders ensures diverse perspectives are considered, enhancing the identification of potential safety issues and promoting a collaborative approach to managing outsourced functions.

10. **Limited Documentation of Outsourcing Agreements:** A lack of detailed documentation regarding outsourcing agreements can hinder enforcement of safety standards. Clear documentation is essential for specifying OH&S requirements, responsibilities, and expectations, facilitating accountability and ensuring compliance from external providers.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Defined Control Measures:** The organization has not defined specific control measures for outsourced functions, leading to potential gaps in monitoring and managing safety compliance. This lack of oversight may result in inadequate safety practices, compromising both the organization's and provider's safety standards.

   Example: The organization lacks documented procedures for managing outsourced activities, resulting in inconsistent oversight and potential safety risks. Without clear guidelines, there is no structured approach to ensuring that external providers meet safety and operational performance expectations. FORM NO: XXX

2. **Inadequate Risk Assessment for Outsourced Processes:** The organization has not conducted risk assessments specific to outsourced functions, leaving potential hazards unidentified. This oversight may expose both the organization and external providers to risks, compromising safety standards and operational effectiveness in outsourced activities.

   Example: The risk assessment report for outsourced processes is either missing or incomplete. This gap in documentation prevents proper evaluation of potential hazards associated with outsourced activities, leaving safety risks unaddressed and non-compliance with safety standards possible. FORM NO: XXX

3. **Non-compliance with Legal Requirements:** Outsourcing agreements fail to meet legal and regulatory requirements, potentially exposing the organization to legal liabilities and compromising compliance with safety standards. This lack of adherence could result in operational risks and impact the overall safety performance.

Example: There is no documentation showing that legal requirements, such as safety standards, were addressed in outsourcing contracts. This gap could lead to non-compliance with regulations, increasing the risk of safety violations and legal consequences for the organization. FORM NO: XXX

4. **Lack of Monitoring and Evaluation of Providers:** The organization lacks a process to monitor external providers' performance regarding OH&S compliance. Without proper oversight, the organization risks potential safety violations and non-compliance, this could compromise the safety of workers and lead to legal and operational issues.

   Example: There are no performance evaluation reports for external providers, indicating a lack of assessment regarding their compliance with safety and operational standards. This oversight prevents the organization from identifying areas for improvement and addressing potential non-compliance issues effectively. FORM NO: XXX

5. **Insufficient Training of External Providers:** External providers have not been adequately trained on the organization's OH&S requirements, leading to potential gaps in safety practices. This lack of training increases the risk of safety incidents and non-compliance with safety protocols, compromising overall safety standards.

   Example: Training records show that external providers have not participated in mandatory OH&S training sessions, leaving them unprepared to adhere to safety protocols. This gap in training could result in non-compliance, increased safety risks, and potential legal consequences for the organization. FORM NO: XXX

6. **Inadequate Communication Processes:** The organization has not set up clear communication channels with external providers to discuss safety expectations. This lack of structured communication could lead to misunderstandings, non-compliance with safety standards, and increased risks to personnel and operations.

   Example: Meeting minutes from discussions with external providers show a lack of focus on OH&S topics. This indicates that safety concerns are not being properly addressed which could lead to non-compliance with safety standards and increased operational risks. FORM NO: XXX

7. **Failure to Document Outsourcing Agreements:** Outsourcing agreements do not include specific documentation outlining safety and compliance requirements. This absence can lead to unclear expectations for external providers, potentially resulting in non-compliance with occupational health and safety standards and increased risks to the organization.

   Example: Contracts with external providers lack provisions or obligations related to occupational health and safety (OH&S). This oversight may result in inadequate safety practices, non-compliance with legal requirements, and increased risks to both the organization and external personnel. FORM NO: XXX

8. **Reactive Approach to Incident Management:** The organization tends to focus on reactive measures instead of proactive approaches when managing incidents related to outsourced activities. This leads to delayed responses and missed opportunities for preventing incidents, affecting overall safety and operational efficiency.

   Example: Incident reports lack a thorough root cause analysis, failing to identify underlying issues contributing to the incidents. This omission hinders the organization's ability to implement corrective actions and prevent similar incidents in the future, compromising safety and performance. FORM NO: XXX

9. **Infrequent Review of Outsourced Functions:** The organization does not conduct regular reviews to assess the impact of outsourcing arrangements on OH&S performance. This lack of evaluation prevents the identification of potential safety risks, compliance issues, and opportunities for improving safety standards in outsourced functions.

   Example: There are no scheduled review meetings or reports evaluating the impact of outsourcing on OH&S performance. This absence of regular assessments hinders the organization's ability to identify safety risks, ensure compliance, and make improvements to outsourced activities. FORM NO: XXX

10. **Limited Stakeholder Involvement:** Relevant stakeholders are not actively involved in the decision-making process for outsourcing. This lack of involvement can result in overlooking important safety, compliance, and operational concerns, potentially compromising the organization's OH&S objectives and overall performance.

    Example: Documentation indicates a lack of input from key stakeholders in outsourcing arrangements, which can lead to gaps in safety, compliance, and operational planning. This omission undermines effective decision-making and the alignment of outsourced activities with organizational OH&S goals. FORM NO: XXX

8 OPERATION

1. STANDARD REQUIREMENTS:

8.2 EMERGENCY PREPAREDNESS AND RESPONSE

The organization shall establish, implement and maintain a process (es) needed to prepare for and respond to potential emergency situations, as identified in 6.1.2.1, including:

a) Establishing a planned response to emergency situations, including the provision of first aid;
b) Providing training for the planned response;
c) Periodically testing and exercising the planned response capability;
d) Evaluating performance and, as necessary, revising the planned response, including after testing and, in particular, after the occurrence of emergency situations;
e) Communicating and providing relevant information to all workers on their duties and responsibilities;
f) Communicating relevant information to contractors, visitors, emergency response services, government authorities and, as appropriate, the local community;
g) Taking into account the needs and capabilities of all relevant interested parties and ensuring their involvement, as appropriate, in the development of the planned response.

The organization shall maintain and retain documented information on the process (es) and on the plans for responding to potential emergency situations.

2. EXPLAINATION:

1. **Establishing a Planned Response to Emergency Situations (including First Aid):** Organizations must create a structured emergency response plan that outlines actions for events like fires, chemical spills, medical emergencies, and natural disasters. The plan should detail specific response steps, identify required resources, and define individual roles and responsibilities. This ensures a coordinated and effective response to emergencies, minimizing risks and ensuring safety for employees, visitors, and the environment during critical incidents.

   Example: A manufacturing company identifies a potential chemical spill as an emergency and develops a response plan. The plan includes immediate evacuation procedures, clearly marked evacuation routes, the use of spill containment kits, and the establishment of a first aid station on-site. Employees are trained on these protocols to ensure swift and effective action, minimizing health risks, environmental impact, and ensuring a safe and coordinated response during a chemical spill emergency.

2. **Providing Training for the Planned Response:** All employees must undergo training on the emergency response plan to ensure they are familiar with their roles and the correct actions to take during an emergency. This training covers evacuation procedures, use of safety equipment, and communication protocols. Regular drills are conducted to reinforce the plan's effectiveness. Proper training helps minimize confusion, ensures quick and coordinated responses, and enhances workplace safety during emergencies such as fires, spills, or medical incidents.

   Example: The manufacturing company holds regular training sessions to ensure employees are familiar with the emergency response plan. This includes hands-on training for using

fire extinguishers, performing first aid, and operating spill containment equipment. Employees participate in simulated emergency drills to practice these skills, reinforcing the response procedures. These sessions ensure that all employees are prepared to act quickly and effectively in an emergency, enhancing workplace safety and reducing potential risks.

3. **Periodically testing and exercising the Planned Response Capability:** Regular testing and exercises are crucial for ensuring the effectiveness of the emergency response plan. Drills and simulations allow employees to practice their roles in real-life scenarios, improving their readiness and response time during an actual emergency. These exercises help identify any gaps in the plan and provide an opportunity for refinement, ensuring that employees are well-prepared to handle emergencies safely and efficiently.

   Example: The company holds quarterly fire drills, allowing employees to practice evacuating the building efficiently. After each drill, the organization conducts a review to assess the effectiveness of the response. This post-drill evaluation helps identify any weaknesses or areas for improvement, ensuring that the emergency response plan is continuously refined. The goal is to enhance preparedness and ensure employees are well-prepared for any fire-related emergency situations.

4. **Evaluating Performance and Revising the Planned Response:** After testing the response plan or experiencing an actual emergency, the organization should conduct a thorough evaluation. This process involves analysing the actions that were effective and identifying areas that need improvement. The feedback gathered helps make necessary revisions to enhance the emergency response plan, ensuring it is more efficient and better prepared for future incidents. Continuous evaluation ensures on-going safety and readiness for emergencies.

   Example: After the fire drill, the organization holds a debriefing session with all participants to review the evacuation process. It is discovered that some employees were unclear about their roles. In response, the organization revises the emergency response plan, incorporating clearer instructions and designating specific leaders for each area of the facility. These changes aim to improve coordination and ensure a more efficient evacuation in future drills or real emergencies.

5. **Communicating and Providing Relevant Information to All Workers:** Communicating the emergency response plan and any updates to all employees are essential for ensuring that everyone understands their roles and responsibilities during an emergency. This can be done through regular training sessions, updated handbooks, or notice boards. Ensuring that all employees are informed helps promote a coordinated, efficient response, minimizing confusion and enhancing overall safety during emergencies. Clear communication is key to effective emergency management.

   Example: The Company organizes regular safety meetings to review and discuss the emergency response plan with employees. They distribute written materials and post clear, concise posters outlining key aspects of the plan, such as emergency contact numbers, evacuation routes, and safety procedures. This ensures that employees are consistently reminded of their roles and responsibilities, reinforcing the importance of being prepared and well-informed in case of an emergency.

6. **Communicating Relevant Information to Contractors, Visitors, and Emergency Services:** The organization must ensure that emergency procedures are communicated not just to employees but also to contractors, visitors, and emergency services. This can be achieved by providing clear signage, accessible documents, and briefings on emergency protocols, ensuring everyone on-site knows how to respond in case of an emergency. This proactive approach enhances safety, fosters coordination, and ensures a swift, organized response during critical situations.

   Example: The Company incorporates emergency response information into its contractor orientation, ensuring that contractors are familiar with procedures before starting work. Visitors receive emergency response pamphlets at the reception desk, and local emergency services are provided with a copy of the emergency plan. This comprehensive approach ensures that all individuals on-site are aware of emergency procedures, promoting a safer environment and enabling quick, coordinated responses in case of an emergency.

7. **Taking into Account the Needs and Capabilities of All Relevant Interested Parties:** When developing the emergency response plan, the organization must consider the needs of all individuals, including employees with disabilities. This involves consulting with employees to understand specific requirements, such as accessible evacuation routes and assistance during emergencies. By involving relevant parties in the planning process, the organization ensures that the plan is inclusive and that all employees are adequately supported during an emergency situation.

   Example: The Company conducts a risk assessment involving employees with disabilities to ensure the evacuation plan accommodates everyone. This includes identifying potential barriers and establishing designated assistance roles for individuals who may require help. By considering the specific needs of all employees, the organization ensures a safe and inclusive evacuation process that supports everyone during an emergency, promoting equal access to safety procedures.

8. **Maintaining Documented Information on the Process and Plans:** The organization must maintain comprehensive records of emergency response processes, including details of training sessions, participant attendance, and performance evaluations. It should also document any revisions made to the emergency plans after drills or real incidents, ensuring that all updates are traceable. These records are essential for future reference, demonstrating the organization's commitment to safety and providing a foundation for continuous improvement in emergency preparedness.

   Example: The Company maintains a digital repository containing the emergency response plan, training records for all employees, minutes from debriefing sessions, and documentation of any revisions to the plan. This ensures that all critical information is easily accessible, up-to-date, and can be referenced during audits or reviews. The repository also helps track the effectiveness of the plan and supports continuous improvement efforts by providing a clear record of actions taken.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Emergency Response Plan:** The emergency response plan outlines procedures for various emergency scenarios, detailing designated responsibilities, evacuation routes, communication protocols, and resource allocation. This document should be regularly reviewed and updated to ensure its relevance and effectiveness in real emergencies.

2. **Training Records:** Training records document all employee training sessions on emergency response protocols, specifying the content covered, participant names, dates, and trainer details. These records ensure that all staff are knowledgeable about their roles and responsibilities during emergencies.

3. **Drill and Exercise Records:** Drill and exercise records include detailed reports of all conducted emergency simulations, highlighting objectives, participation levels, outcomes, and areas for improvement. These records help organizations assess preparedness and identify training needs to enhance response capabilities.

4. **Performance Evaluation Reports:** Performance evaluation reports analyze the effectiveness of emergency response actions after drills or real incidents. These documents summarize observations, metrics, feedback, and recommendations for improvements, providing insight into the organization's preparedness and potential gaps in the response plan.

5. **Communication Materials:** Communication materials consist of newsletters, bulletins, posters, and emails that inform employees about emergency procedures, updates, and individual responsibilities. These materials are essential for ensuring all personnel are well-informed and ready to act during emergencies.

6. **Stakeholder Involvement Records:** Records of stakeholder involvement document the participation of employees, contractors, and local emergency services in developing or revising the emergency response plan. This involvement ensures that diverse perspectives are considered, promoting a more comprehensive and effective response strategy.

7. **Emergency Contact Information:** Up-to-date emergency contact lists provide essential information for internal emergency team members, external emergency services, and local authorities. This documentation facilitates quick communication and coordination during emergencies, enhancing the organization’s overall response capabilities.

8. **Risk Assessment Reports:** Risk assessment reports identify potential emergency scenarios relevant to the organization’s operations, evaluating the likelihood and potential impact of each risk. These reports guide the development of response plans, ensuring they address the most significant threats effectively.

9. **Equipment Maintenance Records:** Maintenance records for emergency response equipment, such as fire extinguishers and first aid kits, document regular inspections and servicing. Maintaining this equipment in optimal condition is crucial for ensuring readiness during emergencies and minimizing risks to employees.

10. **First Aid Records:** First aid records track all training sessions, incidents requiring medical attention, and supplies on hand. These records ensure compliance with health and safety regulations and verify that first responders are adequately prepared to assist during emergencies.

4. OBJECTIVE EVIDENCES

1. **Emergency Response Plan Document:** This document outlines procedures for different emergency scenarios, detailing the roles and responsibilities of individuals involved. It also includes communication protocols to ensure effective coordination during emergencies, ensuring quick response and clear instructions for all parties involved verified. Example: Emergency Response Plan Document No. ERP-2024-01 dated 2024-01-15.

2. **Training Attendance Records:** Attendance logs track that all personnel have completed emergency procedure training, recording key details such as training dates, topics covered, and participant names. This ensures compliance and provides a reference for verifying that staffs are properly trained for emergencies reviewed. Example: Training Attendance Record No. TR-2024-03 for "Emergency Response Training," held on 2024-03-10, with 25 participants, including names (e.g., John Doe, Employee ID: 12345).

3. **Drill Exercise Report:** Reports document the date and type of drill, list participant names, and summarize outcomes. They also highlight areas for improvement, providing valuable feedback for refining emergency response procedures and ensuring on-going effectiveness in real-life scenarios evidence. Example: Fire Drill Report No. FD-2024-02, conducted on 2024-04-05, with 30 participants, indicating a 90% successful evacuation rate.

4. **Performance Evaluation Report:** Evaluation reports summarize feedback from participants and observers, providing insights into the drill's effectiveness. They include recommendations for improvement, identifying weaknesses or gaps in the response process, and help refine the emergency response plan for better preparedness verified. Example: Emergency Response Performance Evaluation Report No. ERPE-2024-04, dated 2024-04-10, indicating a need for improved communication during evacuations.

5. **Risk Assessment Report:** Reports document identified risks, the methodologies used for risk assessments, and the proposed mitigation strategies. They highlight potential hazards, their impact, and the actions needed to minimize or eliminate risks, ensuring a comprehensive approach to safety and preparedness reviewed. Example: Risk Assessment Report No. RAR-2024-01, dated 2024-01-20, identifying chemical spills and fire hazards as high-risk areas.

6. **Emergency Contact List:** This document contains the names, roles, and contact details of internal emergency team members, as well as external emergency services such as fire departments, medical teams, and law enforcement, ensuring quick access to vital contacts during an emergency response reviewed. Example: Emergency Contact List No. ECL-2024-01, updated on 2024-02-15, listing John Smith (Fire Chief, Contact No: 555-1234) and Jane Doe (Safety Officer, Contact No: 555-5678).

7. **Corrective Action Records:** These records document issues identified during audits or drills, along with the corrective actions taken to address them. They provide a detailed account of areas needing improvement and the steps implemented to ensure better preparedness in future emergencies evidence. Example: Corrective Action Record No. CAR-2024-01, dated 2024-05-01, addressing evacuation route signage improvements.

8. **First Aid Training Certification:** These certifications verify that individuals have completed the necessary training to provide first aid during emergencies. They confirm that personnel are equipped with the skills and knowledge to effectively manage medical situations and assist in maintaining workplace safety evidence. Example: First Aid Training Certification No. FATC-2024-01, issued to Mark Taylor on 2024-03-15, valid until 2026-03-15.

9. **Maintenance Records for Emergency Equipment:** These records verify that essential emergency equipment, such as fire extinguishers and first aid kits, are regularly inspected, maintained, and replenished. They ensure that all equipment is in proper working condition and ready for use in case of emergencies verified. Example: Fire Extinguisher Maintenance Record No. FEMR-2024-01, dated 2024-04-01, indicating that all 15 extinguishers passed inspection.

10. **Audit Records:** These records summarize the findings from safety audits, detailing any non-compliance issues identified. They also document the corrective actions taken to address these issues and outline follow-up measures to ensure on-going compliance with safety standards and regulations evidence. Example: Internal Audit Report No. IAR-2024-01, conducted on 2024-02-10, identifying three minor non-conformities related to emergency training documentation.

5. INTERVIEW QUESTIONS:

1. Can you describe the process your organization has established for identifying potential emergency situations as outlined in your risk assessment?

2. What steps have been taken to establish a planned response to various emergency situations, including first aid provisions?

3. How does your organization provide training to employees regarding the planned emergency response, and can you show me the training records?

4. Could you provide examples of how the planned response capability has been periodically tested or exercised? What have been the outcomes of these drills?

5. After conducting emergency drills or experiencing actual emergencies, how does your organization evaluate the performance of the response plan? Can you share any evaluation reports?

6. How are the findings from performance evaluations incorporated into revisions of the emergency response plan? Can you give an example of a recent change made as a result?

7. What methods are used to communicate relevant emergency response information to all workers? How do you ensure they understand their duties and responsibilities?

8. Can you demonstrate how relevant information regarding emergency preparedness is communicated to contractors and visitors on-site?

9. What procedures are in place for sharing emergency response information with local emergency services, government authorities, and the community?

10. How does your organization consider the needs and capabilities of various interested parties when developing or revising the emergency response plan?

11. Can you provide documentation that shows the involvement of interested parties in the development of your emergency response procedures?

12. What documented information do you maintain regarding your emergency preparedness and response processes, and how is it managed?

13. How often is the emergency response plan reviewed and updated, and who is responsible for this process?

14. What specific first aid provisions are in place at your facility, and how are first aid resources maintained and accessible during an emergency?

15. Can you share any recent incidents or emergencies that occurred, and describe how your response plan was executed in those situations?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Emergency Planning:** The organization has developed a detailed emergency response plan encompassing various potential scenarios, including natural disasters and workplace accidents. This proactive approach not only enhances safety but also instills confidence among employees about their preparedness in emergency situations.

2. **Regular Training Programs:** Continuous training sessions on emergency response procedures ensure that employees are consistently updated on the latest protocols. This commitment to education fosters a culture of safety, empowering workers to respond swiftly and effectively when emergencies arise.

3. **Conducting Drills and Exercises:** The organization conducts regular drills to simulate emergency situations, allowing employees to practice their responses. These exercises reveal strengths and weaknesses in the plan, reinforcing the organization’s commitment to maintaining a high level of preparedness.

4. **Performance Evaluation Process:** After each drill or real emergency, the organization conducts thorough evaluations to assess the response's effectiveness. This systematic review process demonstrates a commitment to learning from experiences and adapting plans to improve future responses continually.

5. **Open Communication Channels:** The organization ensures that all workers are informed of their specific emergency duties and responsibilities through clear communication channels. This transparency helps eliminate confusion during emergencies, allowing for a coordinated and efficient response.

6. **Stakeholder Involvement:** Involving relevant interested parties, including employees and external stakeholders, in the development of the emergency response plan ensures diverse perspectives are considered. This collaborative approach enhances the plan's effectiveness and fosters a shared sense of responsibility for safety.

7. **Clear Documentation:** The organization maintains well-organized and accessible documentation related to emergency preparedness processes and response plans. This meticulous record-keeping supports accountability, ensuring that all personnel can easily reference the procedures when needed.

8. **Collaboration with External Services:** Strong relationships with external emergency response services and local authorities enhance the organization's readiness for emergencies. These collaborations ensure that vital support and resources are available during critical situations, improving overall safety for everyone involved.

9. **Focus on First Aid:** The organization clearly outlines first aid provisions and ensures that trained personnel are available to provide immediate assistance in emergencies. This focus on health and safety demonstrates a commitment to protecting employees and ensuring prompt medical attention when needed.

10. **Community Engagement:** The organization actively shares relevant emergency information with the local community, fostering a sense of trust and responsibility. This engagement not only enhances public safety but also strengthens relationships with local stakeholders, contributing to a positive community reputation.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Risk Identification:** Without a robust risk assessment process, the organization may fail to recognize potential emergencies, leading to unpreparedness. Implementing comprehensive risk identification methods can significantly enhance the effectiveness of emergency planning and ensure all scenarios are adequately addressed.

2. **Insufficient Emergency Response Plan:** A vague emergency response plan lacks actionable guidance for specific incidents, which can hinder effective responses. Enhancing the plan with detailed procedures tailored to various emergencies ensures employees understand their roles and actions during critical situations, improving overall safety.

3. **Inadequate First Aid Provisions:** If first aid resources and trained personnel are lacking, immediate medical assistance during emergencies may be compromised. Improving first aid provisions by ensuring accessible kits and training staff in first aid can significantly enhance workplace safety and response efficacy.

4. **Training Gaps:** Inconsistent or insufficient training on emergency response procedures can leave employees unprepared. Establishing regular, comprehensive training sessions ensures that all workers are familiar with protocols and equipped to react confidently during emergencies, fostering a culture of safety and preparedness.

5. **Infrequent Drills and Exercises:** Conducting emergency drills sporadically or neglecting them altogether limits preparedness. Establishing a regular schedule for these exercises reinforces training, allowing employees to practice their responses, identify weaknesses, and enhance their readiness to handle emergencies effectively when they occur.

6. **Poor Evaluation of Emergency Responses:** Without a formal evaluation process, lessons learned from drills or real incidents may be overlooked. Implementing a systematic review after each event fosters continuous improvement, allowing the organization to refine response strategies and enhance overall effectiveness in emergencies.

7. **Limited Communication Strategies:** Ineffective communication of emergency procedures and responsibilities can lead to confusion during crises. Strengthening communication methods—such as clear signage, regular briefings, and accessible documentation—ensures all employees are well-informed about their roles, facilitating a coordinated response.

8. **Inadequate Stakeholder Involvement:** Neglecting to include relevant stakeholders in developing the emergency response plan can result in a lack of diverse perspectives. Engaging employees, contractors, and community members ensures the plan addresses varied needs and enhances overall effectiveness and acceptance of the procedures.

9. **Documentation Deficiencies:** Poorly organized or incomplete documentation can hinder accountability and clarity regarding emergency processes. Improving documentation practices by maintaining comprehensive, accessible records ensures that all employees can reference procedures easily, promoting a culture of safety and preparedness throughout the organization.

10. **Insufficient Collaboration with External Services:** A lack of partnerships with local emergency services limits the organization's preparedness. Actively engaging with these services fosters strong relationships, enabling better coordination during emergencies, quicker response times, and improved safety for employees and the surrounding community.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Emergency Response Plan:** The organization has not developed or documented an emergency response plan to address potential emergencies. As a result, there are no clear procedures, roles, or communication protocols in place to ensure effective response during critical situations or incidents.

   Example: The Emergency Response Manual lacks documented procedures for various emergency situations. This absence prevents the organization from having clear guidelines, roles, and responsibilities to follow, potentially compromising the effectiveness of the response during critical emergencies or incidents. FORM NO: XXX

2. **Inadequate First Aid Provisions:** The organization lacks adequate first aid resources and trained personnel on-site, which compromises its ability to respond effectively in case of medical emergencies. Without proper equipment or personnel, the safety and well-being of employees may be at risk.

   Example: First aid kits are either missing or incomplete, with some lacking essential items. Records show that the supplies are outdated, compromising their effectiveness in emergencies. This situation poses a risk to employees' health and safety, as proper first aid may not be available. FORM NO: XXX

3. **Insufficient Training Records:** Employees have not received adequate training on emergency response procedures, leaving them unprepared to handle emergency situations effectively. The lack of training may result in confusion, delays, or improper actions during emergencies, potentially compromising safety and well-being.

   Example: Training records indicate that fewer than 50% of staff attended the scheduled emergency response training sessions for the year. This gap in participation suggests inadequate preparedness, potentially compromising the effectiveness of the emergency response plan and overall workplace safety. FORM NO: XXX

4. **No Periodic Testing of Response Capability:** The organization has not conducted any emergency drills or exercises to evaluate the effectiveness of the emergency response plan. This lack of practice undermines the ability to assess readiness, identify weaknesses, and ensure that employees can respond appropriately in an emergency.

   Example: There are no records of emergency drills conducted in the past year, despite the requirement for biannual testing. This lack of documentation indicates non-compliance with the established testing schedule and raises concerns about the organization's preparedness for emergencies. FORM NO: XXX

5. **Failure to Evaluate Response Performance:** The organization has not evaluated the performance of its emergency response plans after drills or real incidents. Without this assessment, the organization cannot identify areas for improvement, hindering its ability to enhance future responses and ensure safety and effectiveness.

   Example: No post-drill evaluation reports are available, and there is no documentation of performance reviews conducted after actual emergencies. This lack of evaluation prevents the organization from identifying weaknesses in its emergency response plans and making necessary improvements for future incidents. FORM NO: XXX

6. **Inadequate Communication of Duties:** Relevant information regarding emergency duties and responsibilities has not been communicated effectively to all workers. This lack of clear communication may result in confusion or delayed responses during emergencies, jeopardizing the safety of employees and the effectiveness of the response plan.

   Example: Employee surveys reveal that over 60% of workers are unclear about their specific roles during emergencies. This lack of clarity could lead to disorganized responses, increased risk, and inefficiency in emergency situations, highlighting the need for improved communication and training. FORM NO: XXX

7. **Poor Communication with External Parties:** The organization fails to communicate essential emergency information to contractors, visitors, and local authorities, which may hinder a coordinated response in case of an emergency. This lack of communication can lead to confusion, delays, and potential safety risks during critical situations.

   Example: There is no evidence that emergency contact lists have been shared with contractors or local emergency services, despite protocols requiring this. This oversight could delay response times and hinder effective coordination between the organization and external parties during an emergency. FORM NO: XXX

8. **Neglecting Stakeholder Involvement:** The organization has not included relevant interested parties in developing emergency response plans, missing the opportunity to incorporate their expertise and perspectives. This lack of involvement could lead to incomplete plans, misalignment with stakeholder needs, and reduced effectiveness during actual emergencies.

   Example: Meeting minutes indicate no discussions with employee representatives or local community stakeholders in the development of the response plan. This absence of input from key groups may lead to a plan that does not fully address the needs and concerns of those affected. FORM NO: XXX

9. **Documentation Deficiencies:** The organization lacks comprehensive documented information for the emergency preparedness process, which may lead to inconsistent or inadequate response strategies. Without clear documentation, there is a risk of confusion, uncoordinated actions, and a failure to meet regulatory and stakeholder expectations during emergencies.

   Example: Emergency response documentation is incomplete or poorly organized, creating challenges in accessing relevant procedures when needed. This disorganization could delay response times, hinder effective coordination, and increase the risk of errors, ultimately compromising the organization’s ability to manage emergencies efficiently. FORM NO: XXX

10. **Outdated Emergency Procedures:** Emergency response procedures have not been reviewed or updated to incorporate current practices or address changes in risks. This oversight may result in outdated protocols that are ineffective in responding to evolving threats, potentially jeopardizing the organization's ability to manage emergencies effectively.

    Example: The last revision of the emergency response plan dates back over three years, with no documented reviews or updates since then. This lack of periodic assessment could result in outdated procedures that fail to address current risks, potentially compromising emergency response effectiveness. FORM NO: XXX

9 PERFORMANCE EVALUATION

1. STANDARD REQUIREMENTS:

9.1 MONITORING, MEASUREMENT, ANALYSIS AND PERFORMANCE EVALUATION

9.1.1 GENERAL

The organization shall establish, implement and maintain a process(es) for monitoring, measurement, analysis and performance evaluation.

The organization shall determine:

a) what needs to be monitored and measured, including:

   1) The extent to which legal requirements and other requirements are fulfilled;
   2) Its activities and operations related to identified hazards, risks and opportunities;
   3) Progress towards achievement of the organization's OH&S objectives;
   4) Effectiveness of operational and other controls;

b) The methods for monitoring, measurement, analysis and performance evaluation, as applicable, to ensure valid results;
c) The criteria against which the organization will evaluate its OH&S performance;
d) When the monitoring and measuring shall be performed;
e) When the results from monitoring and measurement shall be analysed, evaluated and communicated.

The organization shall evaluate the OH&S performance and determine the effectiveness of the OH&S management system.

The organization shall ensure that monitoring and measuring equipment is calibrated or verified as applicable, and is used and maintained as appropriate.

NOTE: There can be legal requirements or other requirements (e.g. national or international standards) concerning the calibration or verification of monitoring and measuring equipment.

The organization shall retain appropriate documented information:

- As evidence of the results of monitoring, measurement, analysis and performance evaluation;
- On the maintenance, calibration or verification of measuring equipment.

2. EXPLAINATION:

1. **Establishing a Process for Monitoring and Measurement:** The organization must establish a structured process to consistently monitor and measure its Occupational Health and Safety (OH&S) performance. This process should include defining clear performance indicators, setting measurable objectives, regularly collecting and analysing data, and conducting periodic reviews. By implementing a robust monitoring system, the organization can identify areas for improvement, ensure compliance with regulations, and enhance overall workplace safety and employee well-being.

   Example: A manufacturing company can develop a process to track safety performance by incorporating regular workplace inspections, employee surveys, and an incident reporting system. Workplace inspections can identify hazards, employee surveys provide feedback on safety culture, and incident reporting ensures that any accidents or near-misses are

recorded and analyzed. This approach will help the company assess its safety performance, identify trends, and take proactive measures to improve workplace safety.

2. Determining What Needs to Be Monitored and Measured

a) **Legal and Other Requirements:** Organizations must regularly assess compliance with legal and other requirements related to Occupational Health and Safety (OH&S). This includes staying updated on applicable laws, regulations, and industry standards, and ensuring that all workplace practices align with these requirements. Regular audits, reviews, and gap analyses should be conducted to identify any non-compliance issues and implement corrective actions, ensuring the organization meets legal obligations and maintains a safe work environment.

Example: A construction firm can monitor compliance with local safety regulations regarding personal protective equipment (PPE) by regularly reviewing PPE usage records and conducting compliance audits. These audits will help identify any lapses in PPE usage, ensuring workers are adequately protected. By tracking usage patterns and addressing non-compliance, the firm can ensure adherence to safety standards, minimize risks, and maintain a safe working environment for all employees.

b) **Activities Related to Hazards, Risks, and Opportunities:** To effectively manage workplace hazards and risks, organizations must identify and monitor activities linked to these risks. This includes assessing tasks, processes, or environments that pose potential dangers, such as machinery operation or hazardous material handling. Regular monitoring, such as risk assessments, safety audits, and employee feedback, helps detect issues early, ensuring timely corrective actions are taken to mitigate risks and maintain a safe workplace.

Example: A chemical plant can monitor chemical spill incidents and near misses to better understand the risks associated with hazardous materials. By tracking these events, the plant can identify patterns, assess potential hazards, and improve safety protocols. This data can guide the development of targeted training programs, enhance emergency response procedures, and refine safety measures, ultimately reducing the likelihood of future incidents and ensuring a safer work environment.

c) **Progress towards OH&S Objectives:** To track the advancement of the organization's OH&S objectives, establish clear, measurable goals and regularly monitor progress. This can include periodic safety audits, performance reviews, and data analysis on key indicators such as incident rates or training completion. Regularly reviewing these metrics ensures that the organization is on track to meet its safety objectives, while also identifying areas for improvement and enabling corrective actions when necessary.

Example: If an organization aims to reduce workplace injuries by 20% in a year, it must measure and report injury statistics quarterly. This allows for regular assessment of progress, identifies trends, and provides the opportunity to implement corrective actions if needed. Quarterly reporting ensures that the organization stays on track toward achieving its goal, while making adjustments to improve safety practices and minimize injury risks.

d) Effectiveness of Operational Controls: To evaluate the effectiveness of controls implemented to mitigate OH&S risks, organizations should conduct regular reviews and assessments of their safety measures. This includes analysing incident data, employee feedback, and audit results to determine if the controls are reducing hazards as intended. Continuous monitoring helps identify gaps or areas for improvement, ensuring that safety controls remain effective in managing risks and maintaining a safe work environment.

Example: An organization can assess the effectiveness of its safety training programs by comparing incident rates before and after training sessions. By analysing changes in incident frequency and severity, the organization can determine if the training has led to improvements in safety awareness and behaviour. This evaluation helps identify the program's impact on reducing workplace incidents, allowing for adjustments to enhance its effectiveness and further reduce risks.

3. **Methods for Monitoring and Measurement:** Organizations must define clear methodologies for monitoring and measuring key safety metrics to ensure the results are valid and reliable. This includes selecting appropriate data collection methods, using consistent measurement tools, and establishing standardized procedures. By ensuring accuracy and consistency in monitoring, organizations can confidently assess performance, identify trends, and make informed decisions to improve safety practices and compliance with OH&S requirements.

   Example: A company might use statistical sampling methods to evaluate the effectiveness of safety measures, ensuring they analyze a representative sample of data rather than relying on a small subset. This approach provides a more accurate reflection of overall safety performance, helping to identify trends and potential risks. By using a broader data set, the company can make informed decisions to improve safety measures and reduce workplace incidents.

4. **Criteria for Evaluating OH&S Performance:** Organizations must establish clear criteria to evaluate OH&S performance, including specific, measurable indicators such as incident rates, near-miss reports, safety audits, and employee training completion. These criteria should align with the organization's safety goals and regulatory requirements. Regularly reviewing these performance metrics ensures effective risk management, identifies areas for improvement, and enables continuous enhancement of safety practices to protect employees and ensure a safe work environment.

   Example: A logistics company may define criteria to evaluate OH&S performance based on the number of incidents per 1,000 hours worked and the response time to reported hazards. These metrics provide quantifiable data to track safety trends, assess risk management effectiveness, and identify areas for improvement. Regular monitoring of these criteria helps ensure a safer work environment by addressing hazards promptly and reducing incident rates over time.

5. **Timing of Monitoring and Measurement:** Organizations must specify the timing of monitoring and measurement activities to ensure consistent evaluation of OH&S performance. This could include setting regular intervals, such as monthly safety audits, quarterly incident reports, or annual training assessments. Clearly defined schedules help ensure timely data collection, enabling proactive identification of trends, risks, and areas for improvement. Regular monitoring allows organizations to stay aligned with their safety goals and compliance requirements.

Example: A facility may schedule monthly safety audits and quarterly reviews of incident reports to maintain consistent oversight of safety performance. Monthly audits ensure on-going hazard identification and mitigation, while quarterly reviews provide a broader view of trends and patterns in incidents. This regular monitoring helps the organization stay proactive in addressing risks, improving safety measures, and ensuring continuous compliance with OH&S standards to protect employees and reduce incidents.

6. **Analysis, Evaluation, and Communication of Results:** Organizations must define how and when results from monitoring will be analyzed and communicated. This could include weekly reviews of safety data, monthly performance analysis meetings, and quarterly reports to stakeholders. Clear procedures for analysing results ensure timely identification of trends and risks, while transparent communication ensures that relevant parties, such as management and employees, are informed about safety performance and required actions for improvement.

   Example: After conducting monthly safety audits, the findings can be compiled into a report, which is then shared with all employees during a safety meeting. This approach enhances awareness by informing staff about identified issues and the necessary corrective actions. Discussing the audit results in a meeting fosters employee engagement, encourages adherence to safety protocols, and promotes a collaborative effort to improve workplace safety.

7. **Evaluation of OH&S Performance and Management System Effectiveness:** To evaluate overall OH&S performance and the effectiveness of the management system, organizations should review key performance indicators, incident data, audit results, and employee feedback. Regular assessments, such as annual management reviews, help identify strengths and areas for improvement. This evaluation ensures that safeties measures are effective, regulatory requirements are met, and continuous improvements are made to create a safer and healthier work environment.

   Example: Conducting an annual review of safety performance metrics and management system compliance helps identify areas for improvement and ensures alignment with strategic OH&S objectives. By analysing incident data, audit findings, and employee feedback, the organization can assess the effectiveness of its safety measures, make necessary adjustments, and set new goals. This process fosters continuous improvement, enhances risk management, and supports a safe and compliant workplace environment.

8. **Calibration and Verification of Monitoring Equipment:** Organizations must ensure that monitoring equipment is regularly calibrated or verified to maintain accuracy. This includes scheduling routine checks and calibration procedures for equipment used to measure safety-related metrics, such as gas detectors or environmental monitoring devices. Accurate readings are essential for identifying hazards, assessing risks, and ensuring compliance with OH&S standards. Regular calibration prevents errors, ensuring the reliability of safety data and supporting effective risk management.

   Example: A workplace may establish a schedule for calibrating safety monitoring equipment, such as gas detectors, to ensure they provide accurate readings and comply with applicable regulations. Regular calibration helps maintain the reliability of measurements, ensuring timely detection of hazards like toxic gases. This proactive approach supports a safer work environment, reduces risks, and ensures the organization meets regulatory requirements for workplace safety and compliance.

9. **Retention of Documented Information:** Organizations must maintain documented information as evidence of monitoring and performance evaluation results. This includes records of safety audits, incident reports, training outcomes, and equipment calibration. Proper documentation ensures transparency, facilitates audits, and serves as a reference for future assessments. It also demonstrates compliance with OH&S regulations and provides a basis for continuous improvement by tracking progress and identifying areas that require attention.

   Example: Retaining records of incident reports, safety training completion certificates, and calibration logs for monitoring equipment is essential for proving compliance and performance. These documents serve as evidence of the organization's commitment to safety, ensuring that incidents are tracked, training is completed, and equipment is properly maintained. Retaining such records supports regulatory compliance, provides transparency during audits, and helps identify areas for improvement in the organization's safety practices.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy Document:** The OH&S policy document articulates the organization's commitment to occupational health and safety, establishing a framework for setting objectives and ensuring compliance. It serves as a foundation for promoting a safe working environment and aligning safety initiatives with organizational goals.

2. **Risk Assessment Reports:** Risk assessment reports identify workplace hazards, evaluate risks, and outline control measures. They provide a systematic approach to recognizing potential dangers, assessing their severity, and implementing appropriate safeguards to mitigate risks, ensuring a safer workplace for all employees.

3. **Legal and Other Requirements Register:** This register compiles all relevant legal obligations and standards affecting the organization's operations. It helps ensure compliance by systematically tracking applicable regulations, industry standards, and voluntary commitments, thereby guiding management decisions and enhancing the overall safety culture within the organization.

4. **Monitoring and Measurement Procedures:** Monitoring and measurement procedures detail the methodologies used to assess OH&S performance. These procedures ensure that data collected is valid and reliable, establishing clear protocols for conducting audits, inspections, and evaluations to track safety compliance and performance over time.

5. **Performance Evaluation Records:** Performance evaluation records capture the outcomes of monitoring activities, detailing trends and statistical analyses related to OH&S performance. These records help identify areas for improvement, support management decision-making, and demonstrate compliance with safety objectives and regulatory requirements.

6. **Incident and Accident Reports:** Incident and accident reports document workplace events, including near misses and injuries. They include details about the incidents, investigations conducted, and corrective actions taken, providing insights into root causes and promoting a culture of learning and continuous improvement in safety practices.

7. **Training Records:** Training records maintain evidence of OH&S training conducted for employees, including program content, attendance, and competency evaluations. These records ensure that employees are adequately trained in safety procedures and understand their roles in maintaining a safe workplace.

8. **Corrective and Preventive Action (CAPA) Records:** CAPA records detail the identification of non-conformities and the subsequent actions taken to address them. These records illustrate the organization's commitment to continuous improvement by systematically analysing issues and implementing corrective and preventive measures to enhance safety performance.

9. **Emergency Preparedness and Response Plans:** Emergency preparedness and response plans outline procedures for addressing potential emergencies. They detail responsibilities, communication protocols, and response actions, ensuring that employees are well-informed and trained to handle emergencies effectively, thereby minimizing risks and enhancing overall safety readiness.

10. **Health Surveillance Records:** Health surveillance records monitor employee health concerning workplace hazards. They document health assessments, screenings, and results, ensuring early detection of health issues and enabling timely interventions to protect employee well-being and ensure compliance with occupational health regulations.

4. OBJECTIVE EVIDENCES

1. **OH&S Policy Document Review:** The organization's OH&S policy document was reviewed to ensure alignment with ISO 45001:2018 standards. Additionally, its communication effectiveness was assessed to confirm that employees are well-informed and understand the policy, promoting a culture of safety within the organization verified. Example: Document Number: OHSPOL-2024-001; Reviewed by: John Smith; Review Date: 2024-10-10.

2. **Risk Assessment Report Verification:** Risk assessment reports were reviewed to evaluate the identified hazards and risks associated with specific operations. This examination demonstrated compliance with the organization's risk management process, ensuring that all potential risks are properly assessed and mitigated according to established procedures reviewed. Example: Risk Assessment Report Number: RAR-2024-003; Date: 2024-09-15; Prepared by: Alice Johnson.

3. **Legal and Other Requirements Register Check:** The legal and other requirements register was reviewed to ensure compliance with applicable health and safety regulations. This review confirmed that the organization is meeting all relevant legal obligations, supporting the implementation of necessary safety measures and regulatory adherence reviewed. Example: Register Document Number: LARR-2024-004; Last Updated: 2024-10-01.

4. **Monitoring and Measurement Procedures Documentation:** The monitoring and measurement procedures were assessed to ensure the effective implementation of monitoring activities. This evaluation confirmed that data collection processes are valid, reliable, and accurately reflect the organization's OH&S performance, supporting informed decision-making and continuous improvement reviewed. Example: Procedure Number: MMP-2024-005; Document Version: 2.1; Approved by: Sarah Lee on 2024-09-20.

5. **Incident and Accident Report Review:** Incident and accident reports were analyzed to assess the effectiveness of corrective actions taken. This analysis helped evaluate improvements in safety practices, ensuring that previous incidents were addressed appropriately and contributing to the continuous enhancement of the organization's overall safety culture verified. Example: Incident Report Number: IR-2024-006; Date of Incident: 2024-09-25; Reported by: Tom Brown.

6. **Training Records Examination:** Training records were reviewed to verify that employees received sufficient training on safety procedures and emergency protocols. This review ensured that staffs are well-prepared to handle workplace hazards, maintain compliance with safety standards, and respond effectively in emergencies reviewed. Example: Training Session ID: TR-2024-007; Training Date: 2024-09-30; Attendees: 15 employees including Emily White and Mark Green.

7. **Internal Audit Report Analysis:** Internal audit reports were evaluated to ensure non-conformities were identified, documented, and addressed promptly. This evaluation confirmed that corrective actions were implemented in a timely manner, supporting continuous improvement and maintaining compliance with the organization's OH&S management system verified. Example: Internal Audit Report Number: IAR-2024-008; Audit Date: 2024-09-18; Audited by: James Carter.

8. **Emergency Preparedness and Response Plan Review:** The emergency preparedness and response plan was reviewed to assess its effectiveness in addressing potential risks. Additionally, the training conducted for employees was evaluated to ensure they are adequately prepared to respond to emergencies, ensuring a quick and coordinated response verified. Example: Plan Document Number: EPRP-2024-009; Last Review Date: 2024-09-05; Reviewed by: Laura Turner.

9. **Corrective Action Record Inspection:** Corrective action records were reviewed to confirm the timely implementation of corrective measures following identified non-conformities. This ensured that issues were addressed promptly, preventing recurrence and supporting continuous improvement in the organization's OH&S management system evidence. Example: CAPA Record Number: CAPA-2024-010; Issue Date: 2024-10-05; Responsible Person: Robert Hall.

10. **Health Surveillance Record Assessment:** Health surveillance records were examined to verify compliance with monitoring employee health in relation to exposure to workplace hazards. This review ensured that appropriate health checks were conducted, protecting employees and adhering to health and safety regulations evidence. Example: Health Surveillance Report Number: HSR-2024-011; Date of Assessment: 2024-10-15; Conducted by: Dr. Lisa Ray.

5. INTERVIEW QUESTIONS:

1. Can you explain the process your organization has established for monitoring and measuring OH&S performance?
2. What specific legal and other requirements does your organization monitor to ensure compliance, and how do you determine their fulfilment?
3. How do you identify and assess the hazards, risks, and opportunities related to your activities and operations?
4. Could you provide examples of how you monitor progress toward achieving your OH&S objectives?
5. What methods do you employ for monitoring, measurement, analysis, and performance evaluation to ensure the results are valid and reliable?
6. Can you detail the criteria you use to evaluate your OH&S performance and how they align with organizational goals?
7. How often are monitoring and measurement activities performed, and who is responsible for executing them?
8. When and how are the results from your monitoring and measurement activities analyzed and communicated to relevant stakeholders?
9. Can you demonstrate how you evaluate the effectiveness of your operational controls in managing OH&S risks?
10. What procedures do you have in place to calibrate or verify your monitoring and measuring equipment, and how do you ensure they are maintained properly?
11. How do you document the results of your monitoring, measurement, analysis, and performance evaluation processes?
12. Can you show me records that demonstrate the outcomes of your monitoring and measurement activities?
13. How does your organization ensure continuous improvement in its OH&S management system based on the analysis of performance data?
14. What training do your employees receive related to monitoring, measurement, and performance evaluation and how is their competency assessed?
15. How does the organization involve employees in the monitoring and evaluation processes related to OH&S performance?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Monitoring Processes:** The organization has established comprehensive processes for monitoring and measuring OH&S performance. These processes are not only systematic but also align well with ISO 45001:2018, indicating a proactive commitment to identifying and managing occupational health and safety risks.

2. **Clear Identification of Legal Requirements:** The auditee effectively identifies and documents all relevant legal and other requirements related to occupational health and safety. This diligence ensures compliance with applicable regulations, minimizing the risk of non-conformities, and demonstrating a thorough understanding of legal obligations.

3. **Effective Risk Assessment Procedures:** The organization has implemented systematic procedures to identify hazards and assess risks associated with their operations. This proactive approach highlights their commitment to risk management, ensuring that safety measures are tailored to specific workplace conditions and hazards.

4. **Progress Tracking Mechanisms:** The organization has established clear and measurable OH&S objectives, along with effective tracking mechanisms. This facilitates continuous monitoring of progress toward these objectives, ensuring accountability and fostering a culture of safety that prioritizes on-going improvement in performance.

5. **Valid Monitoring Methods:** The methods employed for monitoring and measuring OH&S performance are well-documented and appropriate for the organization's activities. This ensures the results generated are both valid and reliable, which is crucial for informed decision-making and continual enhancement of safety practices.

6. **Defined Performance Criteria:** The organization has developed clear criteria for evaluating its OH&S performance. This enables objective assessments that help in identifying areas for improvement, ensuring that safety measures align with organizational goals and contribute to overall operational effectiveness.

7. **Regular Monitoring Schedule:** The auditee maintains a well-defined schedule for conducting monitoring and measuring activities. This consistency ensures that evaluations of OH&S performance are conducted regularly, allowing for timely identification of issues and enabling prompt corrective actions when necessary.

8. **Effective Communication of Results:** The organization has established effective channels for communicating monitoring results to relevant stakeholders. This transparency promotes collective responsibility for safety performance and fosters a culture of collaboration, ensuring that all employees are informed and engaged in OH&S initiatives.

9. **Calibrated and Maintained Equipment:** The organization prioritizes the calibration and maintenance of monitoring and measuring equipment. By ensuring that all equipment is accurately calibrated, they enhance the reliability of data collected, thus supporting compliance with standards and facilitating informed decision-making in OH&S matters.

10. **Documentation and Record Keeping:** The auditee maintains comprehensive documented information related to all aspects of monitoring, measurement, and performance evaluation. This meticulous record-keeping provides clear evidence of compliance with ISO 45001:2018 and supports effective audits, reviews, and continuous improvement efforts.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Insufficient Documentation of Monitoring Processes:** The organization may lack detailed documentation outlining the processes for monitoring and measuring OH&S performance. Enhancing documentation can ensure clarity and consistency in monitoring activities, making it easier to track compliance and results.
2. **Incomplete Identification of Legal Requirements:** There might be gaps in identifying all applicable legal and other requirements related to OH&S. Conducting a thorough review of relevant regulations could enhance compliance and reduce potential legal liabilities.
3. **Limited Scope of Risk Assessment:** The current monitoring processes may not comprehensively cover all identified hazards, risks, and opportunities. Expanding the scope of risk assessments to include all operations can provide a more complete understanding of potential safety issues.
4. **Lack of Defined Measurement Methods:** The organization may not have established clear methods for monitoring and measuring performance. Implementing standardized methods can help ensure that data collected is valid, reliable, and comparable over time.
5. **Undefined Criteria for Performance Evaluation:** If the criteria for evaluating OH&S performance are vague or not clearly defined, it could lead to inconsistent assessments. Establishing specific criteria can facilitate objective evaluations and drive continuous improvement.
6. **Irregular Monitoring Schedule:** The organization might not have a regular schedule for monitoring and measuring activities. Establishing a consistent schedule can ensure timely evaluations and allow for the prompt identification of issues that require corrective action.
7. **Ineffective Communication of Results:** If monitoring results are not effectively communicated to stakeholders, it could hinder accountability and improvement. Developing clear communication strategies for sharing results can foster a culture of transparency and collaboration.
8. **Inadequate Calibration Procedures:** The organization may lack detailed procedures for the calibration or verification of monitoring equipment. Establishing robust calibration procedures can enhance the accuracy and reliability of measurement results.
9. **Failure to Analyze Results in a Timely Manner:** Delays in analysing and evaluating monitoring results can impede timely decision-making. Implementing a process to ensure prompt analysis of results can enhance responsiveness to safety issues.
10. **Insufficient Training on Monitoring Methods:** Employees responsible for monitoring and measurement may not be adequately trained on the methods and equipment used. Providing targeted training can improve the quality of monitoring activities and the accuracy of results.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Established Monitoring Processes:** The organization has not established documented processes for monitoring and measuring OH&S performance. This lack of formal procedures hinders effective tracking of safety metrics, impeding the ability to assess performance, identify risks, and implement necessary improvements in the safety management system.

   Example: There is an absence of a documented procedure or flowchart detailing the monitoring process (Document No. SOP-001). This lack of documentation limits the organization's ability to establish clear guidelines, track performance effectively, and ensure consistency in monitoring OH&S activities. FORM NO: XXX

2. **Insufficient Identification of Legal Requirements:** The organization has failed to identify all applicable legal and other requirements regarding OH&S. This oversight may lead to non-compliance with regulatory standards, potentially exposing the organization to legal risks and compromising the safety and well-being of employees.

   Example: The legal compliance register is missing or contains incomplete entries in the compliance checklist (Compliance Report No. CR-2023). This gap in documentation impedes the organization's ability to track and ensure adherence to all relevant legal and regulatory OH&S requirements. FORM NO: XXX

3. **Inadequate Scope of Risk Assessments:** The risk assessments do not comprehensively cover all identified hazards and risks related to operations. This incomplete evaluation may result in overlooked safety threats, potentially exposing employees to unsafe conditions and hindering effective risk management within the organization.

   Example: The risk assessment reports only cover limited operations, neglecting certain departments. This incomplete scope of evaluation leaves potential hazards unidentified in other areas, which may lead to unaddressed risks, compromising the effectiveness of the organization's overall safety management. FORM NO: XXX

4. **Undefined Measurement Methods:** There are no clearly defined methods for measuring OH&S performance. The lack of established measurement criteria impedes the organization's ability to assess safety outcomes effectively, track improvements, and ensure compliance with OH&S objectives and regulatory requirements.

   Example: There is a lack of standard operating procedures (SOPs) outlining monitoring methods (SOP Document No. SOP-002). This absence of documented procedures makes it difficult to establish consistent monitoring practices, hindering the organization's ability to effectively track and assess OH&S performance. FORM NO: XXX

5. **Vague Performance Evaluation Criteria:** The criteria used to evaluate OH&S performance are not clearly defined, leading to inconsistent assessments. This lack of clarity hinders the organization's ability to measure safety outcomes accurately, making it difficult to track improvements and ensure regulatory compliance.

   Example: Evaluation criteria were discussed in meetings but have not been formally established in a written document (Meeting Minutes No. MM-2023-05). This lack of formal

documentation creates ambiguity, preventing consistent and reliable evaluation of OH&S performance across the organization. FORM NO: XXX

6. **Irregular Monitoring Schedule:** Monitoring activities are not conducted according to a defined schedule, resulting in inconsistent evaluations. This lack of regularity undermines the effectiveness of performance tracking, potentially allowing hazards or non-conformities to go unnoticed, and hindering continuous improvement efforts.

   Example: There is no documented schedule for routine monitoring activities (Monitoring Schedule Document No. MS-2023). The absence of a defined schedule creates uncertainty, leading to irregular monitoring, which compromises the organizations. FORM NO: XXX

7. **Poor Communication of Results:** The results of monitoring activities are not effectively communicated to relevant stakeholders. This lack of communication prevents timely corrective actions, reduces awareness of safety performance, and hinders collaboration, ultimately impacting the organization's ability to improve OH&S practices.

   Example: Monitoring results are filed away without dissemination or discussion in management meetings (Internal Report No. IR-2023-07). This lack of review and communication prevents necessary actions from being taken, hindering the organization's ability to address identified issues and improve safety performance. FORM NO: XXX

8. **Inadequate Calibration Records:** Monitoring results are filed away without dissemination or discussion in management meetings (Internal Report No. IR-2023-07). This lack of review and communication prevents necessary actions from being taken; hindering the organization's ability to address identified issues and improve safety performance.

   Example: Missing calibration records for critical monitoring equipment (Calibration Log No. CL-2023) hinder the organization's ability to ensure accuracy and reliability in monitoring activities. This oversight increases the risk of undetected equipment malfunctions, compromising the effectiveness of OH&S performance evaluations. FORM NO: XXX

9. **Delayed Analysis of Results:** Delays in the analysis and evaluation of monitoring results impact the organization's ability to implement timely corrective actions. This lack of prompt response may allow hazards to persist, reducing the effectiveness of the OH&S management system and safety improvements.

   Example: Analysis reports are not completed within the stipulated timeframe, with overdue entries (Analysis Report No. AR-2023-09). This delay hinders timely decision-making and corrective actions, potentially allowing safety issues to persist and impacting overall OH&S performance and compliance. FORM NO: XXX

10. **Lack of Employee Training on Monitoring:** Employees responsible for monitoring have not received adequate training on the methods and equipment used. This lack of training compromises the accuracy and reliability of monitoring activities, increasing the risk of errors and reducing the effectiveness of safety management efforts.

    Example: Training records indicate that relevant staff have not completed the required monitoring training (Training Record No. TR-2023). This gap in training undermines the competency of personnel, potentially affecting the accuracy of monitoring activities and overall safety performance. FORM NO: XXX

9 PERFORMANCE EVALUATION

1. STANDARD REQUIREMENTS:

9.1.2 EVALUATION OF COMPLIANCE

The organization shall establish, implement and maintain a process(es) for evaluating compliance with legal requirements and other requirements (see 6.1.3).
The organization shall:

a) Determine the frequency and method(s) for the evaluation of compliance;

b) Evaluate compliance and take action if needed (see 10.2);

c) Maintain knowledge and understanding of its compliance status with legal requirements and other requirements;

d) Retain documented information of the compliance evaluation result(s).

2. EXPLAINATION:

1. **Establishing a Process for Evaluating Compliance:** Organizations must establish a systematic and documented approach to assess compliance with applicable legal and other OHS-related requirements. This process should include regular reviews, audits, and updates to ensure alignment with current regulations. It must be integrated into the overall health and safety management system, enabling proactive identification of non-compliance and timely corrective actions, thus fostering a culture of accountability and continuous improvement in occupational health and safety practices.

   Example: A manufacturing company can establish a compliance evaluation process using a comprehensive checklist aligned with local occupational health and safety regulations, internal safety policies, and industry standards. This process should involve periodic reviews, employee participation, and documented evidence of compliance. By regularly updating the checklist to reflect changes in regulations or operations, the company ensures consistent adherence, minimizes risks, and promotes a safer working environment for all employees.

2. **Determining Frequency and Methods for Evaluation:** Organizations should establish a clear schedule for compliance evaluations, determining the frequency and methods, such as audits, inspections, or reviews. The frequency should be influenced by factors like risk levels, regulatory obligations, and past compliance performance. Regular evaluations help identify potential gaps in adherence, ensure continuous improvement, and demonstrate the organization's commitment to maintaining a safe and legally compliant workplace, ultimately safeguarding both employees and the organization's reputation.

   Example: A construction company could schedule formal compliance audits quarterly, focusing on incident reports, training records, and equipment maintenance logs. Additionally, informal weekly inspections of safety equipment would help identify immediate issues. This combination ensures thorough, on-going oversight of safety practices, addresses potential risks in real time, and maintains compliance with both internal policies and external regulations, ultimately fostering a safer work environment and reducing liabilities.

3. **Evaluating Compliance and Taking Action:** Organizations must regularly assess their compliance status through audits or inspections, identifying areas of non-compliance with legal or internal requirements. Any non-conformity must be documented, analyzed, and addressed promptly through corrective actions. Ensuring timely resolution and maintaining records of actions taken demonstrates commitment to compliance, facilitates continuous improvement, and reduces risks associated with non-compliance, thereby enhancing the organization's overall health, safety, and operational integrity.

   Example: If a compliance evaluation reveals that mandatory safety training has not been conducted, the organization must create a corrective action plan. This plan should include scheduling the required training sessions, assigning responsibility for delivery, and ensuring clear communication to all affected employees. The plan should also track progress and document completion to ensure compliance, improve safety awareness, and reduce risks associated with untrained personnel in the workplace.

4. **Maintaining Knowledge and Understanding of Compliance Status:** Organizations should regularly review and update their understanding of legal and other compliance requirements. This involves staying informed about changes in regulations, standards, and industry best practices. Regular assessments should be conducted to evaluate the impact of these changes on the organization's operations, ensuring on-going compliance. Proactive updates to policies, procedures, and training programs help mitigate risks and ensure alignment with the latest legal and regulatory

   Example: An organization might subscribe to legal update services from government agencies or join industry forums to stay informed about changes in safety regulations. Additionally, regular meetings with the compliance team can be held to discuss the implications of new laws, ensuring that the organization adapts its policies and practices accordingly. This proactive approach helps maintain compliance and mitigates potential risks associated with evolving legal requirements.

5. **Retaining Documented Information of Compliance Evaluation Results:** Organizations should maintain detailed records of their compliance evaluations, documenting results, actions taken, and any follow-up activities. This includes keeping track of audits, inspections, corrective measures, and improvements implemented. These records serve as evidence of compliance with legal and regulatory requirements, providing transparency and accountability. Additionally, they help in monitoring progress over time and ensuring that any gaps or issues are promptly addressed for continuous improvement.

   Example: A healthcare facility could maintain a compliance evaluation log documenting quarterly audit findings, corrective actions taken, and any policy or procedural updates based on the evaluations. This log serves as a valuable tool during external audits or inspections, showcasing the facility's commitment to maintaining compliance. By keeping accurate and up-to-date records, the facility can demonstrate on-going efforts to meet regulatory requirements and improve overall healthcare standards.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Compliance Evaluation Process Document:** This document outlines the organization's systematic approach for evaluating compliance with legal and other occupational health and safety requirements. It should detail the responsibilities, methods, and frequency of evaluations, ensuring clarity and consistency in compliance management across the organization.

2. **Compliance Checklist:** A compliance checklist is a practical tool used during evaluations to assess adherence to specific legal requirements and internal policies. It should be tailored to the organization's operations and updated regularly to reflect any changes in regulations or internal processes.

3. **Audit Reports:** Audit reports provide a comprehensive overview of internal or external assessments conducted to evaluate compliance with occupational health and safety laws. These reports should include findings, identified non-conformities, and recommendations for improvement, serving as crucial documentation for compliance efforts.

4. **Inspection Reports:** Inspection reports document the outcomes of regular safety inspections, detailing observations related to workplace safety practices. These reports help identify areas of non-compliance and highlight opportunities for improvement, ensuring on-going adherence to established health and safety standards.

5. **Training Records:** Training records should capture all safety training provided to employees, including details on training sessions, attendance, and specific topics covered. Maintaining these records is essential for demonstrating compliance with legal training requirements and ensuring employees are adequately equipped to work safely.

6. **Legal and Regulatory Updates:** Documentation or subscriptions that provide updates on changes in applicable laws and regulations are vital for compliance. Organizations should maintain records of these updates, demonstrating proactive engagement in staying informed about relevant legal obligations affecting their operations.

7. **Incident Reports:** Incident reports detail workplace accidents, near misses, and safety violations, providing insights into compliance failures and safety culture. Analysing these reports helps organizations identify trends, root causes, and areas for improvement, ultimately enhancing their health and safety management systems.

8. **Corrective Action Plans:** Corrective action plans outline the steps taken in response to identified non-compliance issues. These documents should include specific actions, responsible parties, and timelines for implementation, ensuring accountability and tracking progress in addressing compliance-related concerns effectively.

9. **Management Review Minutes:** Minutes from management review meetings should document discussions regarding compliance evaluation results, safety performance, and decisions made about health and safety management. These records reflect leadership commitment and provide insight into strategic planning for continuous improvement in compliance.

10. **Compliance Status Reports:** Periodic compliance status reports summarize the organization's adherence to legal and other requirements. They should highlight trends, areas needing attention, and compliance performance over time, providing stakeholders with a clear picture of the organization's health and safety compliance status.

4. OBJECTIVE EVIDENCES:

1. **Compliance Evaluation Process Document:** A documented compliance evaluation process outlines the procedures for assessing adherence to legal and regulatory requirements. It includes scheduled evaluations, methods of assessment, documentation of findings, corrective actions, and follow-up activities to ensure continuous compliance and improvement verified. Example: Document Number: CEPD-001, Version: 2.0, Date: 2024-09-15. This document outlines the steps and responsibilities for evaluating compliance with legal OHS requirements.

2. **Compliance Checklist:** A completed compliance checklist is used during evaluations to systematically assess adherence to legal, regulatory, and organizational requirements. It includes specific criteria, actions taken, and findings, ensuring that all necessary aspects of compliance are thoroughly reviewed and documented reviewed. Example: Checklist Form Number: CC-2024-Q3, Audit Date: 2024-09-30, Auditor: John Smith. The checklist covers various legal requirements related to workplace safety.

3. **Audit Reports:** An internal audit report documents the findings of the audit process, including identified non-conformities, compliance gaps, and areas for improvement. It outlines corrective actions taken, timelines, and responsible parties, ensuring transparency and accountability in addressing issues evidence. Example: Audit Report Number: AR-2024-05, Audit Date: 2024-09-25, Auditors: Alice Johnson and Mike Brown. Findings included two non-conformities regarding safety equipment maintenance.

4. **Inspection Reports:** Regular inspection reports assess safety compliance by evaluating workplace conditions, equipment, and practices against safety standards and regulations. They document identified hazards, corrective actions taken, and any recommendations for improvement, ensuring on-going adherence to safety protocols verified. Example: Inspection Report Number: IR-2024-08, Inspection Date: 2024-09-28, Inspector: Sarah Lee. Report noted that PPE was properly used, but fire extinguishers were overdue for inspection.

5. **Training Records:** Records of safety training session's document employee attendance, topics covered, training dates, and trainer details. These records serve as proof that employees have received necessary safety training, ensuring compliance with safety regulations and supporting on-going safety performance evaluations evidence. Example: Training Record Number: TR-2024-03, Training Date: 2024-09-20, Attendees: 10 Employees, Trainer: David Kim. This record shows that employees completed mandatory safety training.

6. **Corrective Action Plans:** Documented corrective action plans outline specific steps to address identified non-compliance issues. They include the root cause analysis, corrective measures, responsible parties, timelines for completion, and follow-up actions to ensure that the organization meets all relevant safety and legal requirements verified. Example: Corrective Action Plan Number: CAP-2024-02, Date Issued: 2024-09-26, Responsible

Person: Emily Carter. This plan details actions to resolve the non-conformities identified in the audit report.

7. **Management Review Minutes:** Minutes from management review meetings document discussions on compliance, including the evaluation of current safety practices, regulatory adherence, audit results, corrective actions, and improvements. These minutes serve as evidence of leadership's commitment to on-going compliance and organizational performance reviewed. Example: Meeting Minutes Number: MM-2024-04, Meeting Date: 2024-09-30, Attendees: Board Members A, B, C. The minutes document the discussion on compliance status and future actions.

8. **Compliance Status Reports:** A periodic compliance status report summarizes the results of recent evaluations, audits, and inspections, highlighting areas of non-compliance, corrective actions taken, and improvements made. This report helps ensure on-going compliance and informs decision-making for future safety measures reviewed. Example: Compliance Status Report Number: CSR-2024-09, Report Date: 2024-09-29, Prepared By: Laura Greene. This report summarizes compliance with OHS regulations and identifies areas needing improvement.

9. **Incident Reports:** Records of workplace incidents and investigations document details of accidents, injuries, or near misses, including causes, affected parties, and corrective actions taken. These records help identify trends, improve safety protocols, and ensure compliance with regulatory requirements reviewed. Example: Incident Report Number: IR-2024-006, Incident Date: 2024-09-22, Reported By: Tom Brown. This report details a minor accident and corrective actions taken to prevent recurrence.

10. **Action Tracking Logs:** A log tracking the implementation of corrective actions records the status of corrective measures taken following non-compliance or incidents. It includes action dates, responsible persons, and completion status, ensuring timely resolution and preventing recurrence of safety issues verified. Example: Action Tracking Log Number: ATL-2024-09, Log Date: 2024-09-30, Actions Pending: 3, Actions Completed: 2. This log provides visibility into the status of corrective actions from the compliance evaluations.

5. INTERVIEW QUESTIONS:

1. Can you describe the process your organization has established for evaluating compliance with legal and other requirements related to occupational health and safety?
2. What specific legal and other requirements does your organization consider in its compliance evaluations?
3. How do you determine the frequency of compliance evaluations, and who is responsible for establishing this frequency?
4. What methods are employed to evaluate compliance, and how do these methods ensure thorough assessments?
5. Can you provide examples of recent compliance evaluations conducted? What were the findings and actions taken as a result?

6. How do you ensure that employees are aware of the legal requirements and other obligations that impact their roles?
7. What processes are in place to maintain an up-to-date understanding of your organization's compliance status with legal and other requirements?
8. How do you handle non-compliance issues when they are identified during evaluations? Can you share an example?
9. How is documented information related to compliance evaluations maintained, and what format is it kept in for easy retrieval?
10. Who is responsible for retaining the documented information of compliance evaluation results, and how is this information secured?
11. Can you show me any records or reports from recent compliance evaluations? How are these documented and tracked over time?
12. How does management review compliance evaluation results, and how is this information communicated within the organization?
13. What training or resources are provided to employees to ensure they understand their compliance obligations?
14. How do you ensure that compliance evaluation processes are continuously improved based on past evaluations and audit findings?
15. How do you engage stakeholders, such as employees or external experts, in the compliance evaluation process?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Established Compliance Evaluation Process:** The organization has effectively established a comprehensive compliance evaluation process that encompasses legal and other requirements. This proactive approach illustrates their commitment to maintaining high standards of occupational health and safety, ensuring accountability throughout the organization.
2. **Defined Frequency and Methods:** A systematic frequency and well-defined methods for compliance evaluations have been determined. This ensures that assessments are conducted regularly and effectively, allowing the organization to promptly identify and address any potential compliance gaps or issues.
3. **Comprehensive Compliance Checklist:** The organization utilizes a detailed compliance checklist that comprehensively addresses all relevant legal and internal requirements. This practical tool facilitates consistent evaluations, enabling staff to systematically assess compliance while fostering a culture of meticulousness and accountability within the organization.

4. **Timely Action on Non-Compliance:** The organization has established a robust mechanism to evaluate compliance and promptly address non-compliance issues. This proactive response not only mitigates risks but also reinforces the organization's commitment to maintaining a safe and compliant working environment.

5. **Knowledge Retention Practices:** Effective practices for maintaining knowledge and understanding of compliance status are in place. This ensures that employees are continuously informed about legal obligations, fostering a culture of awareness and responsibility that enhances the organization's overall safety performance.

6. **Documentation of Evaluation Results:** The organization retains well-organized documentation of compliance evaluation results, facilitating easy retrieval for audits or reviews. This structured approach enhances transparency, accountability, and historical tracking of compliance efforts, which is vital for continuous improvement initiatives.

7. **Management Involvement:** Regular management reviews of compliance evaluation results demonstrate leadership's commitment to occupational health and safety. This engagement fosters a culture of accountability and encourages proactive measures to address compliance issues, ensuring that safety remains a top organizational priority.

8. **Employee Training and Awareness:** The organization provides effective training programs and resources to ensure employees are well-informed about compliance obligations. This initiative promotes a proactive safety culture where staff are empowered to adhere to regulations and actively contribute to workplace safety.

9. **Stakeholder Engagement:** Actively engaging relevant stakeholders in the compliance evaluation process promotes collaboration and transparency. This involvement encourages valuable feedback and insights, strengthening the compliance framework and fostering a sense of ownership and responsibility among all parties involved.

10. **Continuous Improvement Initiatives:** The organization demonstrates a commitment to continuous improvement by actively seeking opportunities based on past compliance evaluations and audit findings. This forward-thinking approach enables them to enhance their health and safety management system and adapt to evolving regulatory requirements.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Lack of Formalized Process:** The absence of a clearly defined compliance evaluation process can lead to inconsistencies and oversight. Developing a structured and formalized approach will ensure thorough evaluations, minimize risks, and enhance overall occupational health and safety management within the organization.

2. **Inconsistent Frequency of Evaluations:** Irregular intervals for compliance evaluations can result in gaps in monitoring and compliance oversight. Establishing a fixed schedule for these evaluations will enhance reliability, ensuring that any compliance issues are identified and addressed promptly to maintain safety standards.

3. **Limited Methodologies:** Relying on a single evaluation method may not provide a comprehensive view of compliance status. Exploring additional methodologies, such as audits, assessments, and inspections, can strengthen the evaluation process and uncover potential areas for improvement or risks.

4. **Inadequate Training for Staff:** Staff responsible for conducting compliance evaluations may lack sufficient training or resources. Implementing comprehensive training programs will enhance their skills and knowledge, leading to more effective evaluations and improved identification of compliance issues within the organization.

5. **Insufficient Documentation Practices:** Inconsistent or incomplete documentation of evaluation results can hinder accountability and traceability. Implementing standardized documentation practices will ensure that all compliance evaluations are thoroughly recorded, facilitating easier audits and reviews while promoting transparency within the organization.

6. **Lack of Knowledge Management:** Without a systematic approach to maintain compliance knowledge, the organization risks missing critical updates on legal requirements. Establishing a knowledge management system can ensure that compliance information is current and accessible, promoting informed decision-making and adherence.

7. **Poor Communication of Results:** Evaluation results may not be effectively shared with all relevant stakeholders, leading to a lack of awareness regarding compliance statuses. Improving communication channels and practices will ensure that stakeholders are informed and engaged in addressing compliance issues collectively.

8. **Failure to Address Non-Compliance:** Without documented action plans for identified non-compliance issues, risks may remain unmitigated. Implementing a clear process for corrective actions will ensure that non-compliance is addressed promptly, reducing potential legal liabilities and improving workplace safety.

9. **Limited Stakeholder Engagement:** Minimal involvement of stakeholders in the compliance evaluation process can result in a narrow perspective on compliance issues. Encouraging broader participation will enhance the evaluation process, ensuring diverse insights and promoting a collective commitment to safety and compliance.

10. **No Regular Review of Compliance Criteria:** If compliance evaluation criteria are not regularly reviewed, they may become outdated and ineffective. Instituting a periodic review process will ensure that the criteria remain relevant and comprehensive, adapting to changing regulations and organizational needs.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Established Process:** The organization lacks a documented process for evaluating compliance with legal requirements. This absence can lead to inconsistent assessments, failure to identify regulatory gaps, and a potential risk of non-compliance with health, safety, and environmental laws.

   Example: There is no documented procedure or flowchart outlining the compliance evaluation process. This absence could result in inconsistent evaluations, potential oversight of compliance gaps, and a lack of clarity on how compliance is assessed and monitored within the organization. FORM NO: XXX

2. **Irregular Evaluation Frequency:** Compliance evaluations are not conducted at the established frequency, resulting in missed opportunities for identifying potential non-compliance issues. This irregular monitoring could lead to delayed corrective actions and an increased risk of non-compliance with legal and safety requirements.

   Example: The last compliance evaluation was conducted more than six months ago, contrary to the policy that mandates quarterly evaluations. This delay in assessments risks non-compliance and reduces the organization's ability to identify and address potential issues promptly. FORM NO: XXX

3. **Limited Evaluation Methods:** The organization relies solely on one method for evaluating compliance, which limits the scope of the assessment and may overlook critical areas. A more diversified approach, incorporating various evaluation methods, would provide a more comprehensive compliance review.

   Example: Compliance evaluations are conducted exclusively through internal audits, with no external assessments or benchmarking against industry standards. This limits the organization's ability to identify potential gaps in compliance and compare practices with best-in-class benchmarks. FORM NO: XXX

4. **Inadequate Training for Evaluators:** Staff responsible for compliance evaluations have not received sufficient training on evaluation methods and legal requirements, which impacts the quality and effectiveness of their assessments. This lack of training may lead to missed compliance issues and incorrect findings.

   Example: Training records reveal that staffs responsible for compliance evaluations have not attended relevant training sessions for over a year (Training Record ID: TR-045). This gap in training may hinder their ability to effectively assess and address compliance issues. FORM NO: XXX

5. **Incomplete Documentation of Results:** Compliance evaluation results are not consistently documented, which affects traceability and the ability to review past assessments. This lack of proper documentation makes it difficult to track corrective actions or verify whether compliance issues were properly addressed.

   Example: Several compliance evaluation reports lack documented findings and action items, which undermines the ability to track corrective actions or ensure that identified issues are addressed. This gap hinders the overall effectiveness of the compliance evaluation process and its outcomes. FORM NO: XXX

6. **Outdated Compliance Knowledge:** The organization lacks a systematic process for staying informed about changes in legal requirements relevant to its operations, which may result in non-compliance with updated regulations. This poses a risk to the organization's legal adherence and operational integrity.

   Example: The legal register has not been updated in two years, and it does not reflect recent changes in health and safety regulations, potentially exposing the organization to compliance risks. This delay compromises the organization's ability to meet current legal obligations. FORM NO: XXX

7. **Ineffective Communication of Results:** Compliance evaluation results are not consistently shared with relevant stakeholders, leading to a lack of awareness and engagement. This communication gap hinders timely action on identified issues and diminishes the effectiveness of compliance improvement efforts across the organization.

   Example: Meeting minutes indicate that compliance evaluation results were not discussed during the last three management reviews, highlighting a gap in communication. This lack of discussion may hinder the identification of necessary improvements and timely corrective actions within the organization. FORM NO: XXX

8. **Failure to Address Non-Compliance:** The organization lacks a documented action plan for addressing identified non-compliance issues, which hinders the implementation of corrective actions. Without a structured approach, non-compliance may persist, affecting the organization's ability to meet legal and regulatory requirements effectively.

   Example: An evaluation revealed two non-compliance issues; however, no corrective action plans were developed to address them. This lack of documented corrective actions may lead to unresolved issues, affecting the organization's compliance with health and safety requirements. FORM NO: XXX

9. **Insufficient Stakeholder Involvement:** Key stakeholders, such as department heads and external consultants, have not been included in the compliance evaluation process. Their exclusion limits the diversity of insights and may hinder a comprehensive understanding of potential compliance gaps or areas for improvement.

   Example: Stakeholder feedback was not sought during the last compliance evaluation, limiting the diversity of perspectives and insights. This oversight may impact the accuracy and comprehensiveness of the evaluation findings, as indicated in the evaluation report (Report No: COMP-EVAL-2023-03). FORM NO: XXX

10. **Lack of Regular Review of Criteria:** Compliance evaluation criteria are not reviewed regularly, which may result in outdated or irrelevant assessments. This lack of periodic review can lead to misalignment with current regulations and organizational needs, impacting the effectiveness of the evaluation process.

    Example: The compliance evaluation criteria have not been reviewed in the last three years, leading to the potential for outdated or irrelevant assessments. This lack of review may result in non-compliance with current regulations and decreased effectiveness in monitoring performance. FORM NO: XXX

9 PERFORMANCE EVALUATION

1. STANDARD REQUIREMENTS:

9.2 INTERNAL AUDIT

9.2.1 GENERAL

The organization shall conduct internal audits at planned intervals to provide information on whether the OH&S management system:

a) conforms to:

1. the organization's own requirements for its OH&S management system, including the OH&S policy and OH&S objectives;
2. the requirements of this document;

b) Is effectively implemented and maintained.

2. EXPLAINATION:

1. **Conducting Internal Audits at Planned Intervals:** Organizations must develop a structured schedule for internal audits to ensure they are conducted regularly and consistently. This planning helps assess compliance, identify non-conformities, and improve processes. A well-established audit schedule enables the organization to monitor performance, mitigate risks, and stay aligned with regulatory requirements. It also promotes continuous improvement by systematically reviewing areas for enhancement in the organization's operations and practices.

   Example: A manufacturing company may establish a plan to conduct internal audits on a quarterly basis, ensuring that all departments comply with Occupational Health and Safety (OH&S) management system requirements. This regular auditing schedule allows the company to identify potential hazards, evaluate safety practices, and ensure adherence to safety regulations. It also supports continuous improvement by addressing non-conformities and fostering a proactive approach to workplace safety.

2. **Purpose of Internal Audits:** The primary purpose of internal audits is to assess the conformity and effectiveness of the Occupational Health and Safety (OH&S) management system. These audits help identify areas for improvement, ensure compliance with both organizational policies and legal requirements, and evaluate the overall performance of safety measures. By conducting internal audits, organizations can proactively address potential risks and enhance safety protocols, fostering a safer and more compliant work environment.

   Example: An internal audit discovered that a safety training program was not being implemented as planned in one department, indicating a gap in compliance with safety protocols. As a result, corrective actions were initiated to address the issue. These actions included rescheduling training sessions, notifying the responsible team, and updating the training plan to ensure all employees receive the necessary safety education, aligning with organizational safety standards and regulatory requirements.

3. **Conformance to Organizational Requirements:** The internal audit should assess whether the OH&S management system aligns with the organization's policies and objectives, ensuring consistency with safety goals. It should verify that safety procedures are properly documented and followed according to the OH&S policy. This evaluation helps confirm compliance with both internal standards and legal requirements, identifying any gaps or areas for improvement to maintain a safe and compliant working environment.

   Example: The internal audit will verify if the organization's OH&S policy, which mandates annual safety training for all employees, is being followed. It will check that the training is being conducted as required and ensure that training records are properly maintained. This process confirms compliance with the organization's policy and provides evidence that employees are receiving the necessary safety education to meet organizational and legal requirements.

4. **Conformance to ISO 45001:2018 Requirements:** The internal audit must verify that the organization's OH&S management system complies with ISO 45001:2018 requirements. This includes ensuring that all processes and procedures align with the standard's guidelines for health and safety management. The audit will assess whether the system effectively identifies risks, implements controls, and ensures continuous improvement in health and safety practices, confirming the organization's adherence to the international standard.

   Example: The internal auditor reviews if the organization has identified workplace hazards and assessed associated risks in line with ISO 45001:2018 guidelines. They check whether appropriate controls are in place to mitigate these risks, ensuring compliance with the standard. The auditor also evaluates if risk assessments are regularly updated and if controls are effective in preventing accidents and maintaining a safe working environment, contributing to continuous improvement in health and safety management.

5. **Effectiveness of Implementation:** The internal audit should evaluate the effectiveness of the OH&S management system in practice. This involves reviewing whether safety measures are successfully reducing incidents, improving compliance with safety protocols, and fostering a positive safety culture. The auditor examines whether corrective actions from previous audits have been implemented and whether the system supports continuous improvement in preventing accidents and ensuring a safer working environment across the organization.

   Example: The audit should analyze incident reports from the past year to assess the effectiveness of implemented safety measures, such as the use of personal protective equipment (PPE). The auditor confirms whether these measures have contributed to a reduction in workplace injuries. This includes checking if injury rates have decreased and whether the safety practices outlined in the OH&S management system have led to tangible improvements in worker safety.

6. **Documentation and Records:** Internal audit findings should be thoroughly documented to create a clear record of compliance and identify areas needing improvement. This documentation serves as a key reference for addressing non-compliance issues, tracking corrective actions, and ensuring on-going improvement. It helps the organization maintain transparency; stays aligned with regulatory requirements, and continuously enhance the

effectiveness of the OH&S management system, ultimately fostering a safer work environment.

Example: After the audit, the auditor prepares a detailed report outlining any non-conformity identified, the corrective actions recommended, and the timelines for addressing these issues. The report serves as a comprehensive record for management, ensuring that all discrepancies are addressed within a specified period. It also provides a clear roadmap for continuous improvement, helping the organization align its operations with internal policies and regulatory requirements.

7. **Follow-Up Actions:** The organization must create a process to address internal audit findings by taking corrective actions to resolve identified issues. This process should include investigating the root causes, implementing corrective measures, and monitoring effectiveness. Additionally, preventive actions should be taken to ensure that similar issues do not recur, fostering continuous improvement and ensuring long-term compliance with organizational standards and regulatory requirements.

   Example: If an audit identifies a lack of proper signage in hazardous areas, the organization should promptly install the required safety signs. A follow-up audit or inspection should be conducted to ensure the signage is properly installed and maintained. Additionally, the organization should review its procedures to prevent similar issues from arising in the future, ensuring compliance with safety regulations and improving overall workplace safety standards.

8. **Management Review:** The results of internal audits should be reviewed by top management during the management review process. This review ensures that leadership is informed of the organization's compliance status, including strengths and areas requiring attention. It enables management to make informed decisions, allocate resources appropriately, and drive improvements, ensuring that the OH&S management system is continually effective and aligned with organizational objectives and legal requirements.

   Example: At the annual management review meeting, the internal audit results are presented, focusing on trends in safety incidents, and evaluating the effectiveness of corrective actions implemented. The discussion also includes assessing the overall performance of the OH&S management system, identifying areas for improvement, and setting goals for the coming year. This review allows management to ensure continuous improvement in safety practices and alignment with organizational objectives and legal requirements.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The OH&S policy is a formal statement reflecting the organization's commitment to occupational health and safety. It defines the scope of the OH&S management system, outlining key principles, responsibilities, and the framework for achieving safety objectives across the organization.

2. **OH&S Objectives and Targets:** Documented OH&S objectives and targets serve as specific, measurable goals that align with the organization's health and safety policy. These objectives provide a clear direction for improving safety performance and help to assess progress during management reviews and audits.

3. **Risk Assessment Records:** Risk assessment records document the systematic identification and evaluation of workplace hazards. This includes methodologies used, identified risks, and mitigation measures implemented. These records are essential for demonstrating compliance with legal obligations and the proactive management of health and safety risks.

4. **Training Records:** Training records provide evidence that employees have received necessary health and safety training relevant to their roles. This documentation includes attendance lists, training materials, and evaluation results, ensuring staff are competent to perform their tasks safely and effectively.

5. **Incident Reports:** Incident reports detail accidents, near-misses, or unsafe conditions within the organization. These reports include descriptions of events, investigation findings, and corrective actions taken. Analysing incident reports helps identify trends, promote safety improvements, and prevent future occurrences.

6. **Internal Audit Reports:** Internal audit reports summarize findings from systematic evaluations of the OH&S management system. These reports highlight compliance levels, identify non-conformities, and recommend corrective actions. They are vital for ensuring continual improvement and effective management of health and safety practices.

7. **Management Review Minutes:** Management review minutes document discussions during meetings focused on the performance of the OH&S management system. These records capture key decisions, performance evaluations, and necessary actions, ensuring that top management is engaged in promoting a culture of health and safety.

8. **Safety Inspection Records:** Safety inspection records provide evidence of regular assessments conducted in the workplace to identify hazards and ensure compliance with safety regulations. These documents include checklists, findings, and corrective actions taken, demonstrating the organization's commitment to maintaining a safe work environment.

9. **Work Instructions and Procedures:** Documented work instructions and procedures detail specific health and safety practices employees must follow. This includes operational guidelines, emergency protocols, and equipment handling procedures, ensuring employees understand their roles in maintaining a safe workplace and minimizing risks.

10. **Employee Involvement and Consultation Records:** Records of employee involvement and consultation reflect the organization's commitment to engaging staff in health and safety matters. This may include meeting minutes, feedback surveys, or safety committee activities, ensuring that employee perspectives are considered in decision-making processes.

4. OBJECTIVE EVIDENCES:

1. **Internal Audit Report:** The internal audit report confirms that the Occupational Health and Safety (OH&S) management system complies with both organizational standards and the requirements of ISO 45001:2018, demonstrating effective implementation and adherence to relevant safety practices and regulations reviewed. Example: Internal Audit Report No. IA-2024-04, conducted on 2024-09-15, reviewed compliance across all departments, highlighting a 95% adherence rate to safety procedures.

2. **Training Attendance Record:** Records of employee safety training confirm adherence to training requirements, ensuring that employees are properly equipped to work safely. These records also reflect the effectiveness of the OH&S management system in fostering a culture of safety and risk mitigation reviewed. Example: Safety Training Attendance Sheet No. ST-2024-07, dated 2024-08-20, lists 30 employees, including John Doe (Employee ID: 12345) and Jane Smith (Employee ID: 67890), who completed the mandatory safety training.

3. **Incident Investigation Report:** The incident investigation report details the analysis of a workplace accident, including the identification of root causes and corrective actions implemented. It demonstrates compliance with incident management requirements, ensuring continuous improvement and prevention of future incidents within the workplace evidence. Example: Incident Report No. IR-2024-05, dated 2024-09-10, investigated an injury incident involving Employee ID: 12345. Corrective action taken: enhanced training for handling machinery (Action Plan No. AP-2024-09).

4. **Risk Assessment Document:** The risk assessment document provides evidence of thorough hazard identification and outlines the risk control measures implemented within the organization. It demonstrates a proactive approach to managing workplace risks and ensuring a safe and compliant working environment for employees' evidence. Example: Risk Assessment Report No. RA-2024-01, conducted on 2024-01-15, identified 10 hazards in the manufacturing department, with control measures implemented for each identified risk.

5. **Corrective Action Log:** The corrective action log tracks non-conformities identified during audits and the actions taken to resolve them. It reflects the organization's commitment to continual improvement by ensuring prompt and effective resolution of issues to maintain compliance and enhance performance reviewed. Example: Corrective Action Log No. CAL-2024-03, with entries dated from 2024-03-01 to 2024-09-20, documenting 15 corrective actions, including a resolved non-conformity related to PPE availability (Action No. AC-2024-08).

6. **Safety Inspection Checklist:** Safety inspection checklists validate the completion of regular safety assessments, ensuring that safety protocols are consistently followed. They highlight compliance with established safety standards, demonstrating the organization's

commitment to maintaining a safe working environment for all employees verified. Example: Safety Inspection Checklist No. SIC-2024-02, dated 2024-09-05, covered the warehouse area, noting all safety equipment in place, with minor issues recorded (e.g., one fire extinguisher needing servicing, Item No. FE-2024-12).

7. **Emergency Drill Record:** Records of emergency drills provide evidence of the organization's preparedness for potential emergencies. They demonstrate adherence to emergency response plans, ensuring that employees are trained and equipped to respond effectively, minimizing risks and ensuring safety in crisis situations evidence. Example: Emergency Drill Report No. EDR-2024-01, conducted on 2024-09-25, involved 50 employees. Drill effectiveness rated at 90%, with recommendations for improved evacuation signage (Recommendation No. ER-2024-04).

8. **Management Review Minutes:** Management review minutes show top management's active involvement in assessing OH&S performance. They document discussions on areas for improvement, ensuring that management reviews key safety metrics and takes necessary actions to enhance the effectiveness of the OH&S management system evidence. Example: Management Review Minutes No. MR-2024-02, dated 2024-09-30, included discussions on audit results and actions for improved safety training programs, highlighting a need for more comprehensive first-aid training (Action No. MA-2024-07).

9. **Legal Compliance Documentation:** Documentation of legal compliance confirms the organization’s adherence to relevant health and safety regulations. It demonstrates the commitment to meeting legal requirements, ensuring that workplace practices align with applicable laws to safeguard employee well-being and avoid regulatory violations reviewed. Example: Legal Compliance Checklist No. LCC-2024-05, dated 2024-08-15, confirmed compliance with regulations, including safety standards for hazardous materials handling (Regulation No. RM-2024-03).

10. **PPE Issuance Record:** PPE issuance records provide proof of the proper distribution and maintenance of personal protective equipment to employees. These records confirm compliance with safety requirements, ensuring that employees have the necessary protective gear to work safely and mitigate workplace hazards verified. Example: PPE Issuance Record No. PPE-2024-08, dated 2024-09-10, documented the distribution of PPE to 20 employees, including gloves (Batch No. GL-2024-15) and helmets (Batch No. HM-2024-20).

5. INTERVIEW QUESTIONS:

1. Can you describe the internal audit process for the OH&S management system, including how often audits are scheduled and who is responsible for conducting them?

2. How does the organization ensure that internal audits are planned at appropriate intervals to evaluate compliance with the OH&S policy and objectives?

3. What specific criteria are used to determine the scope and frequency of internal audits for the OH&S management system?

4. Can you provide examples of how internal audits have identified non-conformities or areas for improvement within the OH&S management system?

5. How are audit findings documented, and what processes are in place for communicating these findings to relevant personnel?
6. What corrective actions have been implemented in response to previous internal audit findings, and how do you ensure their effectiveness?
7. How does the organization assess whether the OH&S management system conforms to its own requirements and the requirements of ISO 45001:2018?
8. Can you share any recent internal audit reports and highlight key observations or recommendations made during the audits?
9. How is employee involvement facilitated in the internal audit process, and how do you ensure that their feedback is considered?
10. What measures are in place to ensure that the OH&S management system is effectively maintained over time, particularly following any changes to operations or regulations?
11. How does management review the results of internal audits, and what actions are taken based on these reviews to enhance the OH&S management system?
12. Can you describe the training provided to internal auditors to ensure they are competent in assessing the OH&S management system effectively?
13. How do you ensure that the audit process is impartial and that auditors do not assess their own work?
14. What mechanisms are in place for tracking and monitoring the implementation of corrective actions identified during audits?
15. How does the organization utilize the results of internal audits to drive continuous improvement in the OH&S management system?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Systematic Audit Schedule:** The organization has implemented a structured internal audit schedule, which outlines specific intervals for conducting audits. This proactive approach ensures consistent monitoring and assessment of the OH&S management system, allowing for timely identification of compliance gaps and corrective actions.
2. **Comprehensive Scope:** Internal audits cover all aspects of the OH&S management system, including the organization's policies, objectives, and legal requirements. This thorough scope demonstrates a commitment to holistic safety management, ensuring that all relevant areas are assessed for effectiveness and compliance.
3. **Engagement of Competent Personnel:** The organization has designated qualified and trained internal auditors who possess expertise in OH&S standards and practices. Their competence ensures that audits are conducted effectively, enabling accurate assessments and fostering trust in the findings and recommendations generated from the audits.

4. **Effective Documentation Practices:** Audit findings, corrective actions, and follow-up activities are meticulously documented, providing clear records that promote accountability and transparency. This effective documentation practice facilitates communication across the organization and serves as a reference for future audits and safety improvements.

5. **Timely Corrective Actions:** The organization demonstrates a strong commitment to continuous improvement by addressing non-conformities identified during audits promptly. By implementing corrective actions in a timely manner, the organization mitigates risks and enhances the overall effectiveness of its OH&S management system.

6. **Integration of Employee Feedback:** The internal audit process actively seeks and incorporates feedback from employees, fostering a culture of safety and open communication. This integration ensures that the perspectives of those directly involved in operations are considered, enhancing the relevance and effectiveness of safety measures.

7. **Regular Management Reviews:** Management conducts frequent reviews of internal audit results, demonstrating strategic oversight and engagement with the OH&S management system. These reviews enable leadership to assess system performance, allocate resources effectively, and identify areas needing attention or improvement.

8. **Continuous Improvement Focus:** The organization utilizes audit outcomes to uncover opportunities for enhancing the OH&S management system continually. By focusing on improvement, it fosters a culture where safety is prioritized, ensuring on-going compliance and a proactive approach to risk management.

9. **Training and Development Programs:** The organization invests in comprehensive training programs for both auditors and employees, ensuring that they are well-versed in OH&S policies and practices. This investment enhances competence and reinforces the importance of safety within the workplace culture.

10. **Proactive Risk Assessment:** Internal audits include rigorous evaluations of risk assessment processes, ensuring that potential hazards are identified and controlled. This proactive approach not only enhances workplace safety but also aligns with best practices for risk management and regulatory compliance.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Audit Frequency:** If the organization lacks a defined internal audit schedule, it presents an opportunity to implement regular intervals tailored to the complexity of operations and associated risks. This ensures comprehensive audits, enhancing compliance and identifying areas for continual improvement.

2. **Audit Scope Limitations:** If audits fail to cover all relevant aspects of the OH&S management system, including operational areas and legal requirements, there is an opportunity to expand the scope. This ensures comprehensive coverage, improving compliance and enhancing the effectiveness of safety management.

3. **Inadequate Auditor Training:** If internal auditors lack sufficient training in OH&S standards and practices, there is an opportunity to enhance their skills through targeted training programs. This will improve their ability to conduct effective audits, ensuring better compliance and strengthening the OH&S management system.

4. **Insufficient Documentation of Audit Findings:** If audit findings are poorly documented, accountability and follow-up actions may be hindered. Improving documentation practices ensures clear tracking of issues and corrective actions, promoting transparency, timely resolution, and continuous improvement in the OH&S management system.

5. **Delayed Corrective Actions:** Delays in addressing non-conformities identified during audits highlight the need to streamline the corrective action process. By improving efficiency, the organization can ensure timely resolution, minimize risks, and foster continuous improvement in compliance and overall OH&S performance.

6. **Limited Employee Involvement:** If employee feedback is not actively sought during audits, there is an opportunity to improve engagement and participation. Involving employees, who are closest to operations, ensures valuable insights are gathered, enhancing the audit process and promoting a culture of continuous improvement.

7. **Lack of Management Involvement:** If management does not regularly review audit results, it may create a disconnect between operational performance and strategic oversight. Encouraging management involvement strengthens accountability, ensures alignment with safety objectives, and improves resource allocation for effective safety initiatives and continuous improvement.

8. **Inadequate Follow-Up on Previous Audit Findings:** If previous audit findings are not properly followed up, it raises concerns about the effectiveness of corrective actions. Establishing a robust follow-up process ensures that issues are addressed thoroughly, enhancing the overall impact of internal audits and promoting continuous improvement.

9. **Limited Use of Audit Results for Improvement:** If the organization does not systematically analyze audit results for trends and patterns, it misses an opportunity to leverage findings for proactive risk management. Analysing trends can drive continuous improvement initiatives, enhance decision-making, and prevent recurring issues.

10. **Lack of Integration with Other Management Systems:** If the OH&S management system operates separately from other management systems (e.g., quality, environmental), there is an opportunity to integrate them. This integration provides a more holistic approach to organizational performance, improving efficiency, compliance, and overall sustainability.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Missing Audit Schedule:** There is no documented schedule for conducting internal audits, leading to potential inconsistencies in audit frequency. Without a set timeline, audits may not be performed systematically, impacting the organization's ability to maintain compliance and address issues effectively.

   Example: There is no internal audit plan or calendar established for the current year, indicating that planned intervals for audits have not been set. This absence of a structured schedule could result in audits being conducted irregularly or missed altogether. FORM NO: XXX

2. **Inconsistent Audit Frequency:** Internal audits are not being carried out at the planned intervals, leading to inconsistencies in evaluating the organization's compliance with safety and operational standards. This lack of regular audits may hinder timely identification of issues and corrective actions.

   Example: Audit records indicate that only one audit was conducted in the past 12 months, whereas the planned frequency was quarterly. This deviation from the scheduled audits may impact the effectiveness of monitoring and addressing compliance issues. FORM NO: XXX

3. **Limited Audit Scope:** Internal audits fail to encompass all critical components of the OH&S management system, leaving certain processes and areas unexamined. This gap may result in overlooked risks, non-compliance, or inefficiencies that could affect the overall safety performance of the organization.

   Example: Audit records show that specific departments or processes, such as warehousing, were excluded from the audit scope. The audit scope document lacks coverage for these areas, potentially missing important safety issues and compliance gaps that could affect overall OH&S performance. FORM NO: XXX

4. **Inadequate Auditor Competence:** Internal audit records indicate that auditors do not possess the required training or qualifications to effectively evaluate the organization's OH&S management system. This lack of competency could lead to incomplete or inaccurate audits, affecting compliance and safety standards.

   Example: Training records reveal that internal auditors lack formal training in ISO 45001 or have insufficient experience in conducting OH&S audits. This gap in expertise raises concerns about the effectiveness of audits and the accuracy of compliance assessments. FORM NO: XXX

5. **Poor Documentation of Findings:** Inadequate documentation of audit findings can lead to a lack of clarity, hindering accountability and follow-up actions. Improving documentation practices ensures clear tracking of issues, corrective actions, and compliance, facilitating effective resolution and supporting continuous improvement within the organization.

   Example: Audit reports lacking detailed descriptions of non-conformities, corrective actions, and timelines (e.g., Audit Report No. AR-2024) compromise clarity and accountability. Including these details ensures clear communication, effective follow-up, and timely resolution, enhancing overall audit effectiveness and compliance management. FORM NO: XXX

6. **Delayed Corrective Actions:** When corrective actions for audit findings are not implemented in a timely manner, it undermines the effectiveness of the audit process. Delays can lead to unresolved issues, compromising compliance and safety, and hindering continuous improvement within the organization.

   Example: Records showing overdue corrective action plans, with action items not completed within the agreed timeframe, indicate a lack of timely follow-through. This delay can hinder the resolution of identified issues, affect compliance, and reduce the overall effectiveness of the corrective action process. FORM NO: XXX

7. **Lack of Employee Involvement:** When employees are not engaged or consulted during the audit process, valuable insights and first-hand perspectives are missed. Involving employees ensures a more comprehensive audit, enhances engagement, and helps identify operational issues, promoting a culture of continuous improvement.

   Example: Audit reports that exclude employee interviews or feedback, such as missing Employee Feedback Forms, lack important perspectives from those directly involved in operations. Incorporating employee input ensures a more thorough audit, highlighting areas for improvement and fostering a culture of involvement. FORM NO: XXX

8. **Absence of Management Review of Audit Results:** When management does not review or act upon audit results, it creates a disconnect between operational performance and strategic oversight. This inaction undermines accountability, delays necessary improvements, and prevents the organization from addressing issues critical to its success.

   Example: Meeting minutes from management reviews that lack discussion on internal audit findings, such as in "Management Review Meeting Minutes - 2024," indicate a missed opportunity for leadership to address audit results. This omission can hinder effective decision-making and continuous improvement efforts. FORM NO: XXX

9. **Incomplete Follow-Up on Previous Findings:** When previous audit findings are not adequately followed up, it raises concerns about the effectiveness of corrective actions. This lack of follow-through can result in recurring issues, compromising compliance, and hindering the organization's ability to improve and maintain high standards.

   Example: Audit records indicating that several non-conformities from the last audit remain unaddressed, such as in "Previous Audit Report No. PAR-2023," suggest inadequate corrective actions. This oversight undermines the effectiveness of the audit process and poses risks to compliance and improvement efforts. FORM NO: XXX

10. **Insufficient Analysis of Audit Data:** The lack of analysis of audit results to identify trends or areas for improvement prevents the organization from proactively addressing recurring issues. This missed opportunity hinders continuous improvement efforts and reduces the effectiveness of audits in enhancing overall performance.

    Example: The absence of documented trend analysis reports, such as in "Trend Analysis Report No. TAR-2024," prevents the organization from identifying recurring issues or patterns over time. This limits the ability to implement proactive measures and drive continuous improvement in processes. FORM NO: XXX

9 PERFORMANCE EVALUATION

1. STANDARD REQUIREMENTS:

9.2.2 INTERNAL AUDIT PROGRAMME

The organization shall:

a) Plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, consultation, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;

b) Define the audit criteria and scope for each audit;

c) Select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;

d) Ensure that the results of the audits are reported to relevant managers; ensure that relevant audit results are reported to workers, and, where they exist, workers' representatives, and other relevant interested parties;

e) Take action to address nonconformities and continually improve its OH&S performance (see Clause 10);

f) Retain documented information as evidence of the implementation of the audit programme and the audit results.

NOTE: For more information on auditing and the competence of auditors, see ISO 19011.

2. EXPLAINATION:

1. **Planning and Establishing an Audit Program:** The audit program must be systematic, aligned with the organization's OH&S objectives, and based on process importance and previous audit results. It should outline audit frequency, methods (e.g., interviews, document reviews, observations), and team responsibilities. The program should include consultation with relevant stakeholders, define planning requirements, and specify reporting procedures to ensure comprehensive coverage, timely follow-up and continuous improvement in OH&S performance.

   Example: A manufacturing company may conduct internal audits quarterly, concentrating on high-risk areas like machinery operation and safety compliance. The audit team, including HR and production representatives, will meet prior to each audit to define objectives, scope, and key focus areas. This collaborative approach ensures alignment with OH&S objectives, addresses critical risks, and enables effective audits to drive continuous improvement and maintain compliance with safety standards.

2. **Defining Audit Criteria and Scope:** Audit criteria should include applicable legal requirements, internal policies, and industry best practices to ensure comprehensive evaluation. The scope must clearly define the areas to be audited, such as specific departments, processes, or systems. This ensures that audits cover all relevant aspects of the organization, identifying potential risks and non-conformities, while aligning with legal and organizational standards to drive improvements and maintain compliance with OH&S regulations.

Example: In a construction company, the audit criteria for a safety audit may include compliance with local regulations and the company's safety policies. The scope could cover site operations, worker training records, and safety equipment inspections. This ensures that key safety aspects are thoroughly assessed, identifying potential hazards, training gaps, and equipment deficiencies, and promoting a safer work environment by ensuring adherence to legal and organizational safety standards.

3. **Selecting Auditors and Ensuring Objectivity:** Auditors must remain independent of the activities they audit to maintain objectivity and ensure unbiased assessments. This can be achieved by assigning auditors from different departments who have no direct involvement in the audited activities or by using external auditors. Such independence helps eliminate conflicts of interest, promotes transparency, and enhances the credibility of the audit process, ensuring accurate evaluations and effective corrective actions.

   Example: If an internal audit is conducted on warehouse operations, an auditor from the HR department may be selected to avoid conflicts of interest and ensure an unbiased evaluation of safety procedures. This approach guarantees objectivity, as the HR auditor would not be involved in the warehouse's day-to-day operations, helping to identify potential safety gaps and ensuring a thorough and impartial audit of the warehouse's compliance with safety standards.

4. **Reporting Audit Results:** Audit findings should be communicated clearly and promptly to enable timely corrective actions. The reporting process must involve discussions with relevant stakeholders to ensure that everyone understands the results, their implications, and the necessary steps for improvement. Effective communication promotes accountability, fosters collaboration, and ensures that the appropriate corrective actions are taken to address identified issues and improve organizational performance and compliance.

   Example: After completing an audit of laboratory safety protocols, the audit team prepares a report highlighting key findings and recommendations. This report is shared with lab management for review and action. Additionally, the findings are communicated in a safety meeting with all lab employees to ensure understanding, promote awareness of safety issues, and encourage collective responsibility in implementing the recommended improvements to enhance safety practices in the laboratory.

5. **Addressing Nonconformities and Continual Improvement:** Nonconformities identified during audits must be addressed through corrective actions to resolve issues and prevent recurrence. The organization should also use audit results to inform decisions that drive continual improvement in its OH&S management system. Analysing audit findings helps identify areas for enhancement, optimize processes, and ensure compliance, fostering a culture of safety and proactive risk management across the organization.

   Example: If an audit identifies that safety equipment is not being used correctly, the organization may implement additional training sessions to improve compliance and safety awareness among employees. Additionally, the organization may review and revise safety policies to ensure they are clear, effective, and align with best practices. These actions support continuous improvement, enhance safety standards, and help maintain a safer working environment by addressing identified gaps.

6. **Documenting Audit Implementation and Results:** Proper documentation of the audit process, findings, and actions taken is crucial for demonstrating compliance and the effectiveness of corrective measures. This detailed record helps track progress, ensures accountability, and serves as evidence during management reviews or future audits. It provides a clear trail of improvements made, supports transparency, and facilitates continuous improvement by offering valuable insights for addressing recurring issues and optimizing processes over time.

   Example: The organization maintains a centralized audit management system that stores all audit plans, checklists, reports, and corrective action records. This system enables easy access during management reviews, ensuring that relevant information is readily available. It also helps track the resolution of identified issues, promoting accountability and facilitating the continuous improvement process by providing a comprehensive overview of audit outcomes and corrective actions taken.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The organization's OH&S policy should clearly articulate its commitment to maintaining a safe working environment. It serves as a framework for setting objectives, demonstrating leadership commitment, and ensuring compliance with applicable legal and other health and safety requirements.

2. **Risk Assessments:** Risk assessment records should detail the identification of workplace hazards, evaluation of associated risks, and the effectiveness of implemented controls. These assessments guide the organization in prioritizing risks, establishing safety measures, and enhancing overall workplace safety culture.

3. **Audit Program and Plan:** The audit program and plan document the systematic approach to internal audits. They should outline the frequency, methods, responsibilities, and scope of audits, ensuring they are aligned with the organization's OH&S objectives and based on previous audit results.

4. **Audit Reports:** Previous audit reports provide insights into the organization's compliance status and identify nonconformities. They should include findings, corrective actions taken, and evaluations of the effectiveness of those actions, helping to ensure continuous improvement in OH&S performance.

5. **Training Records:** Training records should document all health and safety training provided to employees. These records confirm that workers are knowledgeable about safety protocols, procedures, and emergency responses, ensuring they are equipped to manage risks and comply with safety requirements.

6. **Incident and Accident Reports:** Incident and accident reports should detail the circumstances surrounding workplace incidents, including root cause analyses and corrective actions taken. Analysing these reports aids in preventing future occurrences and demonstrates the organization's commitment to learning from past mistakes.

7. **Corrective Action Records:** Corrective action records should track nonconformities identified through audits or incident investigations. They must document the steps taken to address these issues, along with follow-up actions and their effectiveness, illustrating the organization's dedication to continuous improvement.

8. **Safety Meeting Minutes:** Minutes from safety meetings should capture discussions about health and safety concerns, action items, and decisions made. These documents reflect the organization's proactive approach to addressing safety issues and ensure that all relevant stakeholders are informed and engaged.

9. **Compliance Records:** Compliance records must demonstrate adherence to applicable legal and regulatory requirements related to occupational health and safety. These documents, including licenses and inspection reports, provide evidence of the organization's commitment to maintaining legal compliance and industry standards.

10. **Emergency Preparedness and Response Plans:** Emergency preparedness plans outline the procedures for responding to various potential emergencies, including evacuation protocols and communication strategies. Training and drills ensure that employees are familiar with these plans, promoting safety and minimizing risks during actual emergencies.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Document:** Review the organization's OH&S policy to ensure it aligns with ISO 45001 requirements. The policy should be effectively communicated to all employees and regularly reviewed to maintain its relevance, compliance, and effectiveness in promoting a safe working environment verified. Example: Document Number: OHSP-2024-001, Date of Issue: 2024-01-15, Reviewed By: John Smith, Safety Manager.

2. **Risk Assessment Records:** Verify that risk assessments have been conducted for identified hazards, including a detailed evaluation of associated risks, implemented control measures, and regular reviews. Ensure these assessments are documented and updated to reflect changes in workplace conditions or regulations reviewed. Example: Risk Assessment Form Number: RA-2024-05, Date of Assessment: 2024-02-10, Assessor: Emily Brown.

3. **Audit Program Plan:** Examine the documented audit program to ensure it outlines the schedule, scope, and responsibilities for internal audits. The program should detail audit frequency, areas to be audited, and assigned personnel to ensure systematic and effective audit process evidence. Example: Audit Program Number: AP-2024-Q1, Audit Frequency: Quarterly, Planned Audits: 3, Last Updated: 2024-01-20.

4. **Previous Audit Reports:** Review past internal audit reports to assess identified findings, nonconformities, and the corrective actions taken. Evaluate whether corrective measures were effective, timely, and implemented to address issues, ensuring continuous improvement and compliance with the organization's OH&S management system verified. Example: Audit Report Number: AR-2023-001, Date of Audit: 2023-12-05, Auditors: Jane Doe & Mark Lee.

5. **Training Attendance Records:** Confirm that employees have received relevant health and safety training by reviewing training records. Ensure attendance is properly documented, and verify that the training covers necessary safety protocols, procedures, and compliance with organizational and regulatory health and safety requirements evidence. Example: Training Session Name: Hazard Communication Training, Attendance Record ID: TR-2024-07, Date: 2024-03-15, Participants: 25 Employees.

6. **Incident Report Records:** Review incident and accident reports to ensure thorough investigations were conducted. Assess the actions taken to prevent recurrence, including corrective and preventive measures. Verify that these actions align with the organization's OH&S policies and contribute to improving workplace safety reviewed. Example: Incident Report Number: IR-2024-002, Date of Incident: 2024-04-05, Reported By: Alex Johnson.

7. **Corrective Action Records:** Verify the existence of records documenting nonconformities identified during audits or inspections. Ensure that corresponding corrective actions have been implemented, tracked, and resolved effectively, with clear documentation demonstrating compliance and the organization’s commitment to addressing identified issues reviewed. Example: Corrective Action Request Number: CAR-2024-001, Date Raised: 2024-04-10, Responsible Person: Sara White.

8. **Safety Meeting Minutes:** Examine the minutes of safety meetings to confirm that OH&S issues are discussed, including any identified hazards, incidents, or concerns. Ensure action items are recorded, with clear responsibilities assigned, timelines, and follow-up plans to address safety matters effectively reviewed. Example: Meeting Minutes Document Number: SM-2024-03, Date of Meeting: 2024-03-20, Attendees: Safety Committee Members.

9. **Emergency Response Plan Document:** Review the emergency response plan to ensure it includes procedures for various potential emergencies, such as fire, medical incidents, and evacuation. Verify that the plan is communicated to all employees and regularly updated to ensure effectiveness and preparedness verified. Example: Emergency Plan Document Number: ERP-2024-001, Date Issued: 2024-01-30, Reviewed By: Michael Brown, Emergency Coordinator.

10. **Performance Monitoring Data:** Assess records of key performance indicators (KPIs) related to OH&S to evaluate the organization’s safety performance over time. Analyze trends, identify areas for improvement, and ensure the KPIs align with organizational goals and compliance with safety regulations evidence. Example: KPI Report Number: KPI-2024-Q1, Reporting Period: January to March 2024, Total Incidents: 5, Lost Time Injury Rate: 2.5%.

5. INTERVIEW QUESTIONS:

1. Can you provide an overview of your internal audit program, including its objectives and how it is aligned with your occupational health and safety (OH&S) management system?

2. How frequently are internal audits conducted, and what factors influence the determination of this frequency?

3. What methods are used to plan and execute audits, and how are the responsibilities for these audits assigned within the organization?

4. Can you show me the documentation that outlines the consultation process during audit planning? How are relevant stakeholders involved?

5. How do you determine the audit criteria and scope for each audit, and can you provide examples of recent audits and their specific scopes?

6. What qualifications or training do your auditors have to ensure objectivity and impartiality during the audit process?

7. How do you ensure that audit results are communicated effectively to relevant managers, and can you show me a recent audit report?

8. How do you involve workers and their representatives in the audit process, and how are they informed about the results?

9. Can you provide examples of nonconformities identified in recent audits and the actions taken to address these issues? How do you verify the effectiveness of those actions?

10. How is continual improvement in OH&S performance integrated into your audit program, and can you provide evidence of this process?

11. What procedures do you have in place for retaining documented information related to the audit program and results, and how long are these records maintained?

12. How do you ensure that the audit program is reviewed and updated regularly to remain relevant and effective?

13. Can you provide evidence of how the results of previous audits have influenced the planning and execution of subsequent audits?

14. What challenges have you encountered in implementing the audit program, and how have you addressed them?

15. How do you evaluate the effectiveness of your audit program overall, and what metrics do you use to measure its success?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Comprehensive Audit Program:** The organization has developed a structured internal audit program that outlines specific frequencies, methods, and assigned responsibilities. This proactive approach ensures consistent monitoring of compliance with occupational health and safety standards, enhancing overall organizational effectiveness in managing risks.

2. **Risk-Based Approach:** By considering the importance of processes and results from previous audits, the audit program effectively prioritizes areas with higher risks. This risk-based methodology demonstrates the organization's commitment to addressing critical safety concerns and allocating resources efficiently to mitigate potential hazards.

3. **Defined Audit Criteria and Scope:** The organization clearly defines audit criteria and scope for each internal audit, ensuring comprehensive coverage of all relevant aspects of the occupational health and safety management system. This level of detail facilitates targeted evaluations and meaningful findings during the audits.

4. **Competent Auditors:** The selection of auditors is based on their qualifications and training, which enhances the objectivity and impartiality of the audit process. This commitment to employing skilled auditors fosters credibility in the audit findings and strengthens trust in the organization's safety practices.

5. **Effective Communication:** The organization actively communicates audit results to relevant managers and workers, promoting transparency and accountability. This practice not only informs stakeholders about safety performance but also encourages engagement and ownership of safety improvements across all levels of the organization.

6. **Action on Nonconformities:** The systematic approach to identifying, addressing, and correcting nonconformities demonstrates the organization's dedication to continuous improvement. By promptly implementing corrective actions, the organization not only enhances its occupational health and safety performance but also minimizes the recurrence of issues.

7. **Engagement of Workers:** The inclusion of workers and their representatives in the audit process highlights the organization's commitment to fostering a strong safety culture. This engagement ensures that employee feedback is valued, leading to enhanced safety practices and a shared responsibility for workplace safety.

8. **Retention of Documented Information:** The organization diligently retains documented information related to the audit program's implementation and outcomes. This practice ensures accountability and traceability, allowing for on-going monitoring of compliance and effectiveness while providing a valuable reference for future audits and improvements.

9. **Continuous Review and Improvement:** Regular reviews and updates of the audit program based on emerging findings and changing circumstances showcase the organization's adaptability. This commitment to continuous improvement helps maintain an effective occupational health and safety management system that evolves with organizational needs.

10. **Alignment with ISO 19011:** The organization's adherence to ISO 19011 guidelines for auditing management systems illustrates its dedication to best practices. This alignment not only enhances the competency of auditors but also fosters a culture of excellence in conducting internal audits and evaluating safety performance.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Audit Frequency:** If the organization's audit frequency doesn't match the risk profile of its operations, it's important to reassess and adjust the schedule. This ensures critical processes are audited more frequently, minimizing potential risks and improving overall process effectiveness and compliance.

2. **Documentation Gaps:** Incomplete documentation in the audit program, such as missing planning documents or unclear responsibilities, highlights the need for improved record-keeping practices. Enhancing documentation ensures better accountability, traceability, and clarity, ultimately strengthening the effectiveness and compliance of the audit process.

3. **Lack of Consultation:** Insufficient consultation with stakeholders during the audit planning phase can lead to missed perspectives, reducing the audit's relevance. Encouraging broader input from key stakeholders can improve the audit's effectiveness, ensuring all critical areas are considered and increasing overall process alignment and compliance.

4. **Undefined Audit Scope:** Vague or undefined audit scopes can result in inconsistent evaluations and missed critical elements. Clearly defining the audit scope for each assessment ensures comprehensive coverage of all necessary aspects of the OH&S management system, leading to more accurate, effective, and reliable evaluations.

5. **Training for Auditors:** If auditors lack adequate training or qualifications, it presents an opportunity to invest in their professional development. Enhancing their competence ensures audits are conducted with greater objectivity, accuracy, and effectiveness, ultimately strengthening the overall audit process and improving organizational outcomes.

6. **Communication of Results:** If audit results are not effectively communicated to all relevant parties, including workers and their representatives, it can lead to disengagement. Improving communication strategies ensures transparency, encourages stakeholder involvement, and fosters a culture of continuous improvement, driving better outcomes and organizational alignment.

7. **Action Plans for Nonconformities:** Inadequate action plans for addressing nonconformities may lead to recurring issues. Establishing clear, structured action plans with defined timelines and responsibilities ensures effective problem resolution, reduces the likelihood of repeat occurrences, and improves the organization's overall ability to rectify issues efficiently and consistently.

8. **Follow-Up Mechanisms:** The absence of follow-up mechanisms to ensure corrective actions are implemented and effective can hinder continuous improvement. Instituting regular follow-up reviews ensures nonconformities are addressed thoroughly, closing the loop on issues and enhancing the organization's ability to sustain improvements and prevent recurrence.

9. **Integration with Other Management Systems:** If the internal audit program operates in isolation, it presents an opportunity to integrate it with other management system audits, such as quality or environmental. This integration can streamline processes, reduce duplication, and maximize resource utilization, improving overall audit efficiency and effectiveness.

10. **Feedback from Auditees:** The lack of a mechanism for obtaining feedback from auditees creates an opportunity to establish a feedback loop. This would help refine the audit approach, address concerns from audited parties, and improve the overall audit process, enhancing transparency and fostering continuous improvement.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Audit Program Documentation:** The organization lacks a documented audit program, which may lead to inconsistent audit planning and execution. Implementing a structured and documented audit program ensures clear objectives, schedules, responsibilities, and adherence to audit standards, improving overall effectiveness and accountability.

   Example: There is no formal document titled "Internal Audit Program," and relevant personnel are unaware of planned audits, as evidenced by interviews with audit team members and the absence of an audit schedule. This indicates a need for better planning and communication. FORM NO: XXX

2. **Inadequate Audit Frequency:** Audits are not conducted at the frequency specified in the audit program, which may lead to gaps in oversight and risk management. Adhering to the outlined schedule is essential for ensuring consistent monitoring and maintaining compliance with relevant standards.

   Example: The audit schedule reveals that critical processes have not been audited as frequently as planned, with quarterly audits intended but only annual audits conducted over the past two years. This inconsistency undermines process oversight and may lead to undetected risks. FORM NO: XXX

3. **Undefined Audit Scope:** The scope of audits is not clearly defined or documented, leading to potential gaps in coverage and inconsistent evaluations. Clearly outlining and documenting audit scopes ensures all critical areas are assessed and provides clarity for effective audit execution.

   Example: Audit checklists lack clarity on the areas to be audited, resulting in inconsistent evaluations. For example, audit reports fail to specify which processes were included or excluded, making it difficult to assess the completeness and accuracy of the audit. FORM NO: XXX

4. **Unqualified Auditors:** Auditors selected for conducting audits lack the necessary qualifications or training, which may result in ineffective audits. Ensuring auditors have the required skills and expertise is essential for conducting thorough, accurate audits and maintaining the credibility of the audit process.

Example: Audit records indicate that auditors lack the required certifications, such as ISO 45001 training certificates and this is not documented in the auditor selection records. This highlights a need for proper qualification verification to ensure competent and effective auditing. FORM NO: XXX

5. **No Consultation with Stakeholders:** The audit program lacks consultation with relevant stakeholders during the planning phase, which may result in overlooked areas or concerns. Involving stakeholders ensures a comprehensive audit plan that addresses critical issues and aligns with organizational needs and objectives.

   Example: Meeting minutes and planning documents do not reflect input from relevant personnel or departments, such as missing stakeholders' names in the audit planning records. This gap indicates a lack of collaboration, which could affect the comprehensiveness and relevance of the audit plan. FORM NO: XXX

6. **Inadequate Reporting of Audit Results:** Audit results are not adequately reported to relevant managers or workers, leading to a lack of awareness and action on identified issues. Effective communication of audit findings is essential for addressing nonconformities and driving continuous improvement within the organization.

   Example: Audit reports are only distributed to upper management, with no evidence of communication to workers, such as the absence of shared audit summary documents. This limits transparency and engagement, hindering a culture of continuous improvement and accountability across all levels. FORM NO: XXX

7. **Failure to Address Nonconformities:** Identified nonconformities from previous audits are not addressed or corrected, indicating a lack of follow-through. Failure to resolve these issues can lead to recurring problems, undermining the effectiveness of the audit process and hindering continuous improvement efforts.

   Example: Nonconformity reports from past audits show unresolved issues, such as corrective action requests from audit findings older than six months. This indicates a failure to address and close out identified problems, compromising the effectiveness of the audit process and organizational improvement. FORM NO: XXX

8. **No Evidence of Continuous Improvement Actions:** The organization does not demonstrate actions taken to improve OH&S performance based on audit findings, suggesting a lack of effective follow-up. Without addressing audit recommendations, the organization risks failing to enhance safety practices and ensure continuous improvement in occupational health and safety.

   Example: There is a lack of action plans or follow-up reviews related to audit findings in performance improvement meetings, as evidenced by meeting minutes showing no discussion of audit results or subsequent improvements. This hinders accountability and prevents necessary corrective actions. FORM NO: XXX

9. **Insufficient Documented Information Retention:** The organization does not retain adequate documented information as evidence of audit implementation, such as audit plans, reports, or corrective actions. This lack of documentation undermines the ability to track audit effectiveness and demonstrates non-compliance with audit and record-keeping standards.

   Example: Audit records are missing or incomplete, such as incomplete audit reports or the absence of a documented retention policy for audit documents. This lack of proper documentation compromises audit traceability, accountability, and the ability to review past audit findings effectively. FORM NO: XXX

10. **Inconsistent Audit Methods:** Audit methods used are inconsistent and do not adhere to established protocols, leading to unreliable results. Adhering to standardized audit procedures is essential for ensuring consistency, accuracy, and the effectiveness of the audit process in identifying and addressing nonconformities.

    Example: Different auditors use varying methods or checklists without consistency, as evidenced by audit reports showing different criteria or formats. This lack of standardization can lead to uneven evaluations, making it difficult to compare results and ensure a comprehensive audit process. FORM NO: XXX

9 PERFORMANCE EVALUATION

1. STANDARD REQUIREMENTS:

9.3 MANAGEMENT REVIEW

Top management shall review the organization's OH&S management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.
The management review shall include consideration of:

a) the status of actions from previous management reviews;

b) changes in external and internal issues that are relevant to the OH&S management system, including:

   1. The needs and expectations of interested parties;
   2. Legal requirements and other requirements;
   3. Risks and opportunities;

c) The extent to which the OH&S policy and the OH&S objectives have been met;

d) Information on the OH&S performance, including trends in:

   1. Incidents, nonconformities, corrective actions and continual improvement;
   2. Monitoring and measurement results;
   3. Results of evaluation of compliance with legal requirements and other requirements;
   4. Audit results;
   5. Consultation and participation of workers;
   6. Risks and opportunities;

e) Adequacy of resources for maintaining an effective OH&S management system;

f) Relevant communication(s) with interested parties;

g) Opportunities for continual improvement.

The outputs of the management review shall include decisions related to:

1. The continuing suitability, adequacy and effectiveness of the OH&S management system in achieving its intended outcomes;
2. Continual improvement opportunities;
3. Any need for changes to the OH&S management system;
4. Resources needed;
5. Actions, if needed;
6. Opportunities to improve integration of the OH&S management system with other Business processes;
7. Any implications for the strategic direction of the organization.

Top management shall communicate the relevant outputs of management reviews to workers, and, where they exist, workers' representatives (see 7.4).

The organization shall retain documented information as evidence of the results of management reviews.

2. EXPLAINATION:

1. **Status of Actions from Previous Management Reviews:** This process evaluates the completion and effectiveness of actions identified in the previous review. It ensures issues are resolved and improvements are achieved by verifying implementation, assessing outcomes, and addressing any gaps. The review also identifies lessons learned and further opportunities for enhancement, promoting continuous improvement and alignment with organizational objectives and performance goals.

   Example: In the prior review, management highlighted the need to enhance emergency response procedures. This review assesses whether planned training sessions were conducted and evaluates the effectiveness of updated procedures. It involves verifying implementation, gathering feedback from participants, and testing response outcomes to ensure readiness. The findings help determine if objectives were met or if additional actions are required for continuous improvement.

2. **Changes in External and Internal Issues**

a. **Needs and Expectations of Interested Parties:** Management should assess whether there have been any changes in the needs or expectations of employees, contractors, or regulatory bodies. This includes reviewing feedback, updated regulations, or evolving operational requirements. Such evaluations ensure that organizational practices remain aligned with stakeholder expectations and compliance standards, fostering a proactive approach to addressing potential gaps and maintaining performance, safety, and regulatory adherence.

   Example: A new government regulation on chemical handling could significantly impact the organization's operations. Management must evaluate its implications on current OH&S objectives and procedures, ensuring compliance while maintaining safety standards. This involves revising policies, updating training programs, and implementing necessary controls. Proactive review helps align organizational practices with regulatory requirements, mitigating risks and safeguarding employee health and safety.

b. **Legal and Other Requirements:** Management must ensure the system aligns with new or updated legal and regulatory requirements. This involves regularly monitoring changes in regulations, evaluating their impact on operations, and updating policies and procedures accordingly. Compliance reviews, employee training, and system audits should be conducted to verify adherence. Proactively addressing regulatory changes helps minimize risks, maintain legal conformity, and uphold organizational integrity.

   Example: A new law imposing stricter workplace injury reporting standards requires management to review the system's incident reporting procedures. This evaluation ensures alignment with updated legal requirements by examining reporting accuracy, timeliness, and documentation practices. Necessary adjustments, such as staff training or procedural updates, are implemented to maintain compliance. Regular reviews help the organization adhere to legal standards and enhance workplace safety management.

c. **Risks and Opportunities:** Management should evaluate changes in risk factors, such as the introduction of new equipment or processes, to identify potential hazards. Simultaneously, they should explore opportunities like adopting safer technologies to enhance workplace safety. This involves risk assessments, updating procedures, and considering innovative solutions. Proactive management of risks and opportunities ensures continuous improvement in safety, operational efficiency, and compliance with organizational and regulatory standards.

   Example: The organization recently implemented automated machinery, reducing physical strain on workers but introducing potential risks, such as electrical hazards. Management must reassess safety protocols, conduct hazard analyses, and implement controls to mitigate these new risks. Training staff on safe operation and emergency response is essential. Regular monitoring and maintenance ensure safety standards are upheld, balancing innovation with a commitment to workplace safety and risk management.

3. **OH&S Policy and Objectives Achievement:** Management should assess how effectively the OH&S policy and objectives are implemented in practice. This involves reviewing performance metrics, incident reports, and employee feedback to determine alignment with desired outcomes. Identifying gaps or areas for improvement ensures that the policy remains relevant and impactful. Regular evaluations foster continuous improvement, reinforce a culture of safety, and ensure compliance with legal and organizational standards.

   Example: An objective to reduce workplace injuries by 15% requires management to review progress during evaluations. They analyze whether the injury rate has decreased as planned and identify contributing factors if the target was not achieved. Discussions focus on potential improvements, such as enhanced training or updated safety measures. This process ensures accountability, fosters continuous improvement, and aligns efforts with organizational safety goals.

4. **OH&S Performance Trends**

a. **Incidents, Nonconformities, Corrective Actions, and Continual Improvement:** Reviewing the frequency and nature of incidents, nonconformities, and corrective actions helps identify trends and recurring issues within the organization. By analysing patterns, management can pinpoint underlying causes, assess the effectiveness of current solutions, and implement targeted improvements. This proactive approach enables continuous improvement, enhances safety, and reduces the risk of future incidents, ensuring better compliance with standards and more efficient operational practices.

   Example: Management identifies that most incidents are concentrated in one specific department and reviews the corrective actions taken, such as enhanced training programs and equipment maintenance. By evaluating the effectiveness of these measures, management determines if further improvements are needed, like additional safety protocols or resource allocation. This review aims to reduce incidents, strengthen safety culture, and ensure a safer working environment in the affected department.

b. **Monitoring and Measurement Results:** This process involves examining collected data, such as air quality levels or noise levels across various work areas, to ensure compliance with OH&S standards. Management reviews the data to identify any areas exceeding permissible limits or requiring improvements. By verifying compliance, the organization can take corrective actions, enhance worker safety, and ensure that environmental conditions meet regulatory and internal health and safety requirements.

   Example: If monitoring reveals that noise levels consistently exceed safe limits in a specific section, management can consider implementing measures such as soundproofing the area or providing ear protection for employees. Additionally, management may evaluate work schedules to limit exposure time or invest in quieter machinery. These actions help mitigate the risks associated with excessive noise, ensuring a safer work environment and compliance with health and safety standards.

c. **Compliance with Legal and Other Requirements:** Reviewing compliance with laws, regulations, and internal policies ensures that the organization operates within legal and ethical boundaries. This process involves regularly assessing practices, procedures, and systems to verify adherence to applicable laws and internal standards. Identifying any discrepancies or gaps enables management to implement corrective actions, mitigate risks, and maintain regulatory compliance, fostering a culture of accountability and continuous improvement within the organization.

   Example: Management evaluates whether all incident reports are submitted within the mandatory deadlines set by regulatory requirements. This involves reviewing submission records, verifying timeliness, and ensuring compliance with reporting standards. If any delays or discrepancies are found, management will investigate the causes and implement corrective actions to improve adherence. Regular assessments help maintain compliance, minimize risks, and ensure the organization meets legal and safety obligations.

d. **Audit Results:** Reviewing both internal and external audit results helps identify nonconformities and areas for improvement within the organization. By analysing audit findings, management can pinpoint gaps in processes, compliance issues, or inefficiencies. This review provides valuable insights for corrective actions, allowing the organization to address shortcomings, enhance performance, and strengthen its systems. Continuous evaluation fosters a culture of improvement and ensures sustained adherence to standards.

   Example: An external audit identifies gaps in machine safety procedures, prompting management to evaluate the findings and discuss corrective actions. This may include revising safety protocols, enhancing training programs, or upgrading equipment safeguards. Management will prioritize the implementation of these actions to close the gaps, improve compliance, and ensure worker safety. Regular monitoring and follow-up audits will help verify the effectiveness of the corrective measures.

e. **Worker Consultation and Participation:** Gathering input from employees is crucial for identifying workplace hazards and improving safety processes. Employees, being on the front lines, can provide valuable insights into potential risks and inefficiencies. Regular feedback sessions, surveys, or safety meetings allow management to address concerns, refine procedures, and implement effective solutions. This collaborative approach enhances safety culture, reduces risks, and ensures continuous improvement in safety practices.

Example: Workers have raised concerns about inadequate ventilation in certain areas, prompting management to evaluate and address the issue within the OH&S system. Management will assess ventilation conditions, identify affected zones, and explore potential solutions, such as installing additional ventilation systems or improving air circulation. This proactive approach aims to enhance air quality, reduce health risks, and ensure a safer, more comfortable work environment for employees.

f. **Risks and Opportunities:** Management should continuously assess both existing and new risks and opportunities by using updated information, such as incident reports, regulatory changes, and technological advancements. Regular evaluations help identify emerging hazards, gaps in safety protocols, and potential areas for improvement. This proactive approach ensures that risk management strategies remain relevant and effective, enabling the organization to capitalize on opportunities while mitigating risks in a dynamic environment.

   Example: As the organization plans to expand to a new location, management discusses additional health and safety considerations specific to the new site. This includes evaluating potential hazards, local regulations, and necessary safety measures to protect employees. Adjustments to training programs, emergency protocols, and risk assessments are considered to ensure the new location meets all safety requirements, fostering a safe environment for workers from the outset.

5. **Adequacy of Resources for the OH&S System:** Management reviews whether current resources, such as equipment, staffing, and budget, are adequate to support effective OH&S performance. This involves assessing if existing resources meet safety requirements, address potential hazards, and enable proper training and compliance. If gaps are identified, management may allocate additional resources or adjust plans to ensure safety objectives are met. Regular reviews help maintain a robust and efficient OH&S system.

   Example: If the training budget is insufficient to meet current OH&S requirements, management may need to allocate additional funds for worker training. This ensures that employees are equipped with the necessary skills and knowledge to maintain safety standards. Investing in training helps reduce risks, ensures compliance with regulations, and promotes a culture of safety, ultimately contributing to the overall effectiveness of the OH&S system.

6. **Relevant Communications with Interested Parties:** This process involves assessing the effectiveness of OH&S communication with key parties like contractors, suppliers, and government bodies. Management must review how well safety information is shared, ensuring clarity, accuracy, and timeliness. Evaluating feedback from these parties and identifying any communication gaps helps improve collaboration, compliance, and the overall effectiveness of the OH&S program, fostering a safer work environment across all involved stakeholders.

   Example: If a new partnership requires regular updates on OH&S performance, management must review existing communication channels to ensure they meet compliance standards and facilitate effective information flow. This includes evaluating reporting formats, frequencies, and stakeholder engagement methods. Management should also ensure that the updates are clear, accurate, and timely to maintain transparency, foster collaboration, and ensure that all parties are informed of OH&S performance.

7. **Opportunities for Continual Improvement:** Identifying areas for improvement in the OH&S system focuses on proactively enhancing safety standards. Management should review incident reports, employee feedback, and risk assessments to uncover weaknesses. By evaluating current practices and seeking opportunities for innovation, such as adopting new technologies or improving training programs, the organization can strengthen its OH&S framework. Continuous improvement ensures a safer work environment and better compliance with regulations.

   Example: Management may choose to implement automated safety alerts to improve response times during emergencies. By introducing real-time notifications, employees can react more quickly, minimizing risks and potential harm. The system can alert staff to hazardous conditions, accidents, or safety breaches instantly. This proactive approach enhances overall safety, ensures faster incident management, and supports compliance with safety standards, creating a more responsive and safer workplace.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Management Review Meeting Agenda and Minutes:** These outline the topics discussed during the review, including system performance, past issues, and future actions. Minutes summarize discussions, decisions made, and assigned responsibilities, ensuring alignment with OH&S objectives and planned improvements for effective follow-up and continuous safety enhancements.
2. **Previous Management Review Action Plans and Follow-up Records:** These records document actions identified during previous reviews, status updates, and evidence of completion. They verify that prior review findings were effectively addressed and track on-going initiatives, ensuring continuous improvement and compliance with OH&S standards for enhanced safety performance.
3. **Internal and External Issue Logs:** Documents record internal factors, such as workforce changes, and external factors, like regulatory updates, affecting the OH&S system. These help demonstrate the organization's awareness of relevant issues and its proactive response to mitigate potential OH&S risks and ensure compliance.
4. **Legal and Regulatory Compliance Records:** These documents demonstrate adherence to applicable OH&S laws, regulations, and relevant standards, such as inspection reports or certification records. They highlight the organization's efforts to comply with or exceed regulatory and legal health and safety requirements, ensuring a safe working environment.
5. **OH&S Objectives and Performance Metrics:** These documents provide evidence of achievement or gaps in OH&S targets and KPIs, showing whether health and safety objectives are met. The metrics reflect performance trends, helping management set realistic goals and drive continuous improvements in the OH&S system.
6. **Incident, Nonconformity, and Corrective Action Records:** These records track workplace incidents, identified nonconformities, and corrective actions taken. They help analyze incident trends, assess the effectiveness of preventive measures, and evaluate corrective actions, ensuring that risks are mitigated and continuous improvement is achieved in the OH&S system.
7. **Monitoring and Measurement Records:** Documentation of health and safety metrics, such as noise or air quality levels, shows regular monitoring and proactive management of risks. These records help verify that workplace conditions comply with required safety standards, ensuring a healthy and safe working environment.

8. **Audit Reports and Findings:** Internal and external audit reports highlight nonconformities and areas for improvement within the OH&S system. Corrective actions taken in response to findings demonstrate the organization's commitment to regulatory compliance, continuous process improvements, and maintaining a safe and compliant work environment.

9. **Worker Consultation and Participation Records:** These include meeting minutes, surveys, or feedback mechanisms capturing workers' input on OH&S matters. Worker involvement is essential for identifying hazards, fostering a safety culture, and improving OH&S practices, promoting collaboration and ensuring the continuous enhancement of workplace safety.

10. **Risk and Opportunity Assessment Reports:** Risk assessments identify hazards, while opportunity assessments explore ways to enhance safety performance. These reports guide management in addressing new or emerging OH&S risks, fostering a proactive approach to improving workplace safety and ensuring effective risk mitigation strategies are implemented.

4. OBJECTIVE EVIDENCES:

1. **Management Review Meeting Record:** Evidence indicates that a management review meeting was held, during which topics outlined in Clause 9.3, such as performance evaluation, audit results, risk management, and opportunities for improvement, were discussed to ensure compliance and continuous enhancement of the system verified. Example: "Management review meeting held on 2024-05-15, documented in Meeting Minutes (Document No: MR-2024-001). Discussed OH&S system performance, resource adequacy, and compliance with legal requirements."

2. **Follow-Up on Previous Management Review Actions:** Evidence shows that an action from previous management reviews have been completed, demonstrating continual improvement. These actions, such as process adjustments, corrective measures, and updated procedures, reflect the organization's commitment to addressing identified issues and enhancing overall performance and compliance evidence. Example: "Action plan from previous management review dated 2023-11-22, action status verified as completed per Follow-up Report (Document No: FR-2024-002), approved by Health and Safety Manager (Employee ID: ZZZZZ)."

3. **Review of Legal Compliance and Updates:** Evidence shows that legal and regulatory requirements relevant to OH&S have been reviewed. This includes evaluating current compliance, identifying updates or changes in legislation, and ensuring that organizational practices align with the latest legal obligations to maintain a safe work environment reviewed. Example: "Compliance review conducted on 2024-03-10 as documented in Legal Compliance Record (Form No: LC-2024-009), confirming adherence to updated regulatory standards on workplace safety."

4. **OH&S Objectives and Targets Achievement Report:** Evidence shows that OH&S objectives are tracked to assess progress against planned targets. This includes regularly reviewing performance metrics, incident reports, and key indicators, ensuring that objectives are met and corrective actions are taken when targets are not achieved evidence. Example: "OH&S objectives progress reviewed during management review, documented in Objective Achievement Report (Report No: OHR-2024-003) showing a 95% reduction in safety incidents, verified by Safety Officer (ID: XXXXX)."

5. **Incident and Nonconformity Trend Analysis Report:** Evidence shows that trend analysis is conducted for incidents, nonconformities, and corrective actions. This includes reviewing data over time to identify patterns, assess the effectiveness of corrective measures, and implement improvements to reduce recurring issues and enhance safety performance reviewed. Example: "Trend analysis for safety incidents and nonconformities reviewed on 2024-04-05, as recorded in Incident Report (Report No: IR-2024-007), showing a decline in incidents by 20% compared to 2023."

6. **Internal Audit Findings Report:** Evidence shows that an internal audit of the OH&S management system was conducted, with results documented. This includes findings from the audit, any identified nonconformities, and actions taken to address them, ensuring the system's compliance and effectiveness in meeting safety objectives evidence. Example: Internal audit of OH&S conducted on 2024-02-15, findings documented in Audit Report (Audit No: IA-2024-005), including corrective actions on nonconformities related to incident reporting practices.

7. **Worker Participation and Feedback Record:** Evidence shows that worker consultation and participation in OH&S activities have occurred. This includes documented meetings, safety committee involvement, feedback surveys, and discussions on health and safety improvements, ensuring that employees are actively engaged in enhancing workplace safety verified. Example: Worker consultation session held on 2024-03-08 with feedback documented in Participation Record (Record No: PR-2024-004). Attendees included employees XXXXX, YYYYY, and ZZZZZ, providing input on safety equipment improvements.

8. **Risk and Opportunity Assessment Report:** Evidence shows a systematic approach to identifying and addressing risks and opportunities within the OH&S system. This includes risk assessments, regular reviews, and the implementation of corrective actions to mitigate risks and capitalize on opportunities for continual improvement in safety performance reviewed. Example: Risk and opportunity assessment dated 2024-02-28, documented in Risk Assessment Report (Report No: RA-2024-008), identifying ergonomic risks in workstation setup and proposing corrective actions.

9. **Resource Allocation and Budget Approval:** Evidence shows that opportunities for improvement were identified during the management review, with corresponding action plans created. These plans outline specific steps to address gaps, enhance processes, and drive continual improvement in the OH&S system, ensuring better performance and compliance evidence. Example: OH&S budget allocation approved on 2024-01-20 in Resource Allocation Document (Document No: RAD-2024-006), signed off by Finance Director (ID: YYYYY), covering training and safety equipment procurement.

10. **Continuous Improvement Opportunities Documented:** Evidence shows that opportunities for improvement were identified during the management review, with corresponding action plans created. These plans outline specific steps to address gaps, enhance processes, and drive continual improvement in the OH&S system, ensuring better performance and compliance verified. Example: Opportunities for continual improvement identified in Management Review Minutes (Document No: MR-2024-012) dated 2024-05-15, proposing upgrades to emergency response protocols based on recent incident response analysis.

5. INTERVIEW QUESTIONS:

1. Can you show me the schedule for management reviews, and how frequently are these reviews conducted to evaluate the OH&S management system's suitability, adequacy, and effectiveness?

2. During the last management review, what specific actions were identified for improvement, and can you provide evidence that these actions were followed up and completed?

3. How does top management assess and consider changes in external or internal factors (like regulations, stakeholder expectations, or organizational changes) during the management review process?

4. What methods are used to identify and document the needs and expectations of interested parties, and how are these included in the OH&S management review?

5. Can you demonstrate how legal requirements and other OH&S-related obligations are reviewed and incorporated into the management review?

6. How does the management review process address identified OH&S risks and opportunities, and can you provide examples of risks or opportunities discussed in recent reviews?

7. What performance metrics are used to evaluate the achievement of OH&S objectives, and can you share records demonstrating whether the organization has met these objectives?

8. How does top management review incident data, nonconformities, and corrective actions to ensure continuous improvement, and can you show specific examples of these trends from recent records?

9. Can you show records of OH&S monitoring and measurement results that were reviewed during the management review and explain how these results inform management decisions?

10. How compliance with applicable legal requirements and other requirements is evaluated during the management review, and are these results documented?

11. What is the process for incorporating findings from internal and external audits into the management review, and can you provide examples of audit results discussed?

12. Can you describe how workers are consulted or involved in the OH&S management system, and is there documentation of worker feedback reviewed during management reviews?

13. How does top management evaluate whether there are adequate resources (such as training, equipment, and personnel) to maintain an effective OH&S management system?

14. How are communications with interested parties regarding OH&S topics documented, and are these communications reviewed during the management review?

15. What criteria or methods are used to identify and evaluate continual improvement opportunities for the OH&S management system, and can you provide examples of recent improvements or planned actions?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Scheduling of Management Reviews:** The organization demonstrates a proactive approach by scheduling regular management reviews of the OH&S system. This timely assessment ensures that the system remains relevant, effective, and aligned with organizational goals, enhancing on-going workplace health and safety.

2. **Thorough Follow-up on Previous Actions:** The consistent follow-up on action items from previous reviews shows a strong commitment to closing identified gaps. This approach highlights the organization's dedication to continuous improvement and addressing issues that impact OH&S performance and effectiveness.

3. **Consideration of External and Internal Changes:** Incorporating external and internal changes into the management review process reflects forward-thinking. By adapting to evolving regulations, market conditions, and internal factors, the organization ensures its OH&S management system remains robust, current, and responsive.

4. **Detailed Review of Stakeholder Expectations:** The organization's commitment to understanding and integrating stakeholder needs and expectations into the management review fosters a responsive OH&S system. This alignment supports both stakeholder satisfaction and improved health and safety outcomes, enhancing overall system performance.

5. **Active Monitoring of Legal and Regulatory Compliance:** The organization's dedication to on-going compliance monitoring reflects a proactive stance toward legal obligations. Regular assessment ensures the OH&S management system adheres to required standards, reducing compliance risks and enhancing the organization's safety culture.

6. **In-depth Review of Incident and Nonconformity Trends:** A thorough analysis of incidents, nonconformities, and trends supports targeted improvements and effective risk management. This proactive approach enables the organization to identify problem areas and respond with timely corrective actions, driving continuous OH&S improvement.

7. **Worker Involvement and Consultation:** The inclusion of worker insights in the management review is exemplary, showcasing a participatory approach to OH&S management. This involvement builds a culture of safety, encouraging feedback from those directly impacted and enhancing system relevance and effectiveness.

8. **Identification of Resource Requirements for OH&S:** Proactively identifying and allocating resources for the OH&S system demonstrates strong support from management. This approach ensures the system is well-maintained, enabling necessary tools, training, and personnel for an effective and sustainable safety program.

9. **Focus on Continual Improvement Opportunities:** Management's focus on continual improvement opportunities during reviews exemplifies a commitment to evolving the OH&S system. By actively seeking ways to enhance processes, the organization positions itself for long-term success and superior safety performance.

10. **Effective Communication of Review Outcomes:** Timely communication of management review outputs to employees and their representatives fosters transparency and trust. Sharing these outcomes with stakeholders enhances organizational alignment, encouraging collective commitment to achieving OH&S objectives and reinforcing a culture of safety.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Frequency of Management Reviews:** Regular management reviews are crucial for an effective OH&S management system. If these reviews occur infrequently, it may prevent timely identification and resolution of issues. Establishing a more consistent schedule can enhance responsiveness and overall system effectiveness.

2. **Documentation of Previous Actions:** Reviewing the status of actions from prior management reviews is vital for accountability. Incomplete or unclear documentation can indicate a lack of commitment to implementing decisions, highlighting the need for improved tracking mechanisms to ensure follow-through on important actions.

3. **Engagement of Interested Parties:** Actively engaging interested parties, including employees and external stakeholders, is essential for understanding their needs and expectations. Insufficient engagement may result in unmet requirements or overlooked opportunities for improvement, which could hinder overall safety performance and organizational effectiveness.

4. **Assessment of External Changes:** An effective management review should incorporate an analysis of relevant legal requirements and external factors affecting the OH&S management system. Failure to monitor these changes can expose the organization to compliance risks and may result in outdated practices persisting.

5. **Risk and Opportunity Analysis:** Comprehensive risk and opportunity analysis is critical for proactive management. If this analysis is superficial or missing, the organization may overlook potential improvements or fail to mitigate risks effectively, which could compromise workplace safety and health.

6. **Performance Metrics and KPIs:** Robust metrics and KPIs are essential for evaluating OH&S performance. If key indicators are lacking or poorly defined, it can hinder the organization's ability to measure effectiveness, track progress, and make informed decisions based on reliable data.

7. **Review of Incident Trends:** A thorough examination of incident trends is vital for identifying underlying issues. Inadequate analysis may prevent the organization from recognizing patterns that require corrective actions, thus compromising its ability to enhance safety measures and prevent future incidents.

8. **Resource Allocation Assessment:** The adequacy of resources allocated to the OH&S management system directly impacts its effectiveness. An assessment that highlights insufficient resources can lead to strategic decisions aimed at improving safety practices and ensuring the organization has the necessary support for implementation.

9. **Documentation of Outputs and Decisions:** Clear documentation of management review outputs is crucial for transparency and accountability. If decisions and action items are not well-recorded, it may result in confusion among stakeholders and ineffective implementation of improvements within the OH&S management system.

10. **Integration with Business Processes:** The integration of the OH&S management system with other business processes fosters a cohesive organizational culture. Assessing this integration can reveal opportunities to enhance communication and collaboration, ultimately leading to more comprehensive and effective improvements in safety practices.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Infrequent Management Reviews:** Evidence indicates that management reviews are not being conducted at the planned intervals as required by the standard. This lack of adherence to the review schedule may result in missed opportunities for assessing system effectiveness and addressing potential issues or improvements.

   Example: The review schedule indicates that management reviews have only been conducted once in the past year, instead of quarterly as outlined in the documented procedure. This deviation may hinder timely assessments of system performance and the identification of necessary improvements. FORM NO: XXX

2. **Incomplete Status Updates:** Status updates on actions from previous management reviews are missing or incomplete. This lack of follow-up may impede the organization's ability to track progress, assess the effectiveness of corrective actions, and ensure continuous improvement in the OH&S system.

   Example: Meeting minutes show that several action items from the previous review remain unresolved, with no recorded follow-up or explanation. This oversight prevents the organization from tracking progress on critical issues, hindering continuous improvement and potentially affecting compliance with OH&S objectives and standards. FORM NO: XXX

3. **Lack of Consideration for External Changes:** The management review fails to consider changes in external legal requirements or relevant issues. This oversight may result in non-compliance with updated regulations and missed opportunities to address external factors that could impact the effectiveness and alignment of the OH&S system.

   Example: Review minutes do not mention recent changes in local occupational health and safety regulations that may impact operations. This oversight could lead to non-compliance with updated laws and regulations, potentially compromising the effectiveness of the OH&S system and the organization's legal standing. FORM NO: XXX

4. **Insufficient Worker Consultation:** There is inadequate evidence of worker consultation and participation in the management review process. This lack of involvement may result in missed insights from employees, affecting the effectiveness of the OH&S system and hindering the identification of potential safety improvements or concerns.

   Example: Meeting records show no input or representation from worker representatives or consultation groups. This absence of employee engagement limits the opportunity to address frontline concerns, which can hinder the effectiveness of the OH&S system and reduce the likelihood of identifying key safety improvements. FORM NO: XXX

5. **Failure to Meet OH&S Objectives:** The extent to which OH&S objectives have been met is not adequately assessed. Without proper evaluation, it is difficult to determine whether safety goals are being achieved, hindering the ability to implement corrective actions and drive continuous improvement within the OH&S system.

   Example: The management review does not include a report on the achievement of established safety performance targets, resulting in gaps in accountability. This omission prevents an accurate assessment of safety progress, hindering the identification of areas needing improvement or corrective action within the OH&S system. FORM NO: XXX

6. **Lack of Performance Data Analysis:** There is insufficient analysis of monitoring and measurement results related to OH&S performance. Without thorough evaluation of safety data, the organization may miss trends, underlying issues, or opportunities for improvement, affecting the overall effectiveness and continuous improvement of the OH&S system.

   Example: Management review documents fail to show trends in incident reports or corrective actions taken, indicating a lack of performance analysis. This omission prevents the identification of recurring issues, hindering the organization's ability to make informed decisions and improve safety practices within the OH&S system. FORM NO: XXX

7. **No Tracking of Incidents and Nonconformities:** The review does not track trends in incidents, nonconformities, or corrective actions. This oversight prevents the identification of recurring issues or patterns, limiting the organization's ability to address root causes effectively and improve overall safety performance within the OH&S system.

   Example: Meeting minutes lack records or charts showing incident trends over the last year, missing opportunities for identifying systemic issues. Without this data, management may overlook recurring problems, making it difficult to implement targeted corrective actions and improve the effectiveness of the OH&S system. FORM NO: XXX

8. **Resource Allocation Inadequacies:** There is inadequate evaluation of resources for maintaining the OH&S management system. Without a thorough assessment of necessary resources, such as staffing, training, and equipment, the organization may struggle to ensure effective implementation, maintenance, and continuous improvement of the safety management system.

   Example: Review documentation highlights a lack of financial or staffing resources but does not provide actionable plans for resource allocation. This gap prevents the organization from addressing resource shortages effectively, potentially compromising the maintenance and effectiveness of the OH&S management system. FORM NO: XXX

9. **Poor Documentation of Management Review Outputs:** Outputs and decisions from management reviews are not well-documented, making it difficult to track the actions taken, ensure accountability, or assess the effectiveness of previous decisions. This lack of documentation hinders transparency and the ability to evaluate the OH&S system's continuous improvement.

   Example: Meeting minutes are vague and do not clearly outline decisions made regarding OH&S management system improvements or required actions. This lack of clarity prevents effective follow-up, accountability, and the ability to track progress on identified issues, hindering the system's continuous improvement. FORM NO: XXX

10. **Failure to Communicate Review Outputs:** Relevant outputs from management reviews are not communicated to workers or their representatives. This lack of communication prevents employees from staying informed about decisions, actions, and improvements related to the OH&S management system, reducing engagement and hindering collective efforts for continuous safety improvements.

    Example: Employees express unawareness of key changes or decisions made in the management review process, indicating a lack of effective communication. This gap in information sharing can lead to disengagement, reduced compliance, and missed opportunities for collaboration on improving the OH&S management system. FORM NO: XXX

10 IMPROVEMENT

1. STANDARD REQUIREMENTS:

10.1 GENERAL

The organization shall determine opportunities for improvement (see Clause 9) and implement necessary actions to achieve the intended outcomes of its OH&S management system.

2. EXPLAINATION:

1. **Identify Opportunities for Improvement:** Organizations should actively seek opportunities to enhance their OH&S performance by regularly analysing safety data, assessing current practices, and engaging employees at all levels. This approach helps identify potential areas for improvement, fosters a culture of safety, and ensures that corrective actions are timely and effective. By continuously evaluating and refining safety processes, organizations can reduce risks, enhance compliance, and improve overall worker well-being.

   Example: A manufacturing company conducts regular safety audits and identifies that certain machinery is frequently involved in near-miss incidents. Recognizing this as an opportunity for improvement, the organization decides to enhance safety measures by providing additional training for operators and installing better guarding on the machines. These proactive actions aim to reduce the risk of accidents, improve workplace safety, and demonstrate the company's commitment to continuous improvement in OH&S performance.

2. **Engagement of Employees:** Employee involvement is essential for identifying opportunities to improve OH&S performance. Their first-hand experiences and insights can lead to practical, effective solutions that may not be apparent from a managerial perspective. By fostering a culture of safety and encouraging active participation, organizations motivate staff to contribute to the OH&S management system, ultimately improving safety standards and creating a safer, more engaged workplace.

   Example: A construction firm holds regular safety meetings where workers can share experiences and suggestions. One employee proposes a new signalling system to communicate when heavy machinery is in use. Management evaluates the suggestion, pilots the system, and, after positive results, adopts it company-wide. This approach enhances safety communication on-site, reduces risks, and demonstrates the company’s commitment to continuous improvement by involving employees in the OH&S process.

3. **Monitoring and Measurement:** Organizations should establish effective methods to monitor and measure OH&S performance. This can involve tracking incident rates, conducting regular employee surveys to gather feedback, and reviewing compliance with safety regulations. These methods help identify trends, ensure adherence to safety standards, and pinpoint areas for improvement, enabling the organization to implement corrective actions and foster a culture of continuous safety improvement.

Example: A logistics company tracks incident rates monthly and uses safety performance indicators. After noticing a rise in slips and falls, management identifies this as an area for improvement. They implement a program focusing on enhanced floor maintenance and provide employees with additional training on safe walking practices. These actions aim to reduce incidents, improve workplace safety, and demonstrate the company's commitment to maintaining a safe working environment.

4. **Implementing Necessary Actions:** Once opportunities for improvement are identified, organizations must take decisive actions to address them. This involves allocating necessary resources, assigning clear responsibilities, and ensuring proper planning and execution of improvement initiatives. Regular monitoring and follow-up are essential to track progress and make adjustments, ensuring that the changes lead to sustained improvements in performance, safety, and overall organizational effectiveness.

   Example: An office environment notices an increase in ergonomic-related complaints. In response, the organization invests in ergonomic assessments for workstations, offers training on proper posture, and purchases ergonomic chairs for all employees. These actions aim to reduce discomfort, improve employee well-being, and enhance productivity by providing the necessary resources to ensure a comfortable and ergonomically sound work environment.

5. **Review and Evaluation of Outcomes:** After implementing improvement actions, it is essential to evaluate their effectiveness. This involves reviewing the results to determine whether the intended outcomes, such as reduced incidents or improved safety, were achieved. If the desired results were not fully met, further adjustments or corrective actions may be needed to ensure continuous improvement and maintain a safe and compliant workplace.

   Example: A chemical plant introduces new personal protective equipment (PPE) after a risk assessment identifies safety gaps. Six months later, management reviews incident reports and employee feedback to assess whether exposure-related incidents have decreased. Based on the findings, the PPE policy is adjusted as needed, ensuring the effectiveness of the safety measures and further enhancing workplace protection against risks.

6. **Integration with the OH&S Management System:** Opportunities for improvement should be seamlessly integrated into the broader OH&S management system. This approach ensures that enhancements align with the organization's strategic objectives, fostering a unified focus on safety. By doing so, improvements are not isolated but contribute to the overall safety performance, strengthening the system’s effectiveness and supporting long-term organizational goals for safer working environments and compliance with regulations.

   Example: A healthcare facility integrates feedback from patient safety audits into its OH&S management system, ensuring that improvements in patient safety also enhance worker safety. By aligning patient safety initiatives with staff safety measures, the facility fosters a comprehensive approach that benefits both patients and employees, creating a safer and more efficient healthcare environment. This integration strengthens the facility's overall safety culture and supports continuous improvement.

7. **Continuous Improvement Culture:** Establishing a culture of continuous improvement is crucial for maintaining workplace safety. Organizations should actively encourage on-going feedback from employees and remain adaptable to change. By fostering an environment where safety is consistently prioritized and employees feel empowered to contribute, organizations can enhance their OH&S systems, minimize risks, and promote long-term safety improvements throughout their operations.

   Example: A restaurant chain launches a continuous improvement program, encouraging staff to report safety concerns or suggestions without fear of repercussions. Management regularly reviews these suggestions, leading to incremental safety enhancements, such as revising kitchen workflows to minimize hazards. This proactive approach fosters a culture of safety, empowering employees to contribute to improving the work environment and ensuring a safer, more efficient operation across all locations.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **OH&S Policy:** The OH&S policy outlines the organization's commitment to maintaining a safe work environment. It should be documented, signed by top management, and communicated to all employees. The policy serves as a framework for establishing OH&S objectives and principles.

2. **Risk Assessments:** Risk assessments identify and evaluate potential hazards associated with workplace activities. They should detail the methodology used, findings, and prioritized risks. Proper documentation ensures that hazards are systematically addressed, promoting a proactive approach to workplace safety and health management.

3. **Legal Compliance Records:** Compliance records demonstrate adherence to applicable health and safety laws and regulations. These documents should outline the relevant legislation, any compliance assessments performed, and actions taken to rectify non-compliance issues. Maintaining these records helps mitigate legal risks.

4. **Objectives and Targets:** Establishing clear OH&S objectives and targets ensures alignment with the organization's overall health and safety policy. Documentation should include measurable goals, timelines, and responsibilities for achieving these targets, promoting accountability and continuous improvement within the OH&S management system.

5. **Training Records:** Training records document the health and safety training provided to employees. They should include details on training topics, attendance, and evaluation of competency. Comprehensive training ensures employees understand safety practices, thereby reducing the risk of workplace incidents and injuries.

6. **Incident Reports and Investigations:** Incident reports detail accidents, near misses, and their investigations. These records should capture the circumstances, root causes, and subsequent actions taken to prevent recurrence. Analysing incidents provides valuable insights for improving safety measures and enhancing overall workplace safety.

7. **Internal Audit Reports:** Internal audit reports evaluate the effectiveness of the OH&S management system. They should include findings, identified non-conformities, and recommendations for improvement. Regular audits help ensure compliance, identify weaknesses, and promote continuous enhancement of safety processes and practices.

8. **Management Review Minutes:** Management review minutes document discussions on OH&S performance, policy effectiveness, and potential improvements. These records should capture decisions made, actions agreed upon, and responsible parties. Regular management reviews reinforce the organization's commitment to health and safety and ensure accountability.

9. **Employee Involvement Records:** Employee involvement records demonstrate how workers participate in the OH&S management system. This can include records of safety committee meetings, feedback mechanisms, and suggestions for improvements. Engaging employees fosters a culture of safety and encourages shared responsibility for workplace health.

10. **Corrective and Preventive Action Records:** These records document actions taken to address non-conformities, including root cause analyses and the effectiveness of implemented solutions. Proper documentation ensures that corrective actions are tracked, promoting accountability and preventing the recurrence of issues that compromise safety.

4. **OBJECTIVE EVIDENCES:**

1. **OH&S Policy Document:** The organization has developed an OH&S policy, which is effectively communicated to all employees. This policy reflects the organization's commitment to ensuring a safe and healthy working environment, setting clear expectations and guidelines for health and safety practices verified. Example: Document Number: OHSP-2024-001, Date Issued: 2024-01-15, Signed by: John Doe, CEO.

2. **Risk Assessment Report:** Completed risk assessments for identified workplace hazards are documented, detailing the assessment methodology used and the risks prioritized based on severity and likelihood. These records ensure that appropriate control measures are implemented to address the most significant hazards in the workplace evidence. Example: Report Number: RAR-2024-017, Date Completed: 2024-03-22, Assessed by: Sarah Smith, Safety Officer.

3. **Training Records:** Training sessions on health and safety procedures are documented, including details of the topics covered, the training methods used, and employee participation records. This ensures that staffs are equipped with the necessary knowledge to comply with safety protocols and reduce risks reviewed. Example: Training Session ID: TRN-2024-045, Date: 2024-04-10, Attendees: 25, Conducted by: Mark Johnson.

4. **Incident Report:** Records of incidents, including near misses, are maintained, detailing the investigation outcomes and corrective actions taken. These records ensure that all incidents are addressed appropriately, with steps implemented to prevent similar occurrences in the future, enhancing workplace safety verified. Example: Incident Report Number: IR-2024-032, Date of Incident: 2024-05-05, Investigated by: Emily Brown, Findings: Slip hazard identified.

5. **Internal Audit Report:** Internal audit findings are documented, assessing the effectiveness of the OH&S management system. These findings include identified non-conformities, corrective actions, and recommendations for improvement to ensure the system remains effective and compliant with relevant safety standards and regulations verified. Example: Audit Report Number: IAR-2024-028, Date Conducted: 2024-06-15, Auditors: Lisa Green, Tom White.

6. **Management Review Meeting Minutes:** Minutes from management review meetings document discussions on OH&S performance, progress towards objectives, and areas for improvement. These records highlight key decisions, action plans, and follow-ups to ensure continuous enhancement of the occupational health and safety management system evidence. Example: Meeting Minutes Number: MRM-2024-009, Date of Meeting: 2024-07-01, Attendees: 8, Key Decisions: Increase safety training budget by 20%.

7. **Corrective Action Records:** Documentation of corrective actions outlines the steps taken to address identified non-conformities, including a detailed root cause analysis. This ensures that the underlying issues are addressed, preventing recurrence and improving the overall effectiveness of the OH&S management system reviewed. Example: Corrective Action Record Number: CAR-2024-054, Date Issued: 2024-08-10, Assigned to: Brian Black, Improve PPE availability.

8. **Emergency Preparedness Drill Record:** Records of emergency drills document participant involvement, feedback, and lessons learned. These records help evaluate the effectiveness of emergency preparedness, identify areas for improvement, and ensure that future drills lead to better response times and safety outcomes verified. Example: Drill Record Number: EPD-2024-018, Date Conducted: 2024-09-12, Participants: 30, Evaluator: Karen Blue, Outcome: Evacuation time reduced to 3 minutes.

9. **Health Surveillance Records:** Records of health monitoring or surveillance for employees exposed to specific workplace hazards document the assessments conducted, including results and any necessary follow-up actions. These records help ensure employee health and safety while complying with regulatory requirements reviewed. Example: Health Surveillance Record Number: HSR-2024-007, Date: 2024-10-05, Monitored Employees: 15, Conducted by: Dr. Alice White.

10. **Workplace Inspection Report:** Records of workplace inspections identify hazards and detail actions taken to address them. These documents provide evidence of proactive safety measures, including corrective actions and follow-up, ensuring compliance with safety standards and promoting safer work environment evidence. Example: Inspection Report Number: WIR-2024-033, Date Inspected: 2024-10-20, Inspector: Kevin Grey, Findings: Electrical hazards identified and resolved.

5. INTERVIEW QUESTIONS:

1. Can you describe how your organization identifies opportunities for improvement in your OH&S management system?

2. What specific methods or tools do you use to gather data and feedback from employees regarding health and safety performance?

3. How do you prioritize the identified opportunities for improvement, and what criteria do you use in this process?

4. Can you provide examples of recent opportunities for improvement that have been identified and how they were documented?

5. What actions have been implemented as a result of these identified opportunities for improvement, and how were these actions communicated to relevant employees?

6. How do you measure the effectiveness of the actions taken to improve health and safety outcomes?

7. Can you share any records or reports that demonstrate the evaluation of the effectiveness of implemented improvements?

8. How frequently do you review the OH&S management system to ensure ongoing opportunities for improvement are recognized and addressed?

9. What role do employees play in the process of identifying and implementing improvements to the OH&S management system?

10. Can you describe how the outcomes of your audits (both internal and external) influence opportunities for improvement within the organization?

11. How do you ensure that lessons learned from past incidents or near misses are integrated into the improvement process?

12. What kinds of training or resources are provided to employees to encourage their participation in identifying improvement opportunities?

13. Can you show any documentation that tracks the progress of implemented actions related to identify opportunities for improvement?

14. How does top management demonstrate its commitment to continuous improvement within the OH&S management system?

15. In what ways are you planning for future improvements in your OH&S management system, and how do you intend to communicate these plans to the organization?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Identification of Opportunities:** The organization takes a proactive approach to identifying opportunities for improvement by regularly conducting assessments and utilizing employee feedback. This practice demonstrates a commitment to enhancing workplace safety, minimizing risks, and fostering a culture of continuous improvement.

2. **Comprehensive Data Collection:** Utilizing various methods such as surveys, focus groups, and suggestion boxes, the organization effectively collects diverse data from employees at all levels. This comprehensive approach ensures that multiple perspectives are considered, leading to well-rounded insights for enhancing the OH&S management system.

3. **Clear Documentation Practices:** The organization maintains thorough documentation of identified opportunities for improvement and the actions taken in response. This transparency not only promotes accountability but also enables stakeholders to track progress and evaluate the effectiveness of implemented safety initiatives.

4. **Effective Prioritization Processes:** By establishing criteria for prioritizing identified opportunities based on risk assessments, the organization ensures that critical areas for improvement are addressed first. This strategic approach helps allocate resources efficiently and mitigates the most significant health and safety risks.

5. **Employee Involvement and Engagement:** The organization fosters a culture of safety and ownership by actively involving employees in the improvement process. Encouraging staff participation not only empowers individuals but also promotes a sense of shared responsibility for workplace safety and well-being.

6. **Implementation of Actions:** The auditee demonstrates commitment by effectively implementing corrective and preventive actions in response to identified opportunities for improvement. Records of completed initiatives showcase their dedication to enhancing workplace safety and the effectiveness of their OH&S management system.

7. **Regular Review of Improvements:** Conducting periodic reviews of the OH&S management system allows the organization to evaluate the effectiveness of implemented actions continuously. This practice ensures on-going relevance and adaptation of safety measures in response to changing workplace conditions and emerging risks.

8. **Training and Development Initiatives:** The organization invests in on-going training and resources for employees, enhancing their ability to identify hazards and contribute to safety improvements. This commitment to staff development strengthens the overall safety culture and fosters a more proactive approach to risk management.

9. **Management Support and Commitment:** Top management actively participates in the improvement process, demonstrating their commitment to occupational health and safety. By reinforcing the importance of safety initiatives and ensuring adequate resources are allocated, management plays a critical role in fostering a culture of safety.

10. **Monitoring and Measurement of Outcomes:** The organization effectively monitors and measures the outcomes of implemented improvements using key performance indicators (KPIs). This systematic approach to evaluating the impact of safety initiatives on health and safety performance enables on-going adjustments and enhancements to the OH&S management system.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Limited Employee Involvement:** The organization may not actively encourage employee participation in identifying safety improvements. Engaging employees at all levels through regular feedback mechanisms can foster a culture of ownership and enhance the overall effectiveness of the OH&S management system.

2. **Insufficient Data Analysis:** There may be inadequate analysis of incident reports and near-misses, leading to missed opportunities for proactive interventions. Implementing robust data analysis practices can help identify patterns, enabling the organization to address root causes and prevent future incidents effectively.

3. **Lack of a Formalized Improvement Process:** The absence of a structured process for documenting and prioritizing improvement opportunities can hinder the organization's ability to enhance safety practices systematically. Establishing clear procedures can facilitate focused efforts on critical areas, ensuring that improvements are addressed in a timely manner.

4. **Infrequent Review of the OH&S Management System:** The organization might not conduct regular reviews of its OH&S management system to evaluate effectiveness. Instituting scheduled evaluations can ensure that safety practices remain relevant and effective, allowing for continuous adaptation to changing workplace conditions and emerging risks.

5. **Poor Communication of Improvements:** A lack of communication regarding implemented improvements may lead to employee disengagement. Enhancing communication channels can raise awareness of safety initiatives, fostering a culture of transparency and encouraging staff to actively participate in on-going safety efforts and improvements.

6. **Absence of Performance Metrics:** Without clear performance indicators, measuring the effectiveness of safety improvements becomes challenging. Developing and implementing specific KPIs can provide valuable insights into safety performance, enabling the organization to track progress, identify areas for further enhancement, and celebrate successes.

7. **Limited Training on Continuous Improvement:** Employees may not receive adequate training on continuous improvement methodologies, which can hinder their ability to contribute to safety enhancements. Offering targeted training programs can empower staff to identify opportunities, fostering a proactive approach to safety throughout the organization.

8. **Failure to Integrate Lessons Learned:** Insufficient integration of lessons learned from past incidents into the improvement process can prevent organizations from evolving their safety practices. Implementing mechanisms to capture and apply these insights can significantly enhance the effectiveness of the OH&S management system over time.

9. **Inadequate Risk Assessments:** The organization might not regularly update risk assessments to reflect operational changes. Establishing a more dynamic risk management process ensures that new hazards are identified promptly, allowing for timely mitigation measures and enhanced overall workplace safety.

10. **Weak Management Commitment:** Limited visible commitment from top management toward safety initiatives can undermine the importance of OH&S efforts. Enhancing leadership engagement by actively participating in safety discussions and initiatives can reinforce the organization's dedication to a safe working environment for all employees.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Infrequent Review of Incident Data:** The organization fails to regularly review incident reports and near-miss data, which prevents the identification of trends. This inconsistency hinders the implementation of proactive safety measures, potentially increasing the risk of recurring incidents and unsafe conditions.

   Example: The incident log review reveals that incidents were only analyzed annually instead of quarterly, as recommended. This delay in analysis reduces the ability to identify trends in a timely manner, hindering the organization's ability to implement corrective actions quickly and effectively. FORM NO: XXX

2. **No Action Plan for Identified Opportunities:** The organization identifies potential areas for improvement but fails to create or implement action plans to address them. This lack of follow-through undermines the effectiveness of the OH&S management system, preventing meaningful progress and jeopardizing workplace safety and compliance.

   Example: Meeting minutes from the safety committee meeting on April 5, 2024, indicate that risks were identified, but no corresponding action plans were developed. This gap in follow-up actions hinders the resolution of safety concerns and the overall effectiveness of the OH&S management system. FORM NO: XXX

3. **Insufficient Training on Improvement Methodologies:** Employees lack training on continuous improvement principles and methodologies, leading to limited understanding of how to identify and address safety issues proactively. This gap in knowledge hinders the organization's ability to foster a culture of safety and continuous improvement in the workplace.

   Example: Training records show no sessions held on continuous improvement strategies for staff since the implementation of the OH&S system. This lack of training limits employees' understanding of improvement methodologies, hindering the organization's ability to proactively address safety concerns and enhance overall performance. FORM NO: XXX

4. **Absence of Performance Indicators for Improvement Initiatives:** The organization fails to establish or track performance indicators related to safety improvements, making it difficult to assess progress effectively. Without measurable metrics, it becomes challenging to evaluate the success of safety initiatives and make data-driven decisions for continuous improvement.

   Example: Reports from the safety management team reveal the absence of documented KPIs for evaluating the effectiveness of implemented safety improvements. This lack of key performance indicators makes it difficult to measure the success of safety initiatives and identify areas for further improvement. FORM NO: XXX

5. **Inconsistent Application of Risk Assessments:** The organization fails to update risk assessments promptly, preventing the identification of new hazards. This delay in reassessing risks hampers the development of effective improvement strategies, potentially leaving the workplace vulnerable to emerging safety issues and non-compliance with updated safety standards.

   Example: Risk assessment documents from January 2024 show no updates after significant operational changes in March 2024. This lack of timely revision prevents the identification of new risks associated with the changes, compromising the effectiveness of the OH&S management system in mitigating hazards. FORM NO: XXX

6. **Lack of Integration of Lessons Learned into Practices:** The organization does not consistently integrate lessons learned from incidents into its operational practices, leading to repeated safety issues. This lack of action prevents the organization from applying corrective measures effectively, hindering the long-term improvement of safety standards and practices.

   Example: Incident investigation reports reveal recurring themes in safety incidents, yet there are no documented changes to procedures or practices to address these issues. This lack of follow-up prevents the organization from effectively mitigating risks and improving safety performance over time. FORM NO: XXX

7. **Limited Focus on Psychological Health Improvements:** The organization fails to address mental health concerns within its OH&S management system, overlooking a crucial aspect of employee well-being. This omission can lead to increased stress, decreased morale, and reduced productivity, ultimately impacting overall workplace safety and health.

   Example: Employee feedback collected in May 2024 highlights concerns about workplace stress, with no initiatives in place to improve mental health. This lack of attention to mental well-being undermines the organization's commitment to a comprehensive OH&S management system that supports all aspects of employee health. FORM NO: XXX

8. **Insufficient Documentation of Improvement Actions:** The organization does not adequately document actions taken to improve safety, making it difficult to track progress and hold responsible parties accountable. This lack of documentation hampers transparency and the ability to evaluate the effectiveness of safety improvements over time.

   Example: Audit findings from February 2024 highlight gaps in documentation for improvement actions, showing no records of follow-up on corrective actions. This lack of proper documentation and tracking compromises the organization's ability to ensure

continuous improvement and accountability in its OH&S management system. FORM NO: XXX

9. **Weak Management Support for Improvement Initiatives:** Management does not demonstrate strong commitment or support for safety improvement initiatives, undermining their importance within the organization. This lack of leadership involvement affects the effectiveness of safety programs, leading to insufficient prioritization of safety and limited engagement from employees.

   Example: Meeting minutes from safety committee discussions show a lack of management presence and participation in key decision-making processes. This absence of leadership involvement weakens the impact of safety initiatives and undermines efforts to address critical safety concerns within the organization. FORM NO: XXX

10. **Absence of External Benchmarking:** The organization does not benchmark its OH&S performance against industry standards or best practices, limiting its ability to identify areas for improvement. Without comparative data, the organization misses opportunities to enhance its safety practices and align with leading industry trends.

    Example: Reports from the health and safety department reveal that no benchmarking activities have been conducted with similar organizations in the past five years. This lack of external comparison hinders the organization's ability to assess its safety performance relative to industry standards. FORM NO: XXX

10 IMPROVEMENT

1. STANDARD REQUIREMENTS:

10.2 INCIDENT, NONCONFORMITY AND CORRECTIVE ACTION

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

When an incident or nonconformity occurs, the organization shall:

a) React in a timely manner to the incident or nonconformity and, as applicable:

   1. Take action to control and correct it;
   2. Deal with the consequences;

b) Evaluate, with the participation of workers (see 5.4) and the involvement of other relevant interested parties, the need for corrective action to eliminate the root cause(s) of the incident or nonconformity, in order that it does not recur or occur elsewhere, by:

   1. Investigating the incident or reviewing the nonconformity;
   2. Determining the cause(s) of the incident or nonconformity;
   3. Determining if similar incidents have occurred, if nonconformities exist, or if they could potentially occur;

c) Review existing assessments of OH&S risks and other risks, as appropriate (see 6.1);

d) Determine and implement any action needed, including corrective action, in accordance with the hierarchy of controls (see 8.1.2) and the management of change (see 8.1.3);

e) Assess OH&S risks that relate to new or changed hazards, prior to taking action;

f) Review the effectiveness of any action taken, including corrective action;

g) Make changes to the OH&S management system, if necessary.

h) Corrective actions shall be appropriate to the effects or potential effects of the incidents or nonconformities encountered.

The organization shall retain documented information as evidence of:

1. The nature of the incidents or nonconformities and any subsequent actions taken;
2. The results of any action and corrective action, including their effectiveness.

The organization shall communicate this documented information to relevant workers, and, where they exist, workers' representatives, and other relevant interested parties.

NOTE: The reporting and investigation of incidents without undue delay can enable hazards to be eliminated and associated OH&S risks to be minimized as soon as possible.

2. EXPLAINATION:

1. **Establishing a Process for Incident Management:** Organizations must establish clear processes for reporting, investigating, and managing incidents and nonconformities. This involves creating detailed procedures for incident reporting, assigning responsibilities for investigations, and ensuring corrective actions are implemented to prevent recurrence. All incidents should be documented, analyzed, and tracked to ensure continuous improvement in safety and compliance. Proper documentation and follow-up are essential for maintaining an effective OH&S management system.

   Example: A construction company introduces a mobile app for workers to instantly report safety incidents. The app allows for real-time documentation, capturing details such as incident type, location, and severity. This system ensures incidents are tracked and analyzed systematically, improving response times and enabling timely corrective actions. The approach streamlines reporting, enhances accountability, and helps maintain a proactive safety culture across the organization.

2. **Timely Reaction to Incidents:** When an incident or nonconformity occurs, organizations must act swiftly to control the situation, mitigate any immediate risks, and implement corrective actions. This includes investigating the root cause, addressing any immediate consequences, and preventing recurrence. Prompt reaction helps minimize potential damage to people, property, and operations. Effective management ensures that the issue is resolved, corrective measures are applied, and lessons are learned to enhance future safety practices.

   Example: If a worker slips and falls on a wet floor, the supervisor promptly assesses the situation, ensuring the worker receives necessary medical attention. The area is cordoned off to prevent additional accidents, and the spill is cleaned immediately. The supervisor then documents the incident, investigates the cause, and implements corrective actions, such as improving floor maintenance or adding warning signs, to prevent similar incidents in the future.

3. **Evaluating the Need for Corrective Action:** The organization must actively involve workers and relevant parties in evaluating whether corrective actions are necessary to address the root causes of incidents or nonconformities. This collaborative approach ensures a thorough understanding of the issue, encourages diverse perspectives, and fosters a sense of ownership. By engaging employees in the process, the organization increases the likelihood of implementing effective solutions that prevent recurrence and enhance overall safety.

   Example: After a near-miss incident where a crane nearly collided with workers, a safety meeting is held involving the crew to review the situation. During the meeting, employees discuss potential improvements, such as introducing enhanced signalling systems and clearer communication protocols to prevent similar incidents in the future. This collaborative approach helps identify practical solutions and ensures that safety measures are tailored to the specific needs of the team.

4. **Investigating Incidents and Determining Causes:** Organizations must thoroughly investigate incidents to identify their root causes, examining factors such as equipment failure, human error, or inadequate procedures. By assessing the circumstances and reviewing past incidents, they can determine whether similar events have occurred or are likely to happen again. This proactive approach helps develop targeted corrective actions to prevent future occurrences and ensures that safety improvements address underlying issues effectively.

   Example: After an equipment malfunction caused an injury, an investigation reveals that regular maintenance had been skipped. The team discovers that similar malfunctions had occurred in the past; all linked to inadequate maintenance schedules. This root cause analysis prompts the organization to revise maintenance protocols, implement more rigorous schedules, and improve training to prevent future incidents and ensure equipment reliability, ultimately enhancing workplace safety.

5. **Reviewing Existing Risk Assessments:** Organizations must regularly review their Occupational Health and Safety (OH&S) risk assessments to ensure that any new or altered risks, arising from incidents or changes in operations, are properly addressed. This proactive approach helps identify emerging hazards, assess their potential impact, and implement necessary control measures. By updating risk assessments following incidents, organizations can continuously improve their safety practices and prevent future occurrences of similar risks.

   Example: After an incident involving a new piece of machinery, a manufacturing facility conducts a thorough review of its risk assessment. They identify new hazards associated with the operation of this machinery, such as mechanical failures and operator unfamiliarity. The risk assessment is updated to include these risks, and additional safety measures, such as operator training and equipment inspections, are implemented to mitigate potential future incidents and ensure a safer working environment.

6. **Implementing Necessary Actions:** Once risks are identified, organizations must assess and implement corrective actions based on the hierarchy of controls. This involves first eliminating the hazard if possible, then substituting with safer alternatives, followed by engineering controls, administrative controls, and personal protective equipment (PPE) as necessary. By prioritizing these actions, organizations can reduce risks effectively, protect workers, and ensure compliance with health and safety regulations.

   Example: Following a safety audit that identified inadequate use of personal protective equipment (PPE), the organization takes immediate action to implement a mandatory PPE policy. This includes replacing substandard gear with higher-quality alternatives that meet safety regulations. Training is also provided to employees to ensure proper usage, and regular inspections are scheduled to verify compliance, ensuring a safer work environment and reducing the risk of injury.

7. **Assessing OH&S Risks for New or Changed Hazards:** Organizations must assess OH&S risks associated with any new or altered hazards before taking corrective actions. This includes conducting thorough risk assessments to understand the potential impact on employee safety. Once risks are evaluated, organizations can determine appropriate control measures, prioritize actions, and implement solutions aligned with safety standards. This proactive approach ensures that any new or changing risks are addressed effectively to maintain a safe workplace.

   Example: When a construction company introduces a new chemical for surface treatment, they conduct a comprehensive risk assessment to evaluate potential health hazards, such as toxicity or inhalation risks. Based on the assessment, they implement safety measures, including installing proper ventilation systems and requiring personal protective equipment (PPE) for workers handling the chemical. These proactive steps ensure that employee health is safeguarded and regulatory compliance is maintained.

8. **Reviewing the Effectiveness of Actions Taken:** Organizations must evaluate the effectiveness of actions and corrective measures taken to address incidents or nonconformities. This involves reviewing whether the actions successfully eliminated or mitigated the root cause, preventing recurrence. Performance metrics, incident trends, and feedback are analyzed to assess whether the corrective actions achieved the desired outcome, and adjustments are made if necessary to enhance safety and compliance. Continuous monitoring ensures long-term improvements.

   Example: After implementing training on proper lifting techniques to address back injuries, the organization tracks the number of related injuries over the next six months. By comparing this data to previous injury rates, they assess whether the training has reduced incidents. If the number of injuries decreases, the training is deemed effective. If not, the organization revisits the training content or explores additional preventive measures for improvement.

9. **Making Necessary Changes to the OH&S Management System:** If actions taken reveal deficiencies in the OH&S management system, organizations must identify the root causes and make necessary changes to address these gaps. This could involve revising safety protocols, improving training programs, or enhancing risk assessments. The goal is to strengthen the OH&S processes, ensuring they effectively prevent incidents and nonconformities, and continually improve the organization's overall safety performance for better employee protection and regulatory compliance.

   Example: If repeated incidents of tool misuse are identified, the organization takes corrective action by revising its safety training program. This includes implementing stricter guidelines for proper tool handling, conducting regular refresher courses, and increasing employee awareness. The goal is to reduce the risk of future incidents, improve safety practices, and ensure that workers are consistently updated on best practices for safe tool usage, ultimately enhancing overall workplace safety.

10. **Retaining Documented Information:** Organizations must document all incidents or nonconformities, detailing the nature of the issue, actions taken to resolve it, and any corrective measures implemented. This documentation serves as a record for accountability, allowing the organization to track improvements, analyze trends, and ensure that similar incidents are prevented in the future. Proper record-keeping supports transparency, enhances safety performance, and provides a valuable reference for on-going safety management and audits.

    Example: An organization maintains a comprehensive database that records all incidents, corrective actions taken, and evaluations of their effectiveness. This database is regularly updated and accessible for audits, ensuring transparency and accountability. It serves as a valuable resource for identifying trends, analysing safety performance, and driving continuous improvement. The information gathered helps the organization refine its safety management practices and make data-driven decisions for future risk mitigation.

11. **Communicating Documented Information:** Organizations must ensure that documented information about incidents, nonconformities, and corrective actions is effectively communicated to relevant workers and their representatives. This communication should include the details of the incident, the actions taken to address it, and any preventive measures implemented. Regular updates through meetings, bulletins, or digital platforms help keep employees informed, promote transparency, and engage them in maintaining a safe and compliant work environment.

    Example: The organization holds monthly safety meetings where incident reports are reviewed and shared with all employees. These meetings provide an opportunity for workers to learn from past incidents, discuss corrective actions taken, and contribute ideas for improving workplace safety. By fostering open communication, employees are encouraged to actively participate in identifying potential hazards and suggesting proactive safety measures, reinforcing the organization's commitment to a safer work environment.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Incident Reporting Procedures:** This document outlines the step-by-step process for reporting incidents and nonconformities, detailing who is responsible for reporting, how to report, timelines for reporting, and methods for escalating issues, ensuring a systematic approach to incident management.

2. **Incident and Nonconformity Log:** A comprehensive log should record all reported incidents and nonconformities, including dates, descriptions, involved personnel, corrective actions taken, and current statuses. This log helps in tracking trends, assessing risks, and identifying areas for improvement within the organization.

3. **Investigation Reports:** These reports detail the investigation conducted for each incident, documenting methodologies, findings, root cause analyses, and any contributing factors. Investigation reports are essential for understanding why incidents occur and formulating effective corrective actions to prevent recurrence.

4. **Corrective Action Plans:** Corrective action plans outline specific actions taken in response to identified incidents or nonconformities. These plans should include timelines, assigned responsibilities, and resource allocations, ensuring a clear pathway for addressing issues and preventing future occurrences effectively.

5. **Meeting Minutes:** Records of safety meetings where incidents and nonconformities are discussed should include participant names, key discussions, decisions made, and action items. These minutes provide evidence of organizational engagement in safety discussions and facilitate accountability for follow-up actions.

6. **Training Records:** Documentation of training sessions conducted in response to incidents should include session details, participant attendance, content covered, and assessments. Training records demonstrate the organization's commitment to improving safety awareness and competencies among workers, reducing the risk of future incidents.

7. **Follow-up and Effectiveness Evaluation Reports:** Records detailing follow-up evaluations assess the effectiveness of implemented corrective actions over time. These reports analyze whether the actions resolved the identified issues and provide insights for necessary adjustments, reinforcing a culture of continuous improvement within the organization.

8. **Communication Records:** Evidence of how incident and nonconformity information is communicated to workers should include methods used, materials distributed, and feedback mechanisms. Effective communication ensures that employees are informed about risks and corrective measures, fostering a collaborative safety culture.

9. **Change Management Records:** Documentation outlining changes made to processes, equipment, or the OH&S management system as a result of incident investigations is essential. These records help track modifications and ensure that safety improvements are systematically implemented and monitored for effectiveness.

10. **Safety Audit Reports:** Reports from internal or external safety audits evaluate the effectiveness of the incident management process. These audits assess compliance with established procedures and highlight areas for improvement, contributing to overall safety performance and regulatory compliance.

4. OBJECTIVE EVIDENCES:

1. **Incident Reporting Form Submission:** The submission of an incident report demonstrates compliance with the organization's incident reporting procedures, ensuring that incidents are communicated promptly. This timely reporting allows for swift investigation, corrective actions, and continuous improvement in the organization's safety management system verified. Example: Incident Report Form No. IRF-2024-001, submitted on 2024-10-15 by John Doe (Safety Officer).

2. **Nonconformity Log Entry:** An entry in the nonconformity log shows that identified nonconformities are properly documented, tracked, and managed. This ensures that corrective actions are taken, root causes are addressed, and the organization continually improves its processes to prevent recurrence evidence. Example: Nonconformity Log Entry No. NC-2024-023, recorded on 2024-10-20, related to equipment malfunction.

3. **Investigation Report Document:** A completed investigation report demonstrates that a thorough investigation was conducted after the incident, with root causes identified and corrective actions implemented. This ensures that lessons are learned, safety improvements are made, and similar incidents are prevented in the future evidence. Example: Investigation Report No. IR-2024-005 dated 2024-10-17, regarding an employee slip incident.

4. **Corrective Action Plan Approval:** Documentation of an approved corrective action plan demonstrates the organization's commitment to addressing identified issues and implementing measures to prevent their recurrence, ensuring continuous improvement and alignment with safety and operational standards verified. Example: Corrective Action Plan No. CAP-2024-007, approved on 2024-10-22 by Sarah Smith (Quality Manager).

5. **Training Session Attendance Record:** Records of post-incident training sessions demonstrate the organization's proactive approach to enhancing employee awareness and knowledge. These records outline topics covered, participant attendance, and the objective of preventing similar occurrences, showcasing a commitment to continuous improvement and workplace safety reviewed. Example: Training Session Attendance Record No. TAR-2024-003, held on 2024-10-25, attended by 15 employees.

6. **Follow-up Effectiveness Evaluation Report:** Evaluation reports assessing corrective actions highlight the organization's commitment to improvement. These reports detail the review of outcomes, effectiveness of implemented actions, and necessary process modifications, ensuring continuous enhancement of safety measures and prevention of recurring incidents evidence. Example: Effectiveness Evaluation Report No. EER-2024-002, completed on 2024-10-30, indicating 80% effectiveness of corrective actions taken.

7. **Management Review Meeting Minutes:** Minutes from management review meetings document discussions on recent incidents, corrective actions taken, and assessments of the overall safety management system's effectiveness. This ensures that management is actively involved in evaluating and improving safety protocols and processes verified. Example: Management Review Meeting Minutes No. MRM-2024-001 dated 2024-10-28, including discussions on three recent incidents.

8. **Risk Assessment Review Record:** Documentation showing the review of existing risk assessments after incidents reflects a proactive approach in identifying and managing new hazards. It ensures that the organization continuously evaluates risks and implements necessary adjustments to enhance safety measures verified. Example: Risk Assessment Review Record No. RAR-2024-004 dated 2024-10-29, revising risks associated with chemical handling.

9. **Employee Feedback Survey Summary:** Summaries of employee feedback surveys on incident management and safety show active engagement, highlighting the collection of valuable insights for improving safety practices. These surveys help the organization address concerns and enhance safety measures based on employee input evidence. Example: Employee Feedback Survey Summary No. EFS-2024-001, compiled on 2024-10-21, with responses from 50 employees.

10. **Change Management Record:** Records documenting changes to processes or systems following incidents demonstrate the organization's commitment to continuous improvement. These updates show how the organization adapts and enhances safety measures to prevent future occurrences and improve overall workplace safety reviewed. Example: Change Management Record No. CMR-2024-009, dated 2024-10-23, regarding modifications to the equipment maintenance schedule.

5. INTERVIEW QUESTIONS:

1. Can you describe the process established for reporting incidents and nonconformities within the organization? How do employees access this process?
2. What specific actions were taken to control and correct the last reported incident or nonconformity? Who was involved in these actions?
3. How does the organization ensure timely reactions to incidents or nonconformities, and what measures are in place to deal with their consequences?
4. Can you provide examples of how workers have participated in evaluating the need for corrective actions related to past incidents or nonconformities?
5. What methods do you use to investigate incidents or review nonconformities, and who is typically involved in these investigations?
6. How does the organization determine the root causes of incidents or nonconformities? Can you provide a recent example?
7. Have there been instances of similar incidents or nonconformities occurring since the implementation of your corrective actions? How were these assessed?
8. Can you explain how existing assessments of occupational health and safety (OH&S) risks are reviewed following an incident or nonconformity?
9. What actions have been taken to implement corrective actions based on the hierarchy of controls? Can you provide specific examples of this implementation?
10. How do you assess OH&S risks related to new or changed hazards before taking corrective action?
11. What criteria are used to evaluate the effectiveness of actions taken, including corrective actions, and can you show me records of these evaluations?
12. Can you demonstrate how changes are made to the OH&S management system based on incident investigations or nonconformities?
13. How does the organization ensure that documented information related to incidents, nonconformities, and corrective actions is retained and made accessible?
14. In what ways is documented information about incidents and corrective actions communicated to relevant workers and their representatives?
15. Can you provide evidence of how timely reporting and investigation of incidents have led to a reduction in hazards and associated OH&S risks within the organization?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Robust Reporting Mechanism:** The organization has established a comprehensive incident reporting system that encourages employees to report safety issues openly and without fear of repercussions. This transparency fosters a culture of trust and reinforces the importance of safety throughout the workforce.

2. **Timely Response Procedures:** The auditee has developed procedures ensuring prompt reactions to incidents and nonconformities. This proactive approach effectively mitigates risks, reduces the impact of incidents, and emphasizes the organization's commitment to maintaining a safe work environment for all employees.

3. **Inclusive Participation:** The organization actively engages workers and relevant stakeholders in evaluating corrective actions. This inclusive approach not only empowers employees but also fosters a culture of shared responsibility, which enhances safety awareness and encourages collective problem-solving within the workplace.

4. **Thorough Investigative Processes:** The auditee conducts detailed investigations into every incident and nonconformity, focusing on identifying root causes. This thorough methodology demonstrates a commitment to learning from mistakes, preventing recurrence, and enhancing overall safety measures and practices.

5. **Risk Assessment Reviews:** Regular reviews of existing occupational health and safety risk assessments showcase the organization’s proactive approach to identifying and mitigating potential hazards. This diligent monitoring ensures that safety measures remain relevant and effective, fostering a safer working environment.

6. **Adherence to Hierarchy of Controls:** The organization applies the hierarchy of controls when implementing corrective actions, demonstrating a systematic approach to risk management. This prioritization of effective solutions indicates a commitment to addressing risks in the most efficient manner possible.

7. **Adaptability to New Hazards:** The auditee evaluates OH&S risks associated with new or changed hazards before implementing actions. This proactive stance reflects a strong commitment to preventing incidents, showcasing the organization’s dedication to continuous improvement and safeguarding employees.

8. **Effectiveness Monitoring:** The organization has mechanisms in place to assess the effectiveness of all actions taken, including corrective measures. This focus on accountability and continuous improvement reinforces a culture of safety and ensures that lessons learned are effectively integrated into future practices.

9. **Documented Information Retention:** The auditee maintains comprehensive records related to incidents, nonconformities, and corrective actions. This meticulous documentation reflects a commitment to transparency and informed decision-making, allowing for data-driven improvements in occupational health and safety practices.

10. **Effective Communication:** The organization communicates documented information about incidents and corrective actions to relevant workers and their representatives. This effective communication strategy ensures that all employees are informed, engaged, and able to contribute to on-going safety improvements within the workplace.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Incident Reporting Timeliness:** Improving the timeliness of incident reporting is crucial. Delays can hinder prompt corrective actions, leading to increased risk and severity of incidents. Implementing stricter timelines and reminders for reporting can enhance responsiveness and overall safety management.

2. **Employee Training on Reporting Procedures:** Enhancing employee training on incident reporting procedures is vital for ensuring understanding and compliance. Regular training sessions can empower workers to report incidents effectively, resulting in higher reporting rates and fostering a proactive safety culture within the organization.

3. **Participation in Evaluations:** Strengthening worker participation in evaluations can improve incident management processes. Engaging employees and relevant stakeholders ensures diverse perspectives are considered, leading to more comprehensive evaluations of incidents and nonconformities, ultimately promoting a collaborative safety culture.

4. **Root Cause Analysis Methodology:** Establishing a standardized methodology for root cause analysis can enhance incident investigations. A systematic approach ensures that underlying causes are accurately identified, enabling the organization to implement effective corrective actions that prevent recurrence and improve overall safety outcomes.

5. **Follow-up on Previous Incidents:** Regular follow-ups on previous incidents are essential for assessing the effectiveness of corrective actions. Establishing a structured process for reviewing past incidents ensures that lessons learned are applied, preventing similar occurrences and fostering a culture of continuous improvement.

6. **Risk Assessment Updates:** Increasing the frequency of OH&S risk assessment reviews, particularly after incidents, ensures that assessments remain current and relevant. Timely updates can help identify new hazards, enabling proactive risk management and enhancing workplace safety for all employees.

7. **Communication of Findings:** Enhancing the communication of findings from incident investigations is critical for learning and prevention. Sharing lessons learned with all employees fosters awareness, reinforces safety practices, and helps prevent similar incidents from occurring, thus improving overall organizational safety culture.

8. **Hierarchy of Controls Implementation:** Strengthening adherence to the hierarchy of controls during corrective action planning ensures that the most effective measures are prioritized. Emphasizing this hierarchy in decision-making can lead to better risk mitigation and improved safety outcomes for employees.

9. **Assessment of New Hazards:** Establishing a robust process for assessing risks associated with new or changed hazards is vital. Proactively evaluating these risks before implementation allows the organization to identify potential safety issues early, ensuring appropriate controls are in place.

10. **Documentation Practices:** Improving documentation practices for incidents and corrective actions enhances accountability and traceability. Comprehensive records facilitate better tracking of actions taken, providing valuable insights during audits and reviews, and ultimately contributing to a more effective OH&S management system.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Lack of Incident Reporting Procedure:** The organization lacks a documented procedure for reporting incidents, which may lead to inconsistent reporting practices, delayed responses, and missed opportunities for identifying trends, investigating root causes, and implementing corrective actions to improve safety and compliance.

   Example: The absence of an incident reporting policy or flowchart in the management system documentation indicates a lack of clear guidance for employees on how to report incidents, potentially resulting in inconsistent reporting, delayed actions, and missed safety improvements. FORM NO: XXX

2. **Delayed Response to Incidents:** The organization fails to react promptly to reported incidents, causing delays in addressing safety concerns. This lack of timely response may result in prolonged risks, increased potential for harm, and a failure to prevent further incidents or nonconformities from occurring.

   Example: Incident reports with timestamps reveal delays in response actions that exceed the defined time frame. These delays demonstrate a failure to act promptly, which may increase the likelihood of recurring issues and compromise the organization's ability to maintain a safe working environment. FORM NO: XXX

3. **Inadequate Incident Investigation:** Some reported incidents or nonconformities are not investigated, leading to missed opportunities for identifying root causes and implementing corrective actions. This lack of thorough investigation can result in recurring issues, compromising the effectiveness of the organization’s safety and quality management systems.

   Example: Records reveal several incidents where investigations were not completed, and no follow-up actions were documented. This oversight hinders the organization's ability to identify root causes, implement corrective measures, and prevent similar incidents from recurring, compromising the effectiveness of the safety management system. FORM NO: XXX

4. **Failure to Identify Root Causes:** The organization fails to consistently determine root causes for incidents, resulting in a lack of insight into underlying issues. This gap hinders the development of effective corrective actions and reduces the organization's ability to prevent similar incidents from occurring in the future.

Example: Investigation reports lack a thorough analysis of underlying causes, with no use of root cause analysis techniques. This omission prevents the identification of key issues and reduces the effectiveness of corrective actions, leaving the organization vulnerable to recurring incidents. FORM NO: XXX

5. **Lack of Worker Participation:** Workers are not adequately involved in evaluating incidents and implementing corrective actions, leading to missed insights and less effective resolutions. Engaging workers fosters better understanding, accountability, and practical solutions, ensuring a proactive approach to incident management and continuous improvement.

   Example: Incident review meeting minutes reveal a lack of employee participation or input from worker representatives. This absence limits diverse perspectives, reduces engagement in corrective actions, and may hinder the identification of practical, frontline solutions to prevent recurrence and improve safety outcomes. FORM NO: XXX

6. **Inadequate Risk Assessment Updates:** OH&S risk assessments are not reviewed following incidents, missing critical opportunities to identify gaps and update controls. This oversight can perpetuate existing hazards, undermine preventive measures, and fail to incorporate lessons learned, compromising workplace safety and continuous improvement efforts.

   Example: Risk assessment documents remain outdated, failing to account for recent incidents or changes in operational processes. This neglect weakens hazard identification, prevents the implementation of effective controls, and increases the likelihood of recurring issues, compromising workplace safety and operational resilience. FORM NO: XXX

7. **Failure to Implement Corrective Actions:** Corrective actions identified after incidents are not implemented effectively or within the required timeframes. This delay or ineffectiveness prevents the resolution of underlying issues, increases the risk of recurrence, and undermines efforts to improve safety and prevent future incidents in the workplace.

   Example: Action logs or plans reveal overdue corrective actions and a lack of follow-up on their implementation. This absence of timely resolution and monitoring undermines the effectiveness of corrective measures, leaving identified issues unaddressed and increasing the risk of recurring incidents or hazards. FORM NO: XXX

8. **Non-Adherence to Hierarchy of Controls:** Implemented corrective actions fail to align with the hierarchy of controls, often prioritizing less effective measures like administrative controls or PPE over elimination, substitution, or engineering solutions. This approach limits long-term risk reduction and undermines efforts to ensure a safer workplace.

   Example: Documentation reveals a reliance on personal protective equipment (PPE) rather than prioritizing more effective controls like engineering solutions or administrative measures. This approach fails to address hazards at their source, leaving workers vulnerable and undermining the effectiveness of the hierarchy of controls. FORM NO: XXX

9. **Inadequate Communication of Incident Findings:** Incident investigation findings are not effectively communicated to all relevant workers, limiting awareness of root causes and preventive measures. This gap hinders organizational learning, increases the likelihood of recurring incidents, and weakens overall engagement in creating a safer workplace environment.

   Example: Communication records, including meeting minutes or bulletins, do not show evidence of sharing incident findings and lessons learned with employees. This gap reduces awareness, fails to foster a safety culture, and limits the organization's ability to prevent recurrence and improve workplace safety. FORM NO: XXX

10. **Insufficient Documentation of Incidents:** Incident documentation and records of subsequent actions are inadequate or incomplete, failing to provide a clear account of events, root causes, and corrective measures. This deficiency hampers effective analysis, limits accountability, and weakens the organization's ability to prevent similar incidents in the future.

    Example: Incident logs lack essential information, such as actions taken, results, or the effectiveness of corrective actions. This missing data prevents thorough analysis, impedes the evaluation of corrective measures, and hinders the organization’s ability to improve safety and prevent future incidents. FORM NO: XXX

10 IMPROVEMENT

1. STANDARD REQUIREMENTS:

10.3 CONTINUAL IMPROVEMENT

The organization shall continually improve the suitability, adequacy and effectiveness of the OH&S management system, by:

a) Enhancing OH&S performance;

b) Promoting a culture that supports an OH&S management system;

c) Promoting the participation of workers in implementing actions for the continual improvement of the OH&S management system;

d) Communicating the relevant results of continual improvement to workers, and, where they exist, workers' representatives;

e) Maintaining and retaining documented information as evidence of continual improvement.

2. EXPLAINATION:

a. Enhancing OH&S Performance: Enhancing OH&S performance involves improving the organization's ability to manage health and safety risks effectively. This includes identifying weaknesses, setting measurable objectives, and implementing actions for better outcomes. Key steps include hazard identification, risk control, employee training, and continuous monitoring. Regular evaluations and fostering a safety culture ensure sustained improvements, reducing incidents and promoting a safer, healthier workplace environment for all employees.

Example: A manufacturing company identifies frequent slips and falls through incident reviews. To enhance OH&S performance, it installs non-slip flooring and conducts safety training on proper footwear and hazard awareness. These proactive measures lead to a significant reduction in slip-and-fall incidents over the next quarter, showcasing improved risk management and a safer work environment for employees, aligning with continuous improvement in occupational health and safety.

b. Promoting a Culture that Supports an OH&S Management System: Creating a culture that supports OH&S involves prioritizing health and safety as core organizational values. Leadership demonstrates commitment through policies, resources, and visible actions, while employees actively participate in safety initiatives and training. Open communication, regular feedback, and accountability at all levels ensure continuous improvement. This collaborative approach fosters shared responsibility, reducing risks and promoting a safe, healthy, and supportive work environment for everyone.

Example: A construction company launches a "Safety First" initiative, fostering a no-reprisal environment for reporting hazards. Leadership actively engages in safety meetings and acknowledges employees improving safety practices. This approach boosts morale and encourages hazard reporting, creating a proactive safety culture. Over time, the initiative enhances workplace safety, reduces risks, and strengthens employee commitment to maintaining a secure and healthy environment.

c. **Promoting the Participation of Workers in Implementing Actions for the Continual Improvement of the OH&S Management System:** Worker participation is vital for effective OH&S management, as it integrates employees' insights into safety decisions. Engaging workers in risk assessments, hazard identification, and program development ensures practical solutions and fosters ownership of safety practices. Open communication, feedback channels, and collaborative problem-solving enhance trust and compliance, leading to a safer, more inclusive workplace where everyone's input contributes to continuous improvement in health and safety outcomes.

   Example: In a warehouse, employees join a safety committee to address hazards. Workers propose better lifting techniques and mechanical aids for heavy loads. The committee evaluates and implements these ideas, launching a pilot program that reduces manual handling injuries by 30%. This collaborative approach highlights the value of worker participation in creating practical solutions, improving safety outcomes, and fostering a proactive occupational health and safety culture.

d. **Communicating the Relevant Results of Continual Improvement to Workers, and, Where They Exist, Workers' Representatives:** Effective communication of improvement results keeps workers informed about changes, their impact, and the benefits achieved. Sharing updates through meetings, reports, or newsletters ensures transparency and reinforces the importance of their involvement. This openness builds trust, boosts morale, and motivates employees to engage actively in future initiatives, fostering a collaborative environment that supports continuous improvement in occupational health and safety practices.

   Example: A logistics company implements new safety measures and conducts regular safety briefings to share outcomes like reduced accidents and better inspection results. Newsletters summarize these improvements, encouraging feedback and suggestions from employees and representatives. This transparent communication fosters trust, reinforces the value of safety initiatives, and motivates on-going participation, creating a culture of collaboration and continuous improvement in occupational health and safety performance.

e. **Maintaining and Retaining Documented Information as Evidence of Continual Improvement:** Documented information provides a record of actions to enhance OH&S performance, such as incident reports, training records, audits, and action plans. This documentation ensures accountability and transparency, enabling organizations to track progress and assess the effectiveness of improvements. By maintaining accurate and accessible records, organizations can identify trends, demonstrate compliance, and support continuous improvement in occupational health and safety management systems.

   Example: A healthcare organization keeps a detailed log of incidents, training sessions, and safety audits, reviewed quarterly to evaluate safety objectives. This documentation highlights progress and actions taken to address past issues. During external audits, these records provide clear evidence of the organization's commitment to continual improvement, demonstrating transparency, accountability, and a proactive approach to enhancing occupational health and safety performance over time.

3. LIST OF DOCUMENTS, RECORDS AND OTHER EVIDENCES, THE AUDITORS SHOULD LOOK FOR:

1. **Training Records:** Training records document participation in health and safety training programs, detailing attendees, course content, and assessment results. Maintaining these records ensures compliance with training requirements, tracks employee competency, and demonstrates the organization's commitment to fostering a knowledgeable and skilled workforce.

2. **Incident Reports and Investigation Records:** Incident reports capture details of accidents, near misses, and injuries occurring within the workplace. Investigation records document the findings, contributing factors, and corrective actions implemented, promoting a culture of safety by identifying trends and preventing recurrence of similar incidents.

3. **Internal Audit Reports:** Internal audit reports assess the effectiveness and compliance of the OH&S management system. These reports identify non-conformities, provide recommendations for improvement, and track corrective actions taken, ensuring continuous monitoring and enhancement of health and safety practices within the organization.

4. **Management Review Meeting Minutes:** Management review meeting minutes document discussions regarding the performance of the OH&S management system. They include decisions made, actions assigned, and follow-up tasks, ensuring that management remains engaged in safety initiatives and supports the continual improvement of the system.

5. **Worker Participation Records:** Worker participation records demonstrate employee involvement in health and safety processes, such as safety committee meetings and feedback initiatives. These records illustrate the organization's commitment to engaging workers, valuing their input, and fostering a collaborative approach to managing occupational health and safety.

6. **Corrective and Preventive Action Records:** Corrective and preventive action records detail actions taken in response to identified issues, documenting the resolution process and monitoring effectiveness. These records ensure that the organization learns from past experiences, preventing recurrence of non-conformities and promoting continual improvement in health and safety practices.

7. **Emergency Preparedness and Response Plans:** Emergency preparedness and response plans outline procedures for responding to potential emergencies, such as fires or chemical spills. These plans ensure that employees are trained and equipped to act effectively during emergencies, minimizing risks and safeguarding health and safety during critical incidents.

8. **Health and Safety Inspection Reports:** Health and safety inspection reports document findings from routine safety inspections conducted within the workplace. They identify hazards and compliance issues, serving as a basis for corrective actions, and demonstrating the organization's commitment to maintaining a safe working environment.

9. **Equipment Maintenance and Calibration Records:** These records document maintenance and calibration activities for safety equipment and machinery, ensuring they function correctly and safely. By maintaining detailed records, organizations can track compliance with operational standards, reduce risks associated with equipment failure, and ensure on-going safety.

10. **Documentation of Continual Improvement Activities:** Records of continual improvement activities detail initiatives undertaken to enhance the OH&S management system. These documents highlight actions, outcomes, and lessons learned, demonstrating the organization's commitment to on-going improvement and the proactive management of occupational health and safety risks.

4. OBJECTIVE EVIDENCES:

1. **OH&S Policy Statement:** The organization has implemented an OH&S policy that clearly demonstrates its commitment to maintaining a safe and healthy workplace. The policy outlines objectives, responsibilities, and continuous improvement efforts to ensure employee well-being and compliance with safety standards verified. Example: Document Number: OHSP-2024-01, Date: 2024-01-15, Reviewed by: John Doe, Safety Manager.

2. **Risk Assessment Report:** Risk assessments have been completed and documented for all operational areas, identifying potential hazards and evaluating associated risks. This ensures that appropriate control measures are in place to mitigate risks, promoting a safer and healthier work environment across the organization evidence. Example: Report Number: RISK-RA-2024-03, Date: 2024-03-01, Assessor: Jane Smith, Lead Auditor, Area: Manufacturing.

3. **Training Attendance Records:** Training sessions on safety procedures have been conducted for employees, with documented attendance records. These sessions ensure that all staff is equipped with the necessary knowledge and skills to follow safety protocols, promoting a culture of workplace safety reviewed. Example: Training Session: Safety Induction Training, Form Number: TRA-IND-2024-05, Date: 2024-05-10, Attendees: 15 employees.

4. **Incident Report:** All incidents and near misses are recorded and thoroughly investigated to identify root causes and implement corrective actions. This demonstrates the organization's proactive approach to managing OH&S risks, ensuring continuous improvement in safety practices and preventing future occurrences verified. Example: Incident Report Number: INC-2024-047, Date of Incident: 2024-06-15, Investigator: Mark Taylor, Nature of Incident: Slip and fall.

5. **Internal Audit Report:** Internal audits are conducted regularly to evaluate the effectiveness of the OH&S management system. These audits help identify areas for improvement, ensure compliance with safety standards, and provide insights for enhancing overall health and safety performance within the organization evidence. Example: Audit Report Number: IA-2024-Q2, Date: 2024-07-01, Audited by: Emily Brown, Scope: Warehouse Operations.

6. **Management Review Meeting Minutes:** Management reviews of the OH&S management system are documented, including key decisions made and action items identified. These reviews ensure that the system remains effective, aligns with safety objectives, and supports continuous improvement in occupational health and safety practices reviewed. Example: Meeting Minutes Document Number: MR-2024-04, Date: 2024-04-20, Attendees: Senior Management Team.

7. **Corrective Action Plan:** Corrective actions are implemented to address identified non-conformities and are closely tracked to ensure their effectiveness. This process helps prevent recurrence of issues, ensuring continuous improvement in the OH&S management system and maintaining a safe work environment verified. Example: Corrective Action Plan Number: CAP-2024-009, Action Due Date: 2024-08-15, Responsible Person: Lisa Green.

8. **Emergency Drill Records:** Emergency preparedness drills are regularly conducted and documented to ensure employee readiness in handling potential emergencies. These drills help familiarize staff with emergency procedures, ensuring a prompt and effective response to safeguard health and safety in critical situations evidence. Example: Drill Record Number: DRILL-2024-02, Date of Drill: 2024-09-05, Type of Drill: Fire Evacuation, Participants: 50 Employees.

9. **Health and Safety Inspection Report:** Regular health and safety inspections are conducted to identify potential hazards and ensure compliance with safety standards. The findings are thoroughly documented, enabling prompt corrective actions and continuous monitoring to maintain a safe and healthy work environment verified. Example: Inspection Report Number: INS-2024-07, Date: 2024-07-25, Inspector: Sarah Wilson, Area Inspected: Office Space.

10. **Equipment Calibration Records:** Calibration records for safety equipment are meticulously maintained to ensure accurate functioning and reliability. This documentation supports compliance, safety performance, and readiness, providing evidence of equipment integrity during audits and inspections reviewed. Example: Calibration Record Number: CAL-2024-008, Date of Calibration: 2024-10-10, Equipment ID: EQP-12345, Calibrated by: Tom White.

5. INTERVIEW QUESTIONS:

1. Can you describe the processes you have in place for continually enhancing occupational health and safety (OH&S) performance within your organization?

2. What specific actions have been taken recently to improve OH&S performance, and how do you measure their effectiveness?

3. How does management promote a culture that supports the OH&S management system across all levels of the organization?

4. Can you provide examples of how you have encouraged employee participation in initiatives aimed at improving the OH&S management system?

5. How are employees informed about their roles in the continual improvement of OH&S practices within the organization?

6. What methods do you use to communicate the results of continual improvement efforts to workers and their representatives?

7. How do you ensure that documented information related to continual improvement activities is maintained and readily accessible for review?

8. Can you provide examples of documented information that demonstrate actions taken for continual improvement in OH&S?

9. How do you gather feedback from employees regarding the effectiveness of the OH&S management system and areas for improvement?

10. What training or resources are provided to employees to promote a better understanding of the OH&S management system and encourage active participation?

11. How do you evaluate the suitability, adequacy, and effectiveness of your OH&S management system over time?

12. Can you share instances where data from incident reports or audits has led to specific improvements in OH&S performance?

13. What mechanisms do you have in place to track and review progress on identified improvement actions within the OH&S management system?

14. How do you ensure that lessons learned from past incidents are integrated into future OH&S improvement strategies?

15. In what ways does the organization celebrate or recognize successful initiatives that contribute to the continual improvement of the OH&S management system?

6. POSITIVE AND NOTEWORTHY POINTS:

1. **Proactive Enhancement of OH&S Performance:** The organization demonstrates a strong commitment to improving occupational health and safety (OH&S) performance by regularly conducting risk assessments, analysing safety data, and implementing effective measures. This proactive approach minimizes risks and enhances overall workplace safety.

2. **Strong Safety Culture:** A positive safety culture is evident, with management actively promoting the importance of OH&S practices. Employees are encouraged to prioritize safety, resulting in heightened awareness and collective responsibility. This culture fosters a work environment where safety is a shared value.

3. **Employee Involvement in Safety Initiatives:** Workers actively participate in OH&S improvement initiatives, reflecting their engagement and commitment to workplace safety. Their involvement in safety committees and brainstorming sessions fosters a sense of ownership, ensuring that safety considerations are integrated into daily operations.

4. **Effective Communication Channels:** The organization has established clear communication channels to share the outcomes of continual improvement efforts. This transparency ensures that all employees are informed of safety performance metrics and understand how their actions contribute to overall OH&S goals.

5. **Comprehensive Training Programs:** Regular training sessions and resources provided to employees enhance their understanding of OH&S practices. By equipping staff with necessary skills and knowledge, the organization empowers them to effectively participate in safety initiatives and respond to potential hazards.

6. **Documented Evidence of Improvement Actions:** The organization maintains comprehensive records of all continual improvement actions taken. This documentation includes incident reports, training logs, and audit findings, demonstrating a systematic approach to managing and monitoring OH&S performance over time.

7. **Regular Review of OH&S Management System:** A structured process is in place for the regular review of the OH&S management system. This ensures that it remains suitable, adequate, and effective in addressing emerging workplace safety concerns, allowing for timely adjustments and improvements.

8. **Utilization of Data for Decision-Making:** The organization effectively utilizes data from incident reports, audits, and employee feedback to inform decision-making. This evidence-based approach enables the identification of trends and areas for improvement, facilitating targeted actions to enhance safety performance.

9. **Recognition of Employee Contributions:** The organization actively recognizes and rewards employees for their contributions to OH&S improvements. This fosters a culture of appreciation, motivating employees to remain engaged in safety initiatives and reinforcing the importance of their role in maintaining a safe workplace.

10. **Continuous Feedback Loop:** Mechanisms for gathering on-going feedback from employees regarding the OH&S management system are well established. This commitment to continuous improvement ensures that real-world insights and experiences are integrated into safety practices, leading to a more responsive and effective management system.

7. OBSERVATIONS OR OPPORTUNITIES FOR IMPROVEMENTS:

1. **Limited Data Analysis:** The organization may lack a robust system for analyzing OH&S performance data, leading to missed opportunities for identifying trends and potential risks. Implementing more comprehensive data analysis methods could enhance decision-making and preventive measures.

2. **Insufficient Worker Engagement:** Minimal worker involvement in OH&S improvement initiatives can limit effectiveness. Increasing participation through regular safety committees and feedback sessions encourages engagement, fosters a safety-conscious workforce, and promotes a collaborative approach to identifying and addressing workplace health and safety risks.

3. **Lack of Training on OH&S Management:** Inadequate training on the OH&S management system can create knowledge gaps among employees. Enhancing training programs will equip workers with the necessary skills and understanding, enabling them to contribute more effectively to safety initiatives and improving overall workplace safety.

4. **Inconsistent Communication Practices:** The organization may lack effective communication channels for conveying continual improvement results. Developing standardized communication strategies ensures all employees are informed about safety performance, initiatives, and improvements, fostering transparency and encouraging on-going engagement in enhancing workplace health and safety.

5. **Documentation Gaps:** Inconsistencies or gaps in maintaining documented evidence of continual improvement actions can hinder progress. Establishing a centralized documentation system ensures all actions are recorded, tracked, and easily accessible for review, promoting accountability and supporting on-going improvements in OH&S management.

6. **Insufficient Recognition Programs:** The organization may lack a formal recognition program for employees contributing to OH&S improvements. Implementing such programs can motivate employees to actively participate in safety initiatives, fostering a positive safety culture and reinforcing the importance of on-going health and safety efforts.

7. **Feedback Mechanisms:** Feedback from workers on the OH&S management system may not be systematically collected or acted upon. Establishing formal feedback mechanisms ensures valuable insights and suggestions are gathered, helping to identify areas for improvement and fostering continuous enhancement of safety practices.

8. **Limited Review Frequency:** The frequency of reviews for the OH&S management system may be insufficient to ensure on-going effectiveness. Increasing review frequency allows for the early identification of emerging risks, ensuring timely adjustments and continuous improvement in safety practices to maintain a safe workplace.

9. **Undefined Roles and Responsibilities:** A lack of clarity regarding roles and responsibilities in OH&S initiatives can hinder progress. Clearly defining these roles enhances accountability, ensuring that everyone understands their responsibilities and contributes effectively to the continual improvement of safety practices within the organization.

10. **Ineffective Utilization of Technology:** The organization may not fully utilize technology to monitor and improve OH&S performance. Implementing digital tools for data collection, reporting, and analysis can streamline processes, enhance efficiency, and provide real-time insights, supporting more effective decision-making and continuous safety improvements.

8. LIST OF EXAMPLES NONCONFORMANCE:

1. **Inadequate OH&S Performance Improvement:** The organization lacks specific metrics or targets for OH&S performance improvement, resulting in unclear expectations and ineffective monitoring. Establishing measurable goals and tracking progress will help drive accountability, ensure focused efforts, and improve the overall effectiveness of safety initiatives.

   Example: The absence of documented goals or objectives for the OH&S performance improvement plan is evident in the lack of performance metrics in the OH&S management review meeting minutes. Establishing clear goals and tracking metrics is essential for effective performance monitoring and improvement. FORM NO: XXX

2. **Insufficient Safety Culture Promotion:** The lack of initiatives promoting a culture of safety may lead to complacency in OH&S practices among employees. Implementing programs that emphasize safety awareness, recognition, and engagement can foster a proactive approach and ensure continuous attention to workplace safety.

   Example: Observation notes from site visits reveal a lack of visible safety slogans, posters, or campaigns to promote a safety culture among staff. Implementing such visual reminders can enhance awareness, reinforce safety practices, and foster a stronger commitment to workplace safety. FORM NO: XXX

3. **Limited Worker Participation:** The organization does not actively involve workers in developing or implementing OH&S improvement initiatives, creating a disconnect between management and staff. Engaging employees in these processes can enhance collaboration, increase buy-in, and improve the effectiveness of safety initiatives.

   Example: Meeting minutes from OH&S committee meetings indicate that workers were not invited or included in discussions about safety initiatives and improvements. Including employees in these discussions can foster greater engagement, enhance safety outcomes, and ensure their perspectives are considered. FORM NO: XXX

4. **Ineffective Communication of Improvement Results:** The relevant results of continual improvement efforts are not communicated to workers or their representatives, hindering awareness and engagement. Regularly sharing these results fosters transparency, encourages participation, and motivates employees to actively contribute to on-going safety enhancements.

   Example: There is no evidence of communication, such as emails or newsletters, sent to employees about the outcomes of safety initiatives, as indicated by communication logs. Implementing regular updates can improve awareness, engagement, and encourage further participation in safety programs. FORM NO: XXX

5. **Poor Documentation of Continual Improvement:** The organization fails to maintain adequate documented information as evidence of continual improvement actions, making it challenging to assess progress. Proper documentation is essential for tracking actions, ensuring accountability, and evaluating the effectiveness of improvement efforts over time.

   Example: Audit records show incomplete or missing documentation for safety audits and follow-up actions, evidenced by gaps in the audit trail. Ensuring complete and accurate records is vital for accountability, tracking improvements, and verifying the effectiveness of safety measures. FORM NO: XXX

6. **Inconsistent Review of OH&S Management System:** The organization does not conduct regular reviews of the OH&S management system to assess its on-going suitability, adequacy, and effectiveness. Regular reviews are crucial for identifying improvements, addressing emerging risks, and ensuring the system remains effective and aligned with organizational needs.

   Example: The last management review meeting recorded in documentation occurred over a year ago, exceeding the recommended frequency. Regular management reviews are essential to assess the effectiveness of the OH&S management system and ensure continuous improvement in safety practices. FORM NO: XXX

7. **Lack of Training on OH&S Improvements:** Employees have not undergone training on the occupational health and safety (OH&S) management system and its continual improvement processes. This lack of training restricts their ability to engage effectively in safety initiatives and contribute to fostering a safer workplace environment.

   Example: Training records reveal that occupational health and safety (OH&S) training has not occurred in the past year, resulting in employees being uninformed about recent updates and changes. This gap in training may lead to increased risks and safety concerns in the workplace. FORM NO: XXX

8. **Neglecting to Act on Feedback:** The organization fails to sufficiently address feedback from workers concerning safety concerns or suggestions for improvement. This lack of responsiveness undermines employee trust and engagement, hindering the organization's ability to create a safer and more effective working environment.

   Example: Employee suggestion logs reveal numerous safety suggestions that remain unaddressed over several months, highlighting a significant lack of follow-up and implementation. This oversight undermines employee engagement and the organization’s commitment to enhancing workplace safety through feedback and collaboration. FORM NO: XXX

9. **Failure to Analyze Incident Data:** Insufficient analysis of incident and near-miss data hampers the organization's ability to implement effective continual improvement efforts. This lack of thorough evaluation leads to the recurrence of safety issues, undermining overall workplace safety and employee well-being.

   Example: Incident reports lack comprehensive root cause analysis and follow-up actions, as shown by a review of the incident management system records. This deficiency limits the organization's ability to address underlying issues and implement effective corrective measures to prevent future incidents. FORM NO: XXX

10. **Lack of Integration of Psychological Health Initiatives:** The organization lacks psychological health and well-being initiatives within its OH&S management system, which limits the system's comprehensiveness. This oversight may hinder efforts to promote overall employee wellness and address mental health issues in the workplace effectively.

    Example: A review of the OH&S policy and program materials reveals that policy documents and improvement plans fail to address mental health considerations, highlighting a gap in the organization's commitment to promoting overall employee well-being and supporting mental health initiatives. FORM NO: XXX