



**ISO 45001 SAFETY
Certified System**



ISO45001:2018 OCCUPATIONAL
HEALTH AND SAFETY
MANAGEMENT SYSTEMS
REQUIREMENTS
SELF ASSESSMENT CHECKLIST



COMPASS ASSURANCE SERVICES PTY LTD

NOTE: THIS IS A SIMPLIFIED SUMMARY OF THE REQUIREMENTS OF ISO 45001:2018 OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEM – REQUIREMENTS FOR THE SPECIFIC PURPOSE OF HELPING ORGANISATIONS UNDERTAKE A PRELIMINARY CHECK OF THEIR READINESS FOR AN ISO 45001:2018 OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT AUDIT OR ASSESSMENT.



ISO45001:2018 OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS SELF-ASSESSMENT CHECKLIST

REQUIRED DOCUMENTED INFORMATION

Documented information needed to be maintained by you for the purpose of establishing the Safety Management System (SMS)

- (a) The scope of the SMS (clause 4.3)
- (b) The safety Policy (clause 5)
- (c) Organisational roles and responsibilities (clause 5)
- (d) Risks and opportunities (clause 6)
- (e) Risk assessment processes
- (f) Legal and other requirements (clause 6)
- (g) Objectives and targets (clause 6)
- (h) Evidence of competence (clause 7)
- (i) Evidence of communications
- (j) Evidence of operational control (clause 8)
- (k) Information on the processes and plans for responding to emergency situations (clause 8)
- (l) Results of monitoring and measurement and performance evaluation (clause 8)
- (m) Calibration of measuring equipment (clause 8)
- (n) Results of the evaluation of compliance (clause 8)
- (o) Audit program and audit results (clause 9)
- (p) Management review (clause 9)
- (q) Nonconformances (clause 10)
- (r) Continual improvement (clause 10)



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4.1 ORGANISATION & CONTEXT

- (a) Have we determined external and internal issues relevant to the safety management system achieving its aim?

4.2 NEEDS AND EXPECTATIONS OF INTERESTED PARTIES

- (a) Have we determined what interested parties are relevant to the safety management system and what are their requirements?
- (b) Have we determined the relevant needs of interested parties?

4.3 SCOPE OF THE SYSTEM

- Have we determined the boundaries of the safety management system when establishing its scope?

Did we consider:

- (a) external and internal issues?
- (b) the requirements of relevant interested parties?
- (c) planned or performed work activity?
- Have we documented the scope?

4.4 OH&S MANAGEMENT SYSTEM

Have we determined:

- (a) the processes for the system and how they are to be applied?
- (b) the inputs and outputs for those processes?
- (c) resources and their availability and responsibilities?



5.1 LEADERSHIP AND COMMITMENT

Can we demonstrate top management is providing leadership and commitment to the SMS including taking accountability for:

- (a) the SMS
- (b) policy and objectives being compatible with strategy
- (c) integration of the SMS into business systems
- (d) Ensuring resources are available to establish, implement and improve the system
- (e) communicating the importance of the SMS
- (f) ensuring the SMS achieves its intended outcomes
- (g) directing and supporting people to contribute to the effectiveness of the system
- (h) ensuring continual improvement
- (i) supporting relevant roles to demonstrate leadership
- (j) developing, leading and promoting a safety culture supporting OH&S outcomes.
- (k) protecting workers from reprisals when reporting incidents/risks/hazards
- (l) establishing and implementing a process for consultation and participations of workers
- (m) considering the need to establish health and safety committees and supporting their functions

5.2 POLICY

Have we ensured the policy;

- (a) is appropriate to the organisation, includes a commitment to provide a safe and healthy work environment for the prevention of work related injury and ill health
- (b) has a framework to set objectives
- (c) includes a commitment to fulfill legal and other requirements
- (d) includes a commitment to eliminate hazards and reduce OH&S risks
- (e) includes a commitment to consultation and participation
- (f) includes a commitment to continual improvement

Is the policy:

- a) Available as documented information
- b) Communicated
- c) Available to interested parties as required
- d) Relevant and appropriate



5.3 ORGANIZATIONAL ROLES, RESPONSIBILITIES AND AUTHORITY

Have we assigned and communicated responsibilities and authorities to ensure:

- (a) the OH&S conforms to the requirements of this standard?
- (b) reporting on the performance of the SMS to top management?

Are roles and responsibilities maintained as documented information?

5.4 CONSULTATION AND PARTICIPATION OF WORKERS

Have we established processes for consultation and participation at all levels and functions:

Are their mechanisms for training

- a) Do workers have timely access to information about the OHS management system?
- b) Have barriers to participation been removed?

How have we included consultation of non-managerial workers in the following:

- a) Determining the needs of interested parties?
- b) Establishing the policy?
- c) Assigning roles and responsibilities?
- d) Determining how to meet legal requirements?
- e) Establishing OHS objectives?
- f) Determining controls for outsourcing?
- g) Determining what needs to be monitored?
- h) Planning and establishing the audit program?
- i) Ensuring continual improvement?

How do we demonstrate the participation of non-managerial workers in the following:

- a) Determining how to consult and participate?
- b) Identification of hazards?
- c) Determining actions to eliminate hazards and reduce OHS risks?
- d) Determining competency requirements?
- e) Determining control measures and how effective they are?
- f) Investigation of incidents?



6.1 RISKS AND OPPORTUNITIES

Have we determined the risks and opportunities that need to be addressed to:

- (a) assure the SMS achieves its intended results?
- (b) avoid or mitigate negative effects, enhance positive effects?
- (c) achieve improvement?

Have we planned:

- (a) actions to address these risks and opportunities
- (b) OH&S risks and other risks
- (c) OH&S opportunities and other opportunities
- (d) Legal requirements and other requirements
- (e) Hazards

6.1.2.1 HAZARD IDENTIFICATION AND ASSESSMENT

Have we implemented a process for a hazard identification that takes into account:

- a) How work is organised
- b) Routine and non-routine activities and hazards arising from:
- c) Infrastructure, equipment, substances, physical conditions of the work place
- d) Product and service design, research and development testing, production, assembly, construction
- e) Human factors
- f) How the work is performed
- g) Past incidents
- h) Potential emergency situations
- i) People; including contractors
- j) Those in the vicinity of the work place
- k) Other workers
- l) Design of work areas
- m) Situations in the vicinity of the work place
- n) Changes (actual or proposed to the organisation)
- o) Changes in knowledge of and information about hazards

6.1.2.2 ASSESSMENT OF OH&S RISKS

Have we implemented processes to:

- (a) Assess OH&S risks
- (b) Determine and assess other risks related to the operation of the OH&S management system
- Have we retained this as documented information?



6.1.2.3 ASSESSMENT OF OPPORTUNITIES

Have we established processes to:

- a) Assess OH&S opportunities to enhance OH&S performance
- b) Adapt work, organisation and environment to workers
- c) Assess opportunities to eliminate hazards and reduce OH&S risks
- d) Assess other opportunities for improving the OH&S management system

6.1.3 LEGAL & OTHER REQUIREMENTS

Have we developed processes to:

- a) Determine and have up to date access to legal requirements
- b) Determine how these requirements apply to our organisation
- c) Take these legal requirement into account when establishing and improving the system
- Have we retained this as documented information?

6.1.4 PLANNING

Have we established actions to:

- a) Address risks and opportunities
- b) Address legal and other requirements
- c) Prepare and respond to emergency situations
- Do we use hierarchy of controls?
- How do we consider best practice in terms of technology, financial, operational and business requirements?

6.2 OBJECTIVES & PLANNING

Have we established OH&S objectives at relevant functions and levels and

- (a) Are they consistent with the policy
- (b) Are they measurable, monitored, communicated and updated as appropriate
- (c) Do they take into account legal and all other applicable requirements
- (d) Are they monitored, communicated and updated as required
- Do we retain documented information on the OH&S objectives?



In planning how to achieve our quality objectives, have we determined:

- (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
- (f) how the actions to achieve the OH&S objectives will be integrated into business processes

7.1 RESOURCES & 7.2 COMPETENCE

Have we determined and provide the resources needed for the OH&S management system?

Do we:

- (a) determine the necessary competence of person(s) that could affect the OH&SMS
- (b) ensure that these person(s) are competent on the basis of appropriate education, training, or experience
- (c) take actions to access the necessary competence where applicable
- (d) retain appropriate documented information as evidence of competence

7.3 AWARENESS

Have we ensured that person(s) doing work under the control of our business are aware of:

- (a) the OH&S policy and relevant objectives
- (b) their contribution to the effectiveness of the OH&SMS including the benefits of improved performance
- (c) the implications of not conforming with the safety management system requirements
- (d) incidents and the outcomes of investigations the are relevant to them
- (e) hazards and OH&S risks
- (f) that they can remove themselves from unsafe work situations without undue consequence

7.4 COMMUNICATION

Have we determined the internal and external communications relevant to the OH&SMS including:

- (a) what will be communicated
- (b) when to communicate
- (c) with whom to communicate (including contractors, visitors and interested parties)
- (d) how to communicate



7.5.1 DOCUMENTED INFORMATION: GENERAL

Does our SMS include:

- (a) documented information required by the standard
- (b) documented information necessary for the effectiveness of the SMS?

7.5.2 CREATING AND UPDATING

Do we ensure we have

- (a) identification and description (such as a title, date, author, or reference number)
- (b) review and approval

7.5.3 CONTROL OF DOCUMENTED INFORMATION

Do we ensure documented information required by the SMS are controlled to ensure:

- (a) it is available and suitable for use
- (b) it is adequately protected

Do we take into consideration these factors

- (a) distribution, access, retrieval and usage
- (b) storage and preservation
- (c) version control
- (d) retention and disposition
- (e) external documents are identified as appropriate, and controlled.

8.1 OPERATIONAL PLANNING AND CONTROL

- Have we determined the processes required to meet requirements
- Have we:
 - (a) established criteria for the processes
 - (b) implemented controls
 - (c) retained documented information as necessary to demonstrate processes have been carried out effectively
 - (d) adapted work to workers,

8.1.2 ELIMINATING HAZARDS AND REDUCING OH&S RISKS

- Have we used the hierarchy of controls?



8.1.3 MANAGEMENT OF CHANGE

Have we established processes for controlling changes that impact on the OH&S performance:

- a) New products, services or changes to existing processes
- b) Work place surroundings,
- c) Work organisation
- d) Work conditions
- e) Equipment
- f) Work force.

Are we able to control changes to the work place in relation to:

- a) Changes to legal requirements
- b) Changes in knowledge about OHS&S risks
- c) Developments in technology

8.1.4.2 PROCUREMENT

- Have we got processes in place for controlling procurement of services and products?
- Do we have processes for managing contractor activities?
- How do we ensure contractors meet the requirements of our OH&S management

8.1.4.3 OUTSOURCING

- How do we manage outsourced functions?
- How to we ensure legal and other requirements are met?
- What are the controls we have in place around out sourced functions?

8.2 EMERGENCY PREPAREDNESS AND RESPONSE

- a) What are our established emergency response processes?
 - b) What training and testing is required?
 - c) How do we evaluate the performance of our emergency response?
 - d) What types of information need to be communicated? And to whom?
- Have we retained documented information on this?



9.1 MONITORING, MEASUREMENT, ANALYSIS AND EVALUATION

Have we determined how to monitor and measure, including:

- (a) the extent to which legal requirements have been met
- (b) activities related to hazard identification, risks and opportunities
- (c) progress towards achieving objectives and targets
- (d) effectiveness of operational controls
- (e) when measuring and monitoring will be performed
- (f) how we will analyze and communicate results
- (g) what equipment needs to be calibrated

Do we retain documented information of this

9.1.2 EVALUATION OF COMPLIANCE

Have we got processes in place to assess compliance with legal and other requirements:

- a) How frequently will it be monitored?
- b) How do we evaluate compliance and take action if needed?
- c) How do we maintain knowledge and understanding of compliance requirements?

Have we retained documented information for this?

9.2 INTERNAL AUDIT

Do we conduct internal audits at planned intervals to ensure the SMS:

- (a) Conforms to our requirements
- (b) Conforms to the requirements of ISO45001:2018
- (c) Is effectively implemented and maintained

Have we:

- (a) planned and implemented an effective audit program
- (b) defined the criteria and scope for each audit
- (c) selected auditors to ensure objectivity and impartiality
- (d) ensured that the results are reported to relevant management
- (e) taken necessary correction and corrective actions without undue delay
- (f) retained documented information



9.3 MANAGEMENT REVIEW

Does our top management review out SMS at planned intervals?

Does our management review include the following inputs:

- (a) the status of actions from previous management reviews
- (b) changes in external and internal issues relevant to the SMS, including
- (c) changes to legal requirements
- (d) risks and opportunities
- (e) how well the policy and objectives have been met
- (f) information on OH&S performance, including trends in incidents
- (g) corrective actions
- (h) monitoring results
- (i) audit results
- (j) consultation and participation of workers
- (k) adequacy of resources
- (l) actions taken regarding risk and opportunity
- (m) improvement
- (n) relevant communication with interested parties

Does our management review produce the following outputs?

- (a) opportunities for improvement
- (b) changes to the SMS
- (c) resources

Do we retain documented information as evidence of the results of management reviews

10.1 IMPROVEMENT

Have we determined and selected opportunities for improvement and implement necessary actions?



10.2 INCIDENT, NONCONFORMITY AND CORRECTIVE ACTION

- Have we established processes for reporting, investigating and taking action to manage incidents?

 - How do we demonstrate that we react in a timely manner to the incident or nonconformity and take action to control it?
 - How do we evaluate with the participation of workers, the need for corrective action?
 - How do we investigate the cause of the nonconformity?
 - How do we determine whether similar incidents have occurred?
 - Do we review existing assessments of OH&S incidents as appropriate?
 - How do we determine what corrective action should be taken?
 - How do we assess OH&S risks that relate to new or changed hazards prior to taking action?

 - What do we have in place to review the effectiveness of the action taken?
 - How do we make changes?
- Do we retain documented information for:
- a) The nature of incidents and any actions taken
 - b) The results of corrective action and review of their effectiveness

10.3 CONTINUAL IMPROVEMENT

Do we:

- (a) continually improve the effectiveness of the OH&SMS
- (b) Promoting a culture that supports OH&S management
- (c) Promoting participation of workers in implementing actions for the continual improvement of the OH&S management system
- (d) communicating the results of continual improvement to workers and their representatives
- (e) maintaining and retaining evidence of continual improvement