PR356 ISO45001:2018 Auditor Conversion Course

(Occupational Health and Safety Management Systems)

Robere & Associates (Thailand)

Approved Training Partner ID

01180438

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CQI and IRCA Certified Training

Welcome to your CQI and CQI-IRCA Certified PR356 ISO 45001 :2018 Auditor Conversion course

Robere & Associates has been independently assessed and approved by the CQI and CQI-IRCA. This means they have the processes and systems in place to deliver certified courses to the highest standard.

About the CQI and CQI-IRCA

The CQI is the only chartered professional body dedicated entirely to quality. CQI-IRCA is its specialist division dedicated to management system auditors.

The CQI leads the quality profession and is dedicated to promoting excellence through the key competencies of Governance, Assurance and Improvement.

We hope you enjoy your course.

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HOW TO GET MORE OUT OF SEMINARS

To All participants of the

OHSMS ISO45001:2018 - OHSMS Auditor Conversion Training Course There are wonderful seminars fair seminars and terrible seminars. But the most important thing for you is what you get out of a seminar. If you sit through a seminar passively, you won't get very much. But if you think about what you can do to get more out of the program, the speakers, the attendees, (and your own thought processes), you will multiply your personal benefits. Here are helpful hints for getting more out of this program.

1. Set ***goals***. Develop a list of three to six overall goals. It will start you thinking properly. These goals generally are oriented toward Environmental, sales, cost reduction, and profits.
2. Think about ***specific questions*** you want answered. Develop a list of ten to fifty pointed questions (consider giving this to the seminar leader).
3. ***Meet everyone*** at the program. Talk to them. Each attendee has a specific area of expertise. Use the space provided for this purpose on the attendee list. Make a note of it. Start your own network. Exchange cards (bring along enough). Go to breakfast, lunch, and dinner with someone with whom you can share information.
4. Develop an ***action plan*** and/or use the format provided in your workbook. Make a list of anything you want to consider ***doing differently*** when you get back on the job. This will take the fuzziness out of your thinking and give you ***tangible benefits*****.**
5. ***Participate!*** Ask questions. Make contributions. Comment. Be visible. You'll benefit two ways. First, your mind will almost magically start working on information, problem, and solutions. Second, the speaker and attendees will also contribute to finding answers for you. (Don't overdo it. Be relevant and don't hog time)
6. Make contact with the seminar leader ***personally*** (and early). He or she will think more of and about you. And it will be easier to follow up with questions and problems after the program.
7. Take clear ***detailed notes***. Not only will this be helpful for future reference, but the very act of taking good notes and organizing your thoughts will keep you more involved. Do them right the first time. Forget about rewriting them when you get back. You'll never do it!
8. ***Enjoy yourself***. You learn more when you're having a good time!

If you thought coming to this seminar would be the "lazy person's" way of getting smart…guess again. You are responsible for at least fifty percent of what you get out of any book, relationship…or seminar.

Session 1

COURSE INTRODUCTION

Opening Activity : Meet & Greet

Here is your first task of this course:

1. You have 5 minutes to meet as many people as you can.
2. Find at least 3 distinct things that they have in common relating with the ISO 45001 Auditor function.
3. As soon as you come with the three, shown your hand up when the task is complete.

Arrangements

- No Smoking Policy
- Domestic Arrangements
- Time Keeping
- Comfort Break
- No Interruptions (Turn off your cell phone, pager!)
- Safety Arrangements
- Course Material Supplied (you are advised to make your own notes)
- Complaints - concerns

The arrangements mentioned in the class are important for the safety and comfort of all of your classmates.

Do everything you can to make sure that all of these classroom “Arrangements” followed.

About this course

- Designed to:
  - Meet the requirements of IRCA for OH&SMS Auditors and Lead Auditors Conversion training
  - Equip delegates with the knowledge and skills required to perform audits of Occupational Health and Safety Management Systems (OH&SMS)

This course fulfils the requirements of CQI-IRCA PR356 ISO45001:2018 “Auditor Conversion” (Occupational Health and Safety Management Systems) does not qualify you to be an auditor, but does provide you with the required training that is necessary to become one.

Course Approach

- **FORMAL**
  - lectures with interactions
  - I talk a little, you talk a little
- **EXERCISE**
  - group exercises with interactive feedback
- **DELEGATE ASSESSMENT**
  - real time
- **KNOWLEDGE DOMAN UNDERSTANDING**

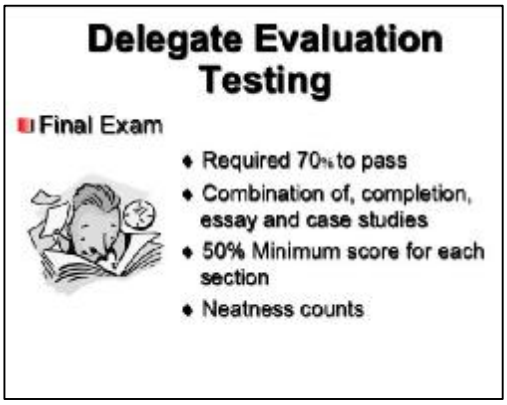
This is a highly interactive course. You cannot come to this course and just take notes. You will be constantly evaluated throughout the duration of this course. Participate, ask questions, be a team leader when asked.

Delegate Evaluation Continuous Assessment

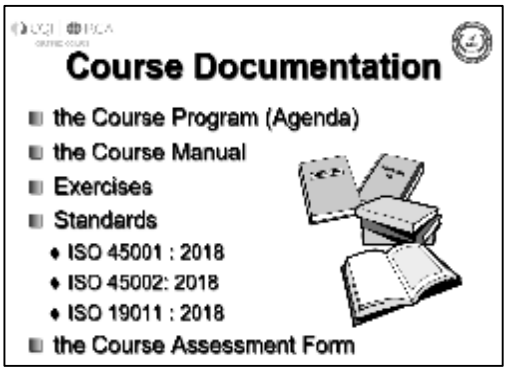
- Continuous Assessment
  - attitude and time keeping
  - participation and performance
  - knowledge and objectivity of all course objectives
  - understanding and judgment

In order to pass this course you will be evaluated in two ways:

First is the continuous assessment that is done all the time that you are in class. Don’t worry about the assessment, just make sure that you have a good attitude, keep good time, participate in all activities and show that you understand the material and can apply what you.



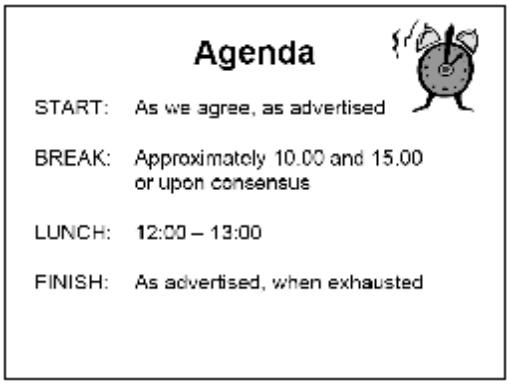
The second way that you'll be assessed is by a Final Exam. Don't worry about the exam. If you take good notes, do all the exercises, ask questions and participate in all the activities, you will have no problem with the exam.



This course material has been prepared to provide you with reference material to study as well as examples that will be valuable for you throughout your training course. Become familiar with all the material, and make sure that you have all the required sections.

Sample/Specimen Test Paper

In addition to the course documentation indicated above, you will also be given a "specimen exam" that will give you some idea as to the form and format of the final exam. This specimen test paper will be given to you at the beginning of class and you are encouraged to work on the answers throughout the course. At the end of the course, before the final test, we will go over the answers to your specimen test paper to see how well you did.



Timing is very important to an auditor. Time *is your enemy*. Make sure that with all the activities that you do that you watch your time accordingly and do what is required of you. You will be evaluated on your time keeping.

Course Objectives:

The aim of this course is to provide you with the knowledge and skills required to perform first, second and third party audits of Occupational Health & Safety management systems against ISO 45001, in accordance with ISO 19011 and ISO/IEC 17021, as applicable.

At the end of this course you will be able to:

- ☐ Explain the purpose of an Occupational Health & Safety management system and of Occupational Health & Safety management system standards and the benefits of the improved performance of the Occupational Health & Safety management system
- ☐ plan, conduct, report and follow up an audit of an Occupational Health & Safety management system to establish conformity (or otherwise) with ISO 45001, and in accordance with ISO 19011 and ISO/IEC 17021, as applicable.

Additionally, there are “enabling objectives” which are “steps” to achieve the learning objectives:

- ☐ Explain the purpose of an Occupational Health & Safety management system and the business benefits of improving Occupational Health & Safety management system performance
- ☐ with reference to ISO 45001:
  - ☐ explain the PDC a cycle and its application to OH&S management processes
  - ☐ outline the processes involved in establishing, implementing, operating, monitoring, measuring, analyzing, evaluating, reviewing, maintaining and improving an Occupational Health & Safety management system including the significance of these OHSMS auditors
  - ☐ explain the terms and definitions used in ISO 45001
  - ☐ state the requirements for OHSMS for documentation.
- Plan, conduct, report and follow up an audit of an Occupational Health & Safety management system to establish conformity (or otherwise) with ISO 45001, then accordance with ISO 19011 and ISO/IEC 17021, as applicable
  - ☐ planning the audit
  - ☐ conducting the audit
  - ☐ auditing Occupational Health & Safety management system requirements
  - ☐ generating audit findings
  - ☐ reporting the audit
  - ☐ following up the audit

This course is about learning how to become an auditor. These course objectives have been established by CQI-IRCA as the minimum requirements for the course.

Course Program

Day One	:	OH&S Concept, OH&SMS Overview, Risk Assessment, OH&S Legislations, ISO 45001 Requirements and Integrated Management System.
Day Two	:	OH&SMS Audit Responsibility, Plan and audit and Perform an audit.
Day Three	:	Reporting an audit, Follow up an audit and Audit Infrastructure.

Exercise Arrangement.

A word about team exercises:

Whenever you are auditing, it usually with a team. We will start developing that "team" approach in this class through our exercises. It will be important for you to follow good team practices whenever you have an exercise to do. You should:

1. Select a team leader
2. Assign a "timekeeper"
3. Make sure that everyone understands the objective.
4. Ask questions of your tutor if there are any problems.
5. Plan your time well to finish on time.

Be prepared to make presentations as a "professional auditor" and make sure that you understand all the material that is being presented.

Session 2

This section will give occupational health and safety auditor background information in common occupational health and safety priorities as an area of knowledge required for audit team.

OCCUPATIONAL HEALTH AND SAFETY BACKGROUND

EXERCISE: D1-E01 Workplace OH&S Quiz

Time: 20 minutes, Feedback: 10 minutes

Task: To the statement made in each question you just need to answer whether it is **True** or **False**

Question	True	False
1. Any injury at work, no matter how small, must be reported immediately to the person's supervisor and receive first-aid attention.		
2. If you have supplied an employee with safety glasses and subsequently the employee suffers an eye injury because they have not worn the glasses, your company has no further liability.		
3. Safety is just common sense. We don't need to waste time training people not to put their hands on a hot stove.		
4. People will walk around spilled liquid on the floor; the best thing to do is to wait for the housekeeping staff to clean up spills properly.		
5. Chairs or stools can be substituted for a ladder to get items out-of-reach as long as an employee "spots" the person using the chair or stool.		
6. Only those employees who have been trained in the proper use of forklifts are authorized to operate them.		
7. As the owner you have employed a safety manager. An employee suffers death when a serious workplace fire occurs. You had left things to the safety manager who had always claimed that he was on top of safety matters. In court you are fairly likely to be exonerated whilst the safety officer is taken to task for failure to act professionally.		
8. The most common safety hazards associated with office design are falls, noise, inadequate pathways, and placement of furniture / equipment.		
9. It is unfriendly to require sign-in sheets or badges for visitors or vendors.		
10. Stress affects moral, productivity and safety.		

OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEM OVERVIEW

Many organizations are implementing an **Occupational Health and Safety Management System (OHSMS)** as part of their **risk management strategy** to address changing legislation and protect their workforce.

An OHSMS promotes a safe and healthy working environment by providing a framework that allows organizations to consistently identify and control its health and safety risks, reduce the potential for accidents, aid legislative compliance and improve overall performance.

ISO 45001 is an international occupational health and safety management system requirement.

- ISO 45001 : Occupational Health and Safety Management System – Requirements
- BS 45002-0:2018 : Occupational Health and Safety Management Systems – Guidelines for the implementation of ISO45001.

Who created OHSMS?

ISO 45001 was created via a concerted effort from a number of the worlds leading national standards bodies, certification bodies, and specialist consultancies. A main driver for this was to try to remove confusion in the workplace from the proliferation of certifiable OH&S specifications.

For the record, the following other documents, amongst others, were used in the creation process:

- BS 8800:1996 Guide to occupational health and safety management systems
- DNV Standard for Certification of Occupational Health and Safety Management Systems(OHSMS):1997
- Technical Report NPR 5001: 1997 Guide to an occupational health and safety management system
- Draft LRQA SMS 8800 Health & safety management systems assessment criteria
- SGS & ISMOL ISA 2000:1997 Requirements for Safety and Health Management Systems
- BVQI Safety Cert: Occupational Safety and Health Management Standard
- Draft AS/NZ 4801 Occupational health and safety management systems Specification with guidance for use
- Draft BSI PAS 088 Occupational health and safety management systems
- UNE 81900 series of pre-standards on the Prevention of occupational risks
- Draft NSAI SR 320 Recommendation for an Occupational Health and Safety (OH&S) Management System

Other OH&S Standard

- **ILO – OHS Guidelines** are:

  a) to assist countries in the establishment of a national framework for occupational health and safety management systems; and
  b) to provide guidance to individual organizations regarding the integration of OH&S elements into their overall policy and management arrangements.

Local OH&S Standard

NOTE: AS OF JUNE 2018, TISI STILL RETAINS TIS180XX AS THEIR OHSAS STANDARDS. IT IS EXPECTED THAT THEY WILL UPDATE TO ISO45001 IN THE NEAR FUTURE

- **Thai Industrial Standards Institute (TISI)**

  Thai Industrial Standards Institute (TISI), the national standard body of Thailand, has been participating as member body in ISO since 1965.

  For the purpose of trade and industrial development and of co-operation in good health and safety areas, TISI has been developing national standards for occupational health and safety as follows:

  - TIS 18001-2554 (2007)
    Occupational health and safety management system: *Specification*
  - TIS 18004-2544 (2001)
    Occupational health and safety management system: *General guidelines on principles, systems and supporting techniques*
  - TIS 18011-2549 (2006)
    Occupational health and safety management system: *Guidelines on auditing in occupational health and safety management system*
  - TIS 18012-2548 (2005)
    Occupational health and safety management system : *Guidelines on competence for occupational health and safety management system auditors*

OVERVIEW OF ISO 45001

OVERVIEW OF ISO 45001

FIRSTLY: WHO AND WHAT IS “ISO”?

- The “International Organization for Standardization” (ISO) is a Non-governmental organization (NGO) established in 1947, based in Geneva, Switzerland
- It has a membership of 160 national standards institutes from countries in all regions of the world
- Developed more than 18,000 standards for all dimensions of sustainable development: economic, environmental and societal
    - Examples :
        - ISO 9001 – Quality Management Systems (QMS)
        - ISO 14001 – Environmental Management Systems (EMS)
        - ISO 27001 – Information Security Management Systems (ISMS)
- American National Standards Institute (ANSI) is U.S. representative to ISO

- ISO’s Project Committee No. 283 (ISO/PC 283) was responsible for the development of ISO 45001

- ISO/PC 283’s membership currently includes:
    - 59 participating countries
    - 15 observer countries
    - 16 liaison members

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Global Toll

- **2.78 million fatal accidents occur at work yearly**
- **7,700 persons die of work-related diseases or injuries daily**
- **374 million non-fatal work-related injuries and illnesses each year**
- **180 million people with occupational disease**
- **4% of world GDP = work accidents and diseases**

In your teams, discuss what you feel the impact would be of the conditions described above in a company. Production capability? Company future?

Give a couple of examples where you have seen health and safety issues in your company that created a problem. Share with the team.

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What is an OH&S Management System?

- An Occupational Health and Safety Management System (OH&S MS) is a coordinated and systematic approach to managing health and safety risks

- Helps organisations to continually improve their safety performance and compliance to health and safety legislation and standards
- Establishes safer working environments that protect people at work by eliminating, or better managing, health and safety hazards
- ISO 45001 is a global standard for occupational health and safety management systems (OH&S MS)
- Specifies requirements for an OH&S MS
- Applies to *all* types and sizes of organizations

What ISO 45001 IS NOT:

- Does not state specific criteria for OH&S performance
- Does not prescribe the design of an OH&S management system
- Does not specifically address issues such as product safety, property damage or environmental impacts, and an organization is not required to take account of these issues unless they present a risk to its workers
- Not intended to be a legally binding document, it is a management tool for voluntary use by organizations whose aim is to eliminate or minimize the risk of harm

Why Was ISO 45001 Developed?

- Growing demand for a management system-based standard for OH&S
- Need for health and safety management system that could be audited and certified
- Rising health and safety costs
- Increased regulation

Who Is This Standard For?

Any organization, regardless of its size, type and activities that wants to:

1. Establish, implement and maintain an OH&S management system to improve occupational health and safety, eliminate or minimize OH&S risks (including system deficiencies), take advantage of OH&S opportunities, and address OH&S management system nonconformities associated with its activities
2. Continually improve its OH&S performance and the achievement of its OH&S objectives
3. Assure itself of conformity with its OH&S policy
4. Demonstrate conformity with the requirements of the standard

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Objectives of ISO 45001

- Help organizations minimize the risk of harm to all those working under their control (defined as “workers” within the standard)
- Provide a platform for continual improvement in OH&S performance
- Integrate OH&S within an organization’s overall business management system

What’s Changed Since the Last Update?

- ISO 45001:2018 replaces OHSAS 18001:2007, an OH&S management system standard developed by a smaller group of international experts outside of ISO
- This new standard adopts the High Level Structure used in the other key management systems standards. In addition it increases the emphasis on:
  - **Leadership** and the need for those at the top to lead by example and be held accountable for OH&S performance
  - **Consultation** with and involvement of workers in making sure the OH&S management system covers all necessary areas and communicates effectively with everyone involved
  - **Designing** an OH&S management system to suit the needs of each organization individually according to its own context

Key Focus of ISO 45001

- Top management:
  - being accountable for OH&S management
  - needing to demonstrate leadership
  - Worker participation in:
  - the identification of hazards and risks
  - the development and operation of the OH&S management system, and indicates these are essential for success
- The need to prevent ill-health (including mental ill-health), as well as injuries
- The need to recognize that the causes of ill-health and injuries can be through
  - immediate impacts (e.g. accidents or epidemics)
  - longer term impacts (such as repeated exposure to radiation or carcinogenic chemicals, or to a constantly stressful working environment)

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Benefits to an Organization for Implementing an OH&S Management System

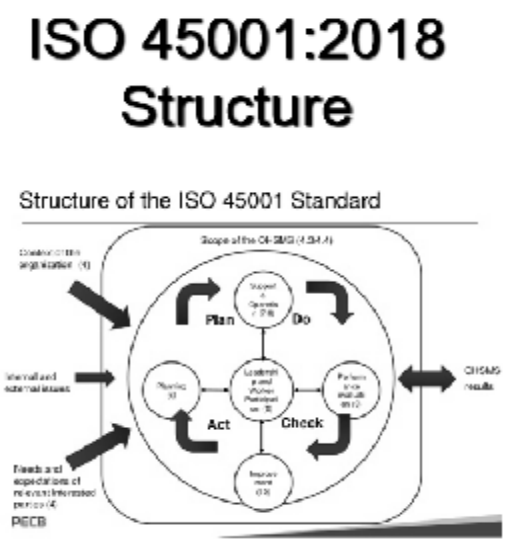
- Improved OH&S performance
  - Prevent health and safety hazard
- Reduced liability
- Fever accidents
- Reduced costs
  - Prevent ill health in the first place than to medication
- Improved public image
  - Enhanced customer trust
  - Competitive advantage
- Better access to capital

Advantages of Certification

- Certification to ISO 45001 is voluntary
- Independent check of conformity by a third party
- Indicates an effective OH&S Management System
- National/International recognition
- Provides competitive advantage
- Improves company image

Session 3

OHSAS ISO 45001:2018 and the system's structure



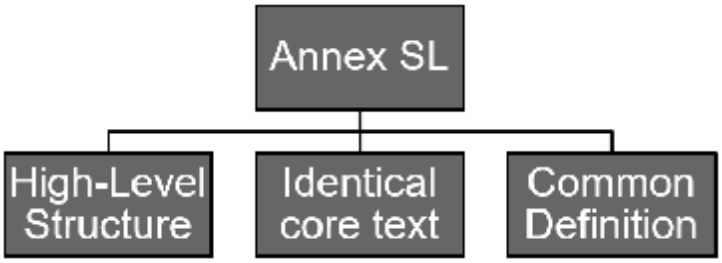
Annex SL – Implications

- Annex SL is the structure for all new and revised ISO Standards
- Annex SL (previously ISO Guide 83) defines the framework for a generic management system
- All new ISO management systems standards (MSS) will adhere to this framework and all current MSS will migrate at their next revision

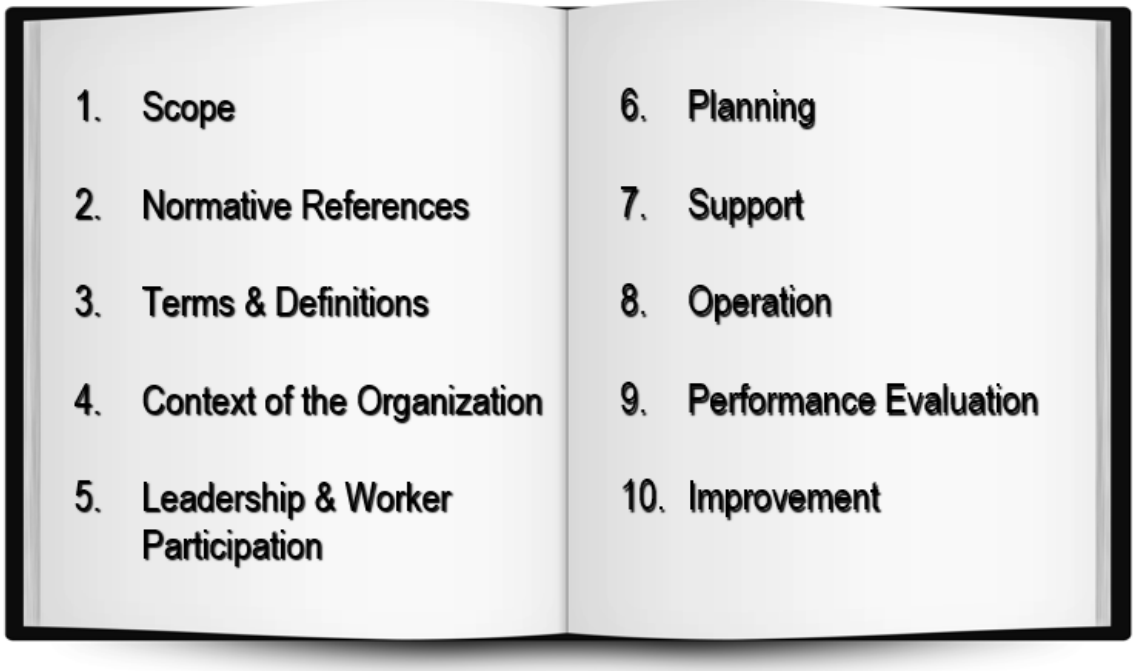
- Whilst the structure and terminology has changed, there is no requirement to use these terms or to follow the numbering or structure within your management system

Overview of Annex SL

- Although Annex SL is a framework for a generic management system, it requires the addition of discipline-specific requirements to make a fully functional standard



The ISO 45001 Structure is Aligned to the Common Structure for MSS



Plan-Do-Check-Act (PDCA) Process Model

DCA (**plan–do–check–act** or **plan–do–check–adjust**) is an iterative four-step management method used in business for the control and continual improvement of processes and products. It is also known as the **Deming circle/cycle/wheel**, the **Shewhart cycle**, the **control circle/cycle**, or **plan–do–study–act** (**PDSA**). Another version of this PDCA cycle is OPDCA. The added "O" stands for *observation* or as some versions say: "Observe the current condition." This emphasis on observation and current condition has currency with the literature on lean manufacturing and the Toyota Production System.[2] The PDCA cycle, with Ishikawa's changes, can be traced back to S. Mizuno of the Tokyo Institute of Technology in 1959. ISO45001, along with other standards has adopted this approach with the development of their standard.

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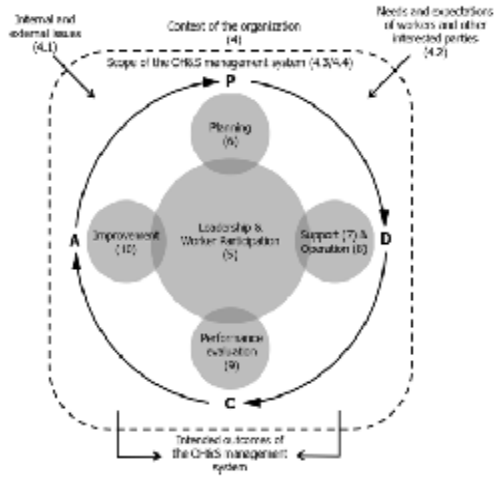


ISO 45001 Approach is Based on the Plan-Do-Check-Act (PDCA) Model

To ensure that the form and format of the standards is in line with other standards, ISO45001 has adopted the PDCA approach in its design. As noted before, this approach is for control and continuous improvement.

PDCA and ISO 45001 Clause Structure

A further examination of the standard shows that the seven clauses of the standard (4-10) have been divided in to the PDCA format: Plan= clauses 4-7, Do= clause 8, Check= Clause 9 and Act= Clause 10.

ISO 45001 Clause Structure (4-10)

PLAN				DO	CHECK	ACT
4. Context of the organization	5. Leadership & worker participation	6. Planning	7. Support	8. Operation	9. Performance evaluation	10. Improvement
4.1 Understanding the organization and its context	5.1 Leadership and commitment	6.1 Actions to address risks and opportunities	7.1 Resources	8.1 Operational planning and control	9.1 Monitoring, measurement, analysis and evaluation	10.1 General
4.2 Understanding the needs and expectations of workers and interested parties	5.2 OH&S policy	6.2 OH&S objectives and planning to achieve them	7.2 Competence	8.2 Emergency preparedness and response	9.2 Internal audit	10.2 Incident, nonconformity and corrective action
4.3 Determining the scope of the OH&S management system	5.3 Organizational roles, responsibilities and authorities		7.3 Awareness		9.3 Management review	10.3 Continual improvement
4.4 OH&S management system	5.4 Consultation and participation of workers		7.4 Communication			
			7.5 Documented information			

In the next few hours we will have the opportunity to review the requirements of ISO 45001 and it is application. We will not be "teaching" the standard as the pre-requisites for this class is to have a general knowledge of the standard and it's application.

OHSMS ISO45001:2018
OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEM REQUIREMENTS

Session Arrangement Plan

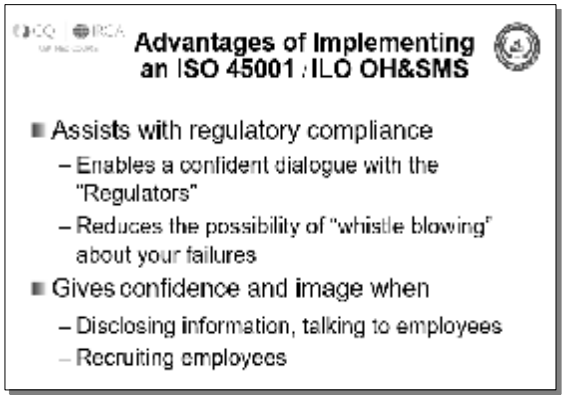
Step One:

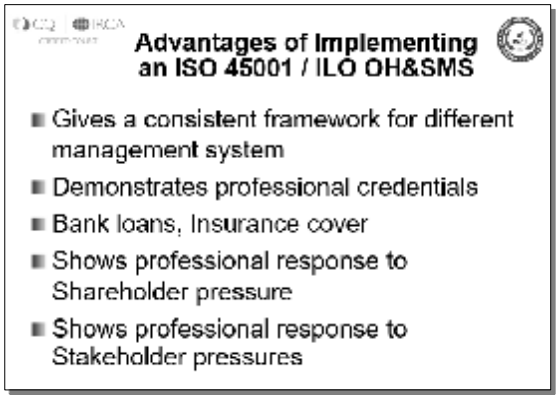
Your tutor will start this part of the training by briefing the clauses of OHSMS ISO45001 in comparison with ISO 9001 and ISO 14001.

Step Two:

You will be required to study, and specifically decide after each clause: (1) what (if any) objective evidence you would look for to ensure that the requirements of the standard have been fulfilled, and (2) Draw pictures for your memory.

The class teams will be given case study and scenarios to discuss, practice for the application of some





TERMS AND DEFINITIONS

There are many different definitions used in relation to the occupational health and safety discipline. These have been taken from

OHSAS ISO45001: Occupational Health and Safety Management System, Specification

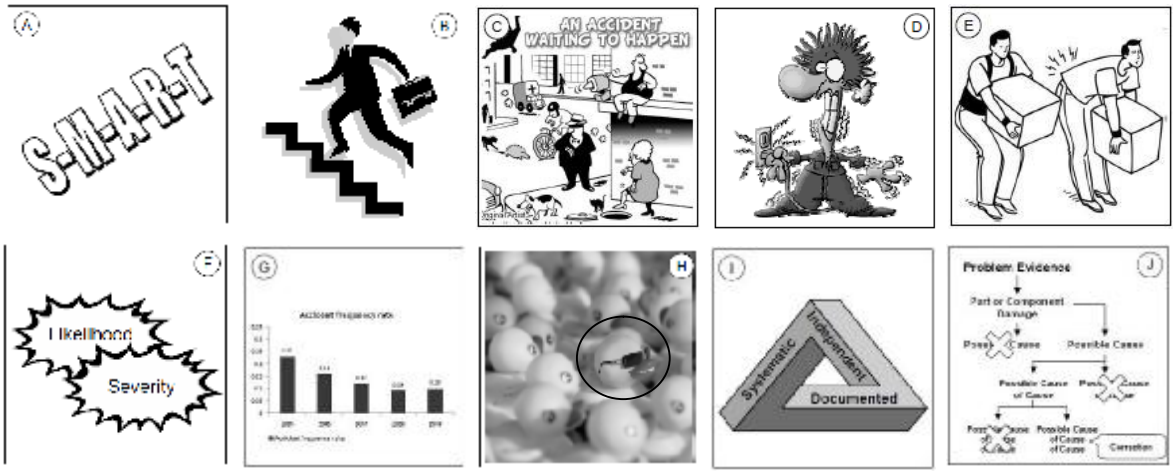
EXERCISE: D1-E02 Reviewing Terms & Definitions

Time: 15 minutes, Feedback: 15 minutes

Objective: To establish a shared understanding of some common definitions and terms used in occupational health and safety audition.

Task: Study term and definition in OHSMS ISO45001:2018 Standard and matching between term and picture which can reflect the definition of term that most clearly.

Hazard	Risk	Incident	Ill Health	Audit
Nonconformity	Continual Improvement	Corrective Action	Objectives	10. Performance



Term	Picture	Term	Picture

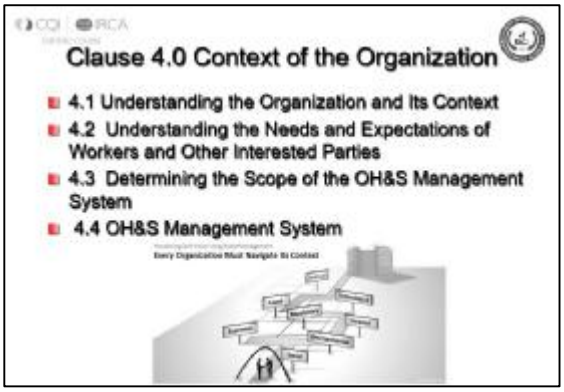
OHSMS ISO45001:2018 – Requirements

This standards review will be done in four parts:

(1) **Plan**ning – clauses 4,5,6 and 7,
(2) **Do** – Clause 8,
(3) **Check** – Clause 9 and
(4) **Act** – Clause 10.

In each exercise, you will discuss in your groups the intent of the clause and it's impact and requirement for the organization. You will create a "picture" of the clause to represent your understanding of the clause, and will present your interpretation to the class.

CLAUSE 4.0 CONTEX OF THE ORGANIZATION



This clause provides guidance on understanding what an organization is and does, and what can affect an organization's ability to manage its OH&S responsibilities and achieve its intended outcomes.

This includes identifying interested parties, together with their needs and expectations, which assists in determining the scope of the organizations management system and putting in place process is needed to support it.

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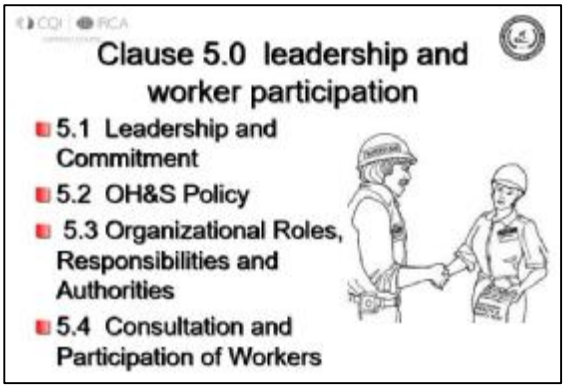
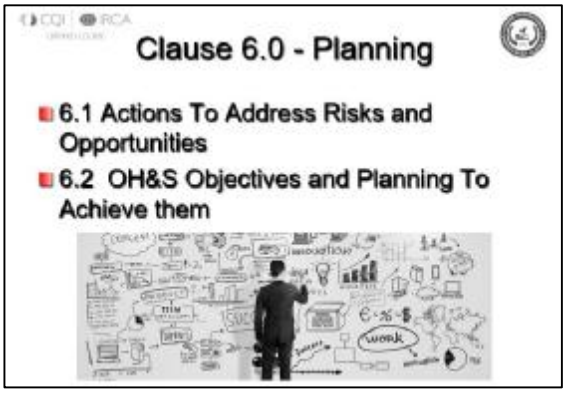
CLAUSE 5.0 Leadership and Worker Participation



This clause provides guidance on how to demonstrate leadership related to the OH&S management system and ensure adequate worker participation in its development, implementation and improvement.

This includes developing and OH&S policy, outlining roles, responsibilities and authorities for the OH&S management system, and the processes necessary for consultation and participation of workers.

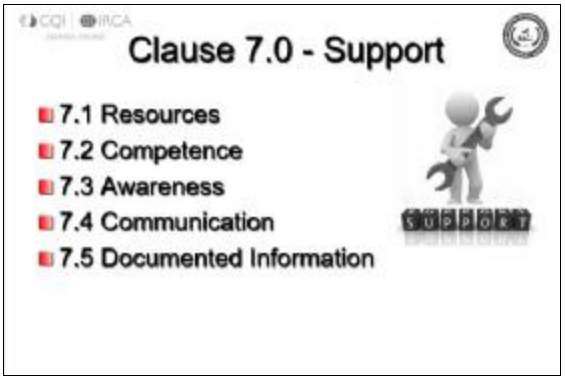
CLAUSE 6.0 Planning



This clause provides guidance on how to plan for the OH& S management system, including identifying and assessing the risks and opportunities associated with it and the actions necessary to deal with these risks and opportunities.

This includes hazard identification, determining the legal requirements and other requirements, i.e. other commitments the organization has made and setting objectives for improvement.

CLAUSE 7.0 Support



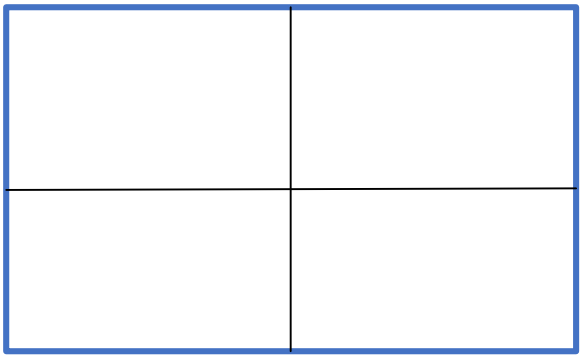
This clause provides guidance on the support needed to ensure the OH&S management system can function effectively, including the resources, competence, communication, awareness and requirements for documented information.

EXERCISE: D1-E03 Clause 4, 5, 6 and 7 Review

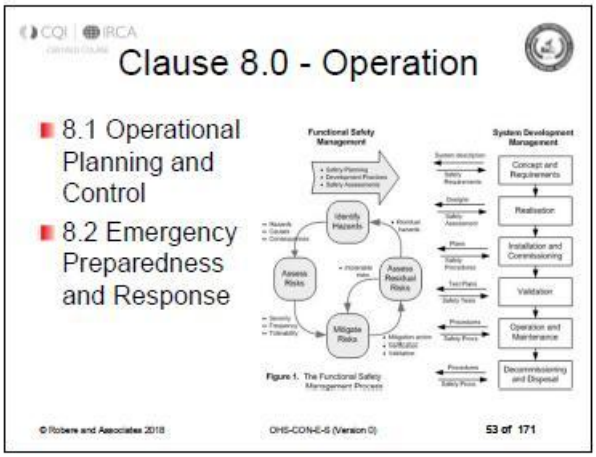
Time: 45 minutes, Feedback: 15 minutes

Task: Refer to OH&SMS ISO45001:2018 Clauses 4, 5, 6 and 7 and create your picture on the flipchart that shows the various clauses of the standard.

(1) What is the intent?
(2) What is the application?
(3) Draw a picture showing all four clauses



CLAUSE 8.0 - OPERATION



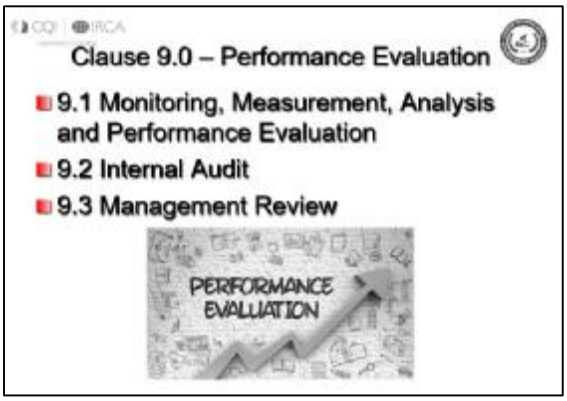
EXERCISE: D1-E04 Clause 8.0 Review

Time: 30 minutes, Feedback: 15 minutes

Task: Refer to OHSMS ISO45001:2018 Clause 8.0 and answer the following questions:

1. Draw a simple “picture” that will help you understand the intent and activities in the clause.

Clause 9.0 – Performance Evaluation



NOTES:

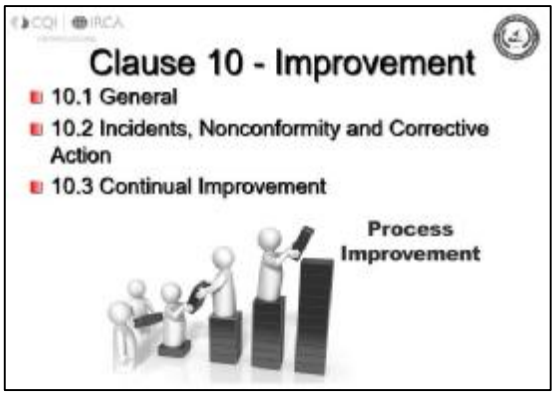
EXERCISE: D1-E05 Clause 9.0 Review

Time: 20 minutes, Feedback: 10 minutes

Task: Refer to OHSMS ISO45001:2018 Clause 9.0 and answer the following questions:

1. What is the intent of this clause? Draw a basis picture in order to explain the requirements and function of Clause 9.0.

Clause 10 – Improvement



Notes:

EXERCISE: D1-E06 Clause 10.0 Review

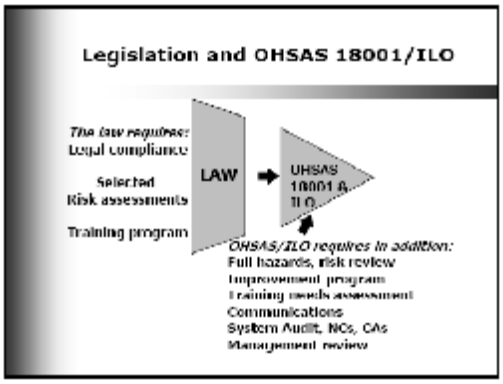
Time: 20 minutes, Feedback: 10 minutes

Task: Refer to OHSMS ISO45001:2018 Clause 9.0 and answer the following questions:

1. What is the intent of this clause? Draw a basis picture in order to explain the requirements and function of Clause 9.0.

Session 4

OCCUPATIONAL HEALTH AND SAFETY LEGISLATIONS



The standard raises a specific requirement for the organization to ensure that these applicable legal requirements and other requirements to which the organization subscribes are taken into account in establishing, implementing and maintaining its OH&SMS

OH&S legislation requirements are just part of a larger picture that the OH&SMS paints. There are often many requirements defined by legislation that the organization must comply with. Indeed, very often legislation will define the key impacts.

The organization needs to be aware of and understand how its activities are, or will be, affected by applicable legal and other requirements, and to communicate this information to relevant personnel.

International Labor Organization (ILO)

The ILO was founded in 1919, in the wake of a destructive war, to pursue a vision based on the premise that universal, lasting peace can be established only if it is based on social justice. The ILO became the first specialized agency of the UN in 1946.
.
The ILO is the international organization responsible for drawing up and overseeing international labor standards. It is the only 'tripartite' United Nations agency that brings together representatives of governments, employers and workers to jointly shape policies and programs promoting Decent Work for all. This unique arrangement gives the ILO an edge in incorporating 'real world' knowledge about employment and work.

The main aims of the ILO are to promote rights at work, encourage decent employment opportunities, enhance social protection and strengthen dialogue on work-related issues.

ILO OSH 2001 : Guidelines on Occupational Safety & Health Management Systems

Background

- Arose from the rejection in 2000 by ISO of an ILO proposal to create an ISO OHS Standard
- ILO then decided to create their own set of guidelines
- ILO goal is to develop practices to protect employees
- ILO is supported by the United Nations – gives credibility to the Guidelines
- ILO Website http://www.ilo.org/public/english/protection/safework/managment/index.htm give links to the free downloadable guidelines

National implementing legislation

(Ref. Wikipedia, the free encyclopedia)

Different states take different approaches to legislation, regulation, and enforcement.

In the European Union, member states have enforcing authorities to ensure that the basic legal requirements relating to occupational safety and health are met. In many EU countries, there is strong cooperation between employer and worker organizations (e.g. Unions) to ensure good OSH performance as it is recognized this has benefits for both the worker (through maintenance of health) and the enterprise (through improved productivity and quality). In 1996 the European Agency for Safety and Health at Work was founded.

In the UK, health and safety legislation is drawn up and enforced by the Health and Safety Executive and local authorities (the local council) under the Health and Safety at Work etc. Act 1974. Increasingly in the UK the regulatory trend is away from prescriptive rules, and towards risk assessment. Recent major changes to the laws governing asbestos and fire safety management embrace the concept of risk assessment.

In the USA, the Occupational Safety and Health Act of 1970 created both the National Institute for Occupational Safety and Health (NIOSH) and the Occupational Safety and Health Administration (OSHA). OSHA, in the U.S. Department of Labor, is responsible for developing and enforcing workplace safety and health regulations. NIOSH, in the U.S. Department of Health and Human Services, is focused on research, information, education, and training in occupational safety and health.

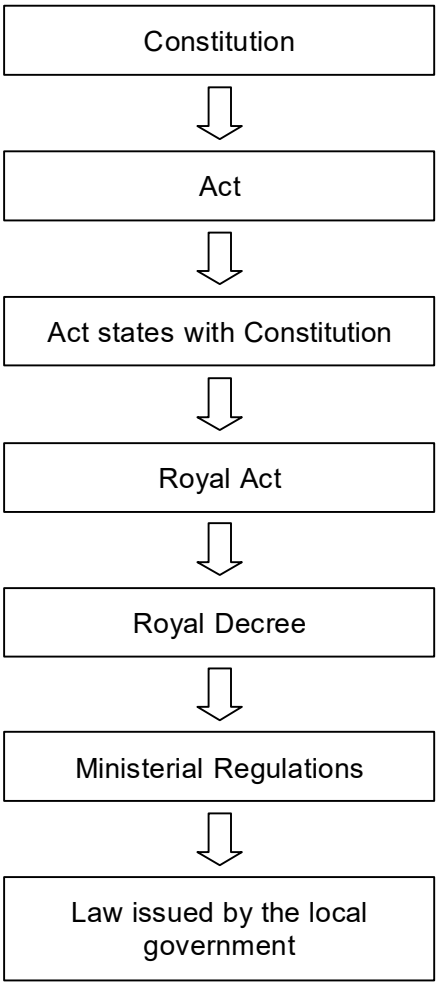
In Canada, workers are covered by provincial or federal labour codes depending on the sector in which they work. Workers covered by federal legislation (including those in mining, transportation, and federal employment) are covered by the Canada Labour Code; all other workers are covered by the health and safety legislation of the province they work in. The Canadian Centre for Occupational Health and Safety (CCOHS), an agency of the Government of Canada, was created in 1978 by an Act of Parliament. The act was based on the belief that all Canadians had "...a fundamental right to a healthy and safe working environment." . CCOHS is mandated to promote safe and healthy workplaces to help prevent work-related injuries and illnesses.

In Malaysia, the Department of Occupational Safety and Health (DOSH) under the Ministry of Human Resource is responsible to ensure that the safety, health and welfare of workers in both the public and private sector is upheld. DOSH is responsible to enforce the Factory and Machinery Act 1969 and the Occupational Safety and Health Act 1994.

Occupational safety and health may involve interaction among many cognate disciplines, including occupational medicine, occupational (or industrial) hygiene, public health, safety engineering, health physics, ergonomics, toxicology, epidemiology, industrial relations, public policy, sociology, and psychology.

NOTE: When this section is presented outside of Thailand, local standards should be referenced.

Hierarchy of Thai Law



Occupational Health & Safety Laws in Thailand

Ministry of Labor

- **Safety, Occupational Health and Working Environment Act B.E.2554 (A.D.2011)**

- **Ministerial Regulation:**

1. On the standard for Administration and Management of Safety, Occupational Health, and Working Environment in relation to Electricity B.E.2554 (A.D.2011)
2. On the standard for Administration and Management of Safety, Occupational Health, and Working Environment (No.2) B.E.2553 (A.D.2010)
3. On the standard for Administration and Management of Safety, Occupational Health, and Working Environment in relation to Machinery, Crane and Boiler B.E.2552 (A.D.2009)
4. On the standard for Administration and Management of Safety, Occupational Health, and Working Environment in relation to construction B.E.2551 (A.D.2008)
5. On the standard for Administration and Management of Safety, Occupational Health, and Working Environment B.E.2549 (2006)
6. On the standard for Administration and Management of Safety, Occupational Health, and Working Environment in relation to Heat, Light and Noise B.E.2549 (2006)
7. On the standard for Administration and Management of Safety, Occupational Health and Working Environment in relation to Diving Work B.E.2548 (A.D.2005)
8. On criteria and method of conducting health check up of employees and forwarding the results of health check up to competent labour inspector B.E.2547 (A.D.2004)
9. On the standard for Administration and Management of Safety, Occupational Health and Working Environment in Confined Space B.E.2547 (A.D.2004)
10. On the standard for Administration and Management of Working Safety in relation to ion – radioactive B.E.2547 (A.D.2004)

Ministry of Interior

- **Ministerial Notifications on Safety at Work:**

1. Safety at Work in related to Environment (Chemical Substance)
2. Safety at Work in related to Electricity
3. Safety at Work in related to Hazardous Chemicals
4. Safety at Work in related to Fire Protection

EXERCISE: D1-E07 OH&S Legislation Compliance

Time: 30 minutes, Feedback: 15 minutes

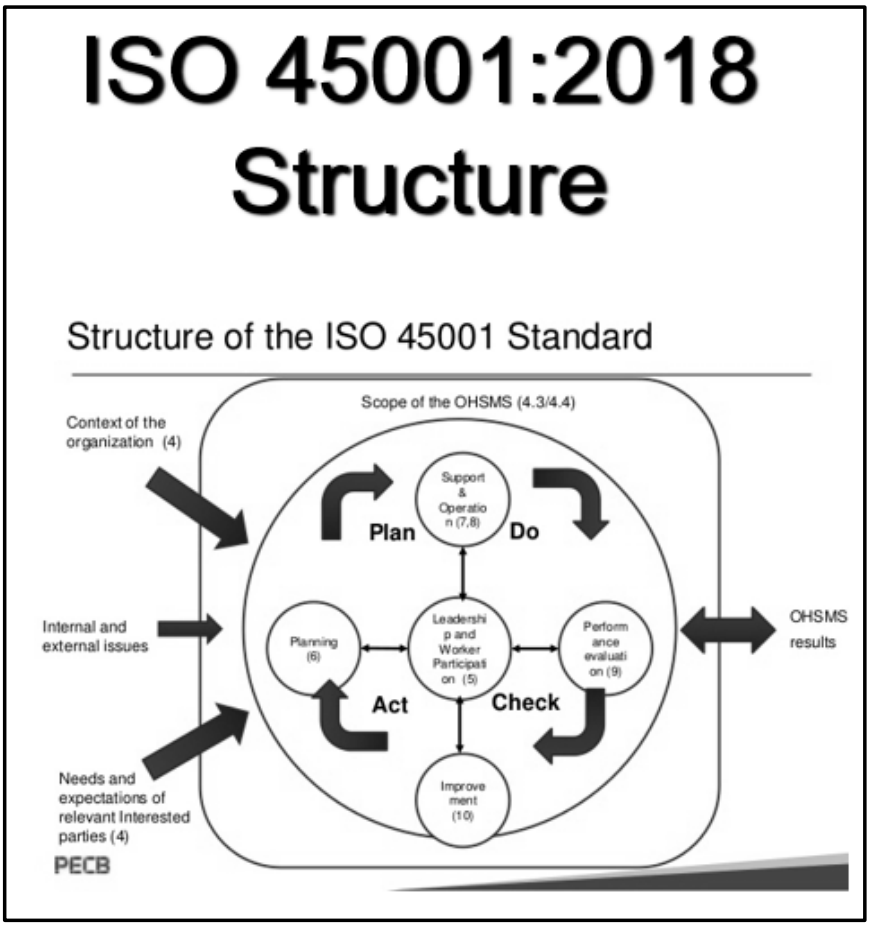
Task: As a group, Review the OH&SMS legislation applied to control and prevent hazard associated with the output from previous exercise: **Risk Assessment.**

Law & Regulation Reference	**Hazard related**	**How to do?**

DAY ONE SUMMARY

During today's activities we discussed

- OH&SMS background
- ISO 45001 Terms and Definitions
- ISO 45001 Clause Review



- Role of legislation in an OH&SMS

Use this summary to review what we've studies today, and to help you prepare for tomorrow.

DAY TWO

PREPARING FOR THE AUDIT

Day one review: In your teams discuss the following:

1. **Where was the intent of clauses 4-10 in ISO 45001:2018?**

   a. **4.0**

   _____
   _____

   b. **5.0**

   _____
   _____

   c. **6.0**

   _____
   _____

   d. **7.0**

   _____
   _____

   e. **8.0**

   _____
   _____

   f. **9.0**

   _____
   _____

   g. **10.0**

   _____
   _____

2. **What questions do you have regarding yesterday's discussion?**

_____
_____
_____
_____
_____
_____
_____

Session 5

OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM AUDITS

Audits of work sites are conducted for the purpose of health, safety, and fire hazard identification. During these surveys, assessments are made for compliance to applicable occupational health and safety laws and other requirements.

What safety audits are not
Safety Audits are primarily to check the effectiveness of the various programs, they do not take the place of regular facility inspections. Facility safety inspections for hazards and their control should be performed on a weekly basis by supervisors and on a monthly basis by management.

The big four
There are four basic questions a safety audit should answer. The persons or team designated to conduct the audits should take a fact finding approach to gather data. These auditors should be familiar with both the company program and the various local, state and federal requirements.

All safety audit comments, recommendations and corrective actions should focus on these four questions:

1. Does the program cover all regulatory and best industry practice requirements?
2. Are the program requirements being met?
3. Is there documented proof of compliance?
4. Is employee training effective – can and do they apply specific safe behaviors?

EXERCISE: D2-E01 Safety Audits

Time: 60 minutes for play game and class discussion

Introduction
Welcome all team to the Safety Audits challenge games. Each team has been requested to set a name and short introductions.

Task
Read the question to the contestants and answer within limited time. If the team answers correctly, getting a score but if the answer is wrong, giving the other teams a chance to indicate they want to answer.

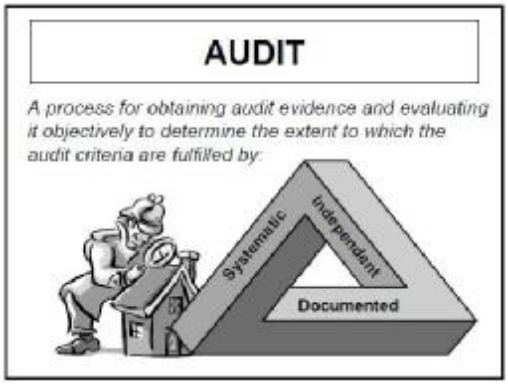
Delegate Note:

WHY AUDIT

An audit is one method of gathering factual information based on an unbiased assessment of objective evidence rather than subjective opinion.

The purpose of the occupational health and safety management system audit, referred to ISO 45001 clause 4.5.5, is to:

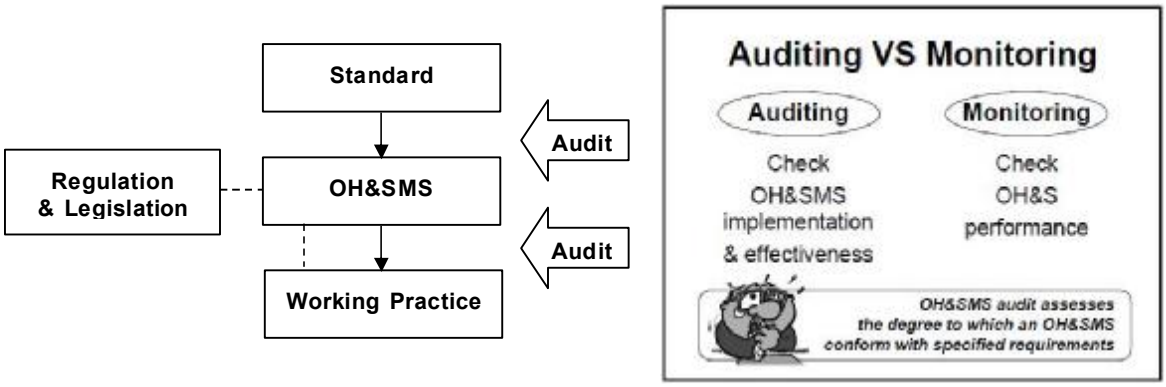
a) determine whether or not the occupational health and safety management system
   - conforms to planned arrangements for OH&SMS including the requirements of ISO 45001
   - has been properly implemented and maintained; and
b) provide information on the results of audits to management



OH&SMS audits can help increase OH&S awareness, as well as evaluate whether or not the organization successfully:

- Develops organizational OH&S policies that implement regulatory and legal requirements and provide management guidance for OH&S hazards not specifically addressed in regulations.
- Trains and motivates facility personnel to work in an acceptable manner and to understand and comply with legal requirements and the organization's OH&S policy.
- Communicates relevant OH&S information externally and internally within the organization.
- Applies best management practices and operating procedures, including good "housekeeping" techniques.
- Institutes preventive and corrective maintenance systems to minimize actual and potential OH&S hazards.
- Assess OH&S risks and uncertainties.
- Substitutes material or processes to allow use of the least hazardous substances feasible.
- Evaluate causes behind any serious environmental incidents and establishes procedures to prevent recurrence.
- Utilizes best available process and control technologies.
- Uses the most effective sampling and monitoring techniques, test methods, record keeping systems, or reporting protocols

SYSTEM FOR CONFORMANCE



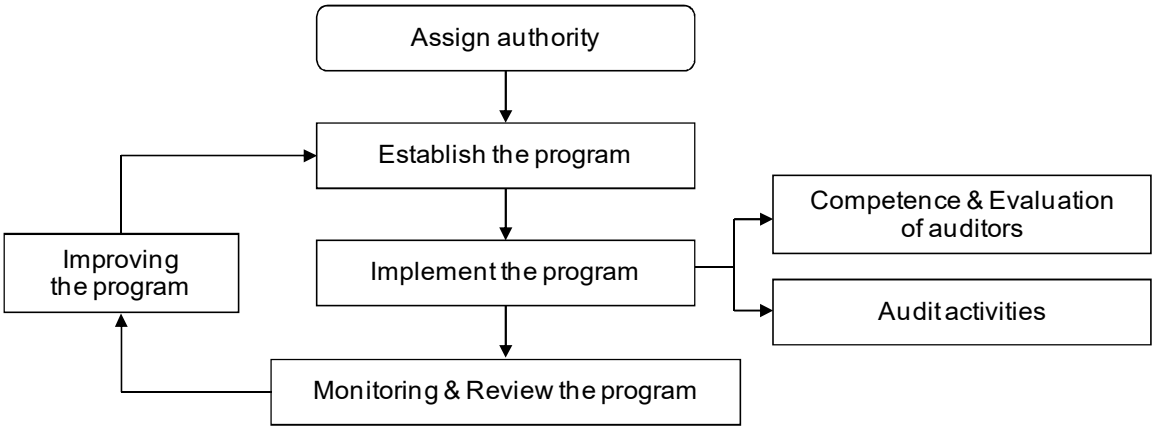
AUDIT MANAGEMENT

ISO 19011:2011 – Guideline for auditing systems provides guidance to auditors and organizations needing to conduct internal and external quality or environmental management system audits, as well as on managing audit programs. It may also be used by organizations involved in auditor certification and training, accreditation and standardization in the area of conformity assessment.

Additional information that is of value to the user are “tables” at the end of the standard that define:

1. methods for evaluating areas of auditor qualifications
2. Audit team/auditor selection

WHAT DOES AUDIT MANAGEMENT INVOLVE?



AUDIT RESPONSIBILITY

An audit could be compared to a **"Party"**. Many different people may come to the party and it is the Lead Auditor's responsibility to ensure that the party moves in the direction of his choosing.

The audit team leader

Person responsible for the organization being audit

Person may present in the audit but not involve in the audit activity

The auditor who conducts auditing activities

Person assigned by the company to guide the auditor to the audit area

This list is not exhaustive, in some instances there may be fewer people, and in others there may be many more, for example Accreditation Bodies witnessing assessment work, Certification Bodies witnessing assessment work, etc. Whoever shows up for the party, the Lead Auditor must act as the interface between the various sides involved and ensure the effective deployment of the entire activity.

Delegate Note:

It is important, in any situation, that all parties fully understand their roles and what is expected from them in any particular circumstance.

Auditor Responsibilities

- Complying with company requirements
- Conforming with applicable standards and specifications
- Interfacing with Lead Auditors
- Undertaking the Audit
- Document observations and non-conformities
- Document objective evidence to support findings
- Report Audit findings
- Undertake follow-up Audits
- Maintain confidentiality
- Maintain independence
- Maintain a record of their own work for training records
- Support the team

Auditor Team Leader Responsibilities

- Same as these of an auditor
- Manage the team
- Team selection
- Control and conduct of the audit
- Preparing the audit schedule
- Preparing checklist
- Liaison with the Auditee and Audit team
- Preparation and submission of audit report
- Conducting opening and closing meetings

Auditors also have the non-stated responsibility to act as champions of the Occupational Health and Safety Management System.

Their periodic visits to the work place provide an opportunity to raise awareness of audits, auditors, Occupational Health and Safety Management Systems and importantly risk assessment, as well as to increase understanding of the company and to develop rapport with management.

Knowledge

- Understand the technology of the areas that will be audited.
- Understand the ISO 45001 Standard that is applicable to the audit.
- Fully understand the occupational health and safety issues and risk assessment methods.
- Understand the concepts of management system.
- When undertaking 3rd party audits understand the requirement of the Certification / Registration Body.

However, the auditor should not fall into **"consultancy trap"** suggesting alternative methods or discussing what other company do, and not indicate likely success or otherwise.

Auditee Responsibilities

- Inform employees
- Co-operative with auditors
- Provide logistical resources
- Appoint guides
  - to assist the audit team
  - to arrange visit to specific parts of the site
  - to ensure that occupational health and safety rules are know and respected by the audit team
- Corrective action

Guides and Observers

- Not involve in the audit
- Guides:
  - establish contact and timing
  - arrange visit to a specific area
  - ensure safety and security rules are awared
  - witness the audit – on behalf of auditee
  - assist in collecting information

EXERCISE: D2-E02 Audit Activities

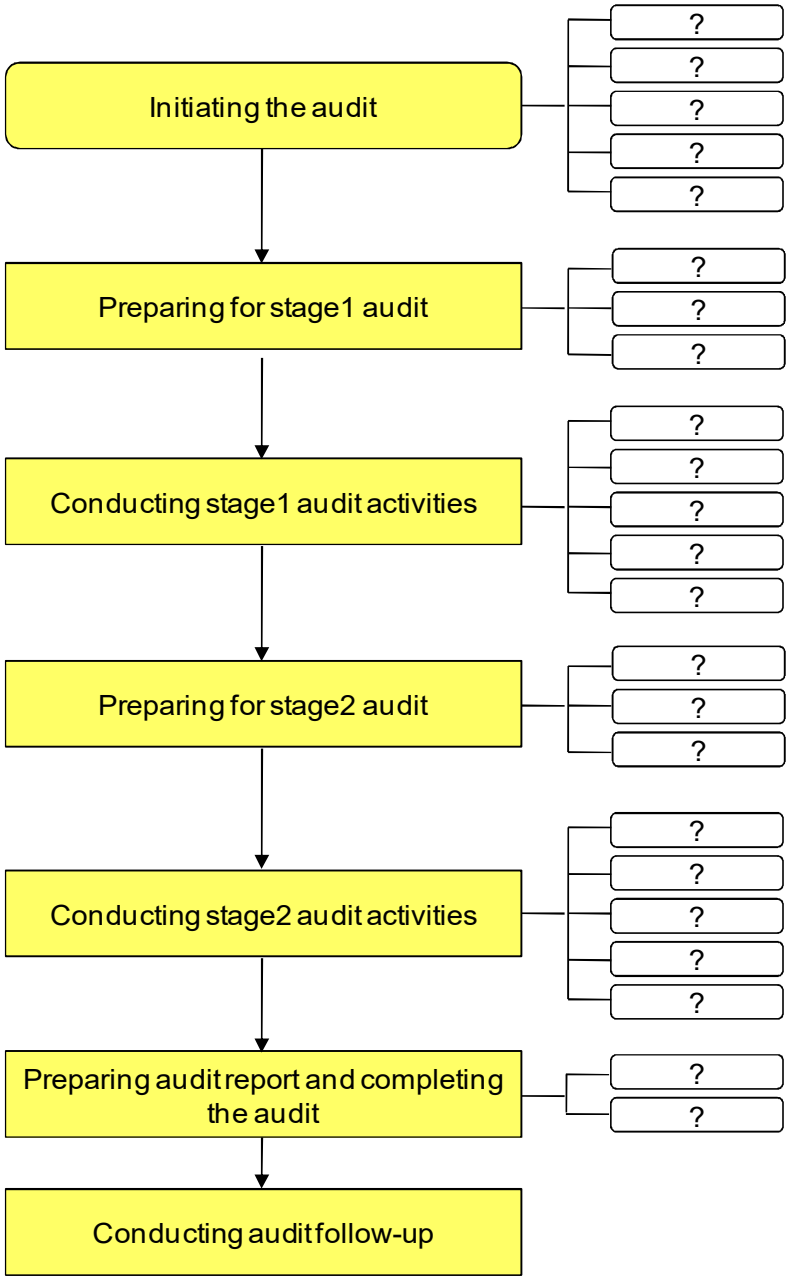
Time: 15 minutes and feedback.

Introduction

You are going to review activities and tasks required to complete an audit program.

Task

The tutor will provide a set of activities. Each team is requested to sequencing, and adding where appropriate, all activities typically happen in an audit program.



OH&SMS CERTIFICATION AUDIT STAGES

(Ref. ISO/IEC 17021 Conformity assessment - Requirements for bodies providing audit and certification of management systems)

In normal situation the 3rd-party audit of ISO 45001 is carried out in two stages:

- Stage 1 Audit (may be called initial audit or pre-audit)
- Stage 2 Audit (may be called main audit or certification audit)

Stage 1 Audit

The objective of the stage 1 audit is to provide a focus for planning the stage 2 audit by gaining an understanding of the OH&SMS in the context of the organization's OH&S policy and objectives, hazards identification, etc.

In this stage of audit, at least one the following should be obtained:

- OH&SMS documentation inclusive of procedures and preferably a master list showing the cross reference of documentation to the related requirements of the standard.
- A description of the organization and its on-site processes.
- An indication of the hazards and their associated impacts and the determination of significance.
- The means by which continual improvement is achieved.
- An overview of the applicable regulations (including relevant licenses and permits) and agreements with Authorities.
- Internal audit programs and reports.
- Other records, as appropriate.

The stage 1 audit includes, but is not restricted to, document review, and an overview of the operations. Prior to the stage 2 audit, the Lead Auditor shall review the organization's documentation such as OH&S policy statements, programs, records or manuals for meeting its OH&SMS requirements. In doing so, all background information on the auditee organization shall be made use of.

The documentation required by the ISO 45001 should describe the OH&SMS and make clear the relationship to any other related management system in operation in the organization or having an influence on the OH&SMS subject to certification. It is acceptable to combine the documentation for occupational health and safety with other management systems (such as for quality or environmental) as long as the components of the OH&SMS can be clearly identified together with the appropriate interfaces to the other systems.

The applicable law and regulation should also form part of the review.

Stage 1 audit findings shall be documented and communicated to the client, including identification of any areas of concern that could be classified as nonconformity during the stage 2 audit.

Stage 2 Audit

The objectives are:

- To confirm that the organization adheres to its own policies, objectives and procedures
- To confirm that the OH&SMS conforms with all the requirements of the OH&SMS standard and is achieving the organization's policy and objectives

In determining the interval between stage 1 and stage 2 audits, consideration shall be given to the needs of the client to resolve areas of concern identified during the stage 1 audit.

Surveillance Audit

The purposes of surveillance audit are:

- To assure that the organization is continuing to comply with the criteria of the standard.
- To follow-up action taken on any non-conformity identified during the last audit

Surveillance is undertaken at least once a year. The reliability of the internal audit program of the organization and the degree of system stability can be taken into account when deciding how much surveillance should be carried out.

Re-Audit

A Re-audit, similar to the stage 2 audit, is undertaken after three years as per a certification period.

Surveillance time should be proportional to the time spent at initial assessment with the total amount of time spent annually on surveillance being about 1/3 of the time spent on the initial assessment.

All function and requirements shall be audited at lease once during the certification period.

Re-assessment amount of time spent performing of the same organization and should be about 2/3 of the time that would be required for initial assessment.

Session 6

AUDIT PLANNING AND PREPARATION

DEFINING OBJECTIVES, SCOPE AND CRITERIA OF THE AUDIT

The first piece of the jigsaw the audit team leader need when planning an audit, whether it is internal or external, is the objectives, scope and criteria of the audit.

The objectives should be defined by the audit client. The audit team leader will assist the audit client in establishing the scope and criteria to their requirements.

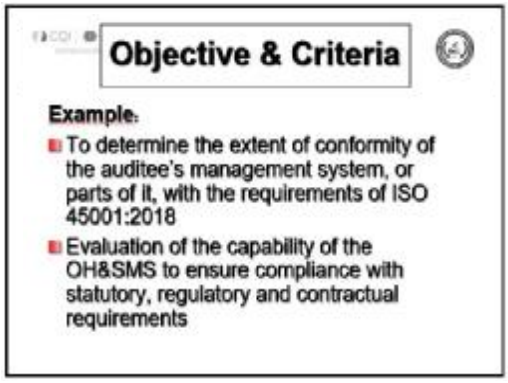
OBJECTIVE

The audit objectives define what is to be accomplished by the audit.

CRITERIA

The audit criteria are used as reference against which conformity is determined, such as

- ISO 45001 standards,
- Occupational Health and Safety laws and regulations,
- Occupational Health and Safety policies, procedures and plans,
- contractual requirements,
- industrial/business code of conduct



SCOPE

Determining the scope should consider the following factors:

- Company name and address
- The desired scope of certification, e.g. activities, processes and products
- Physical locations
- Organizational size
- Function arrangement
- Significant aspect of its operations
- Time period covered by the audit
- Other information, such as technical resource, legal obligations, outsource processes, other implemented system, etc.

Where an organization had multiple sites with similar occupational health and safety relevance, a single certification may be issued, every site or business unit located within the OH&SMS should be audited.

When defining the audit scope it is important that the auditee is aware of the scope boundaries as well, you do not want to be working to one scope and the auditee working to a different one.

EXERCISE: D2-E03 Determining an audit scope and information

Time: 15 minutes, Presentation and feedback 15 minutes

Introduction
Your team has been requested to conduct a certification audit for ISO 45001, and has been given an Occupational Health and Safety Manual.

Task
Use the provided information of a case study organization to write-up on the flip chart and be prepared to present to class

1) scope of audit, and
2) other information your team might need for your audit planning and preparation.

Exercise Answer:

STAFFING THE AUDIT TEAM

An audit team may consist of one person provided that the person complies with all the requirements above for an audit team. that the audit team possesses the competence needed to achieve the objectives of the audit. Clearly bounding the scope of activity will also help with staffing the audit. The decision regarding audit team selection is the responsibility of the lead auditor.

Consideration should be given to the following:

a) Audit objects, scope, criteria and estimated duration of the audit;
b) The number, overall competence of the audit team needed to achieve the objectives of the audit including
   - an understanding of the auditee's particular social and cultural characteristic
   - knowledge of techniques to reduce of risks and the application of these techniques in practice
c) Statutory, regulatory, contractual and accreditation/certification requirements, as applicable;
d) Any potential conflict of interest between the audit team members and the auditees and the independence of the audit team member;
e) Language of the audit.

Technical experts with specific knowledge regarding the process and occupational health and safety issues and legislation affecting the organization, but who do not satisfy the criteria to be an auditor, may be part the audit team. Technical experts and auditors-in-training should operate under direction of an auditor.

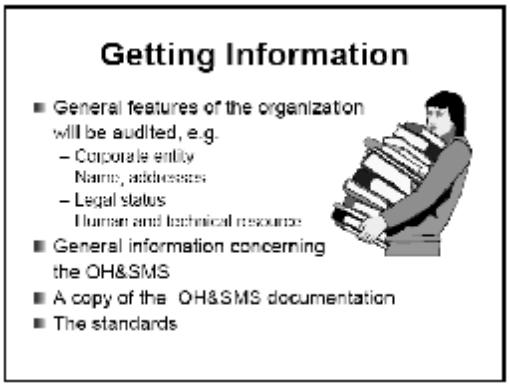
Delegate Note:

GETTING INFORMATION

A key part of the audit preparation is to understand and know as much as possible about the organization to be audited before the audit begins as this will help ensure that

- the audit will cover the right topics,
- which risk will be central, and
- the audit schedule is practical.

General information which should be collected will be determined by the scope and criteria of the audit, the audit type, and reason for the audit.



Useful information may include, but not always the case:
• **Site information** - Size of the organization - General background in relation to the past and present use of the site - Site map including surrounding land use
• **The activities and technology of the organization** - Information on the over process activities - Inputs and outputs of the process that may effect the health and safety - Risk control technologies
• **Statutory requirements** - Government regulations - Code of practice - Site specific licenses
• **Top level system documentation** - System manual or its equivalence - Occupational Health and Safety policy, objectives and programs - Details of risk assessment
• Any information on the degree of readiness, such as previous internal or external audit report, and the organization's perception of their ability to meet the specific occupational health and safety requirements or standard that are expected to be audit.

Not all of these background information will be provided by the auditee. Some information may be sourced from the organization's external agencies such as Local Councils or other Government Departments.

An initial site visit may be required to gather lots of first hand information. This also has the advantage of helping to establish a relationship with the organisation.

Lead Auditor's responsibility to review all of the information and disseminate any of that information to the audit team as required.

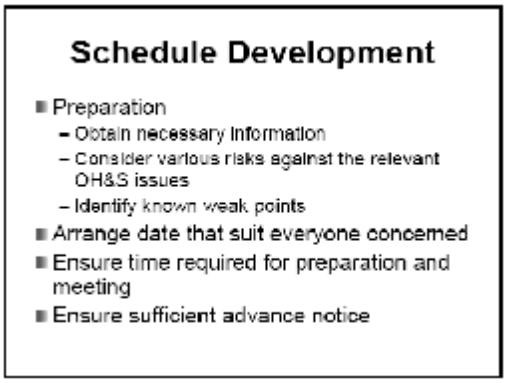
SCHEDULE DEVELOPMENT

The audit schedule is a prime communication tool and, as such, should be developed using language that will be understood by the auditee.

"There is not a right way, or a wrong way to develop an audit schedule"

Other than the basics, any format or style may be appropriate, bearing in mind that it needs to be usable and understood by all parties involved. The following may be included, as appropriate:

- Auditee's representative
- Language of the audit and report
- Logistic arrangement (guide, PPE, travel, on-site facilities, etc.)
- Confidentiality
- Audit follow-up actions



The planning should be conducted with co-operation with the auditee to ensure the plans are mutually agreeable but without compromising the obligations of the audit team. Also it should be flexible so any changes, which may develop during the audit, can be catered for.

Do not forget those areas, which have no bearing on quality but which have associated risk assessment. These might include landscaped areas and indirect activities (e.g. maintenance or cleaning).

The following factors should be taken into account when formulating the audit plan.

- The objectives,
- The depth of audit and the required sample size of audit evidence,
- The number of different functional levels to be audited,
- The availability of specialists if required,
- The speed or experience of the individual auditors, and
- The size of the auditee's sites, that is the geographical dispersion.

AUDIT APPROACH

A number of approaches for performing audits are available – the schedule should consider a balanced approach involving adequate ration between auditing management and producers level. Another consideration to ensure that the coverage applied at both horizontal and vertical and process oriented approaches.

Commonly, the audit may be planned as a series of vertical or horizontal audits or as a combination of those two approaches.

Using the **audit matrix** as a tool to determine areas should be covered by each audit approach.

Vertical

Horizontal

Element

Process Area

4.0	**Context of the organization**					
4.1	**Understanding the organization and its context**					
4.2	**Understanding the needs and expectations of workers and other interested parties**					
4.3	**Determining the scope of the OH&S mangement system**					
4.4	**OH&S management system**					
5.0	**Leadership and worker participation**					
5.1	**Leadership and commitment**					
5.2	**OH&S policy**					
5.3	**Organizational roles, responsibilities and authorities**					
5.4	**Consultation and participation of workers**					
6.0	**Planning**					
6.1	**Actions to address risks and opportunities**					
6.2	**OH&S objectives and planning to achieve them**					
7.0	**Support**					
7.1	**Resources**					
7.2	**Competence**					
7.3	**Awareness**					
7.4	**Communication**					
7.5	**Documented information**					
8.0	**Operation**					
8.1	**Operational planning and control**					
8.2	**Emergency preparedness and response**					
9.0	**Performance evaluation**					
9.1	**Monitoring, measurement, analysis and performance evaluation**					
9.2	**Internal audit**					
9.3	**Management review**					
10.0	**Improvement**					
10.1	**General**					
10.2	**Incident, nonconformity and corrective action**					
10.3	**Continual improvement**					

Vertical	Horizontal*
The auditors are to examine the implementation of the OH&SMS at each dept./function/site against all relevant OH&SMS factors.	The auditors are to examine a particular subject or application of each OH&SMS element across all or part of the organization.

Combination

This approach is more practically in terms of utilization of available time resources for both audit team and auditees, however it required more of the planner's view of how the organization manage its OH&SMS.

** Advantage: consistency of application of the specified requirements is achieved throughout the organization.*
Disadvantage: if a multiple-site organization, extensive travel expenses and time may be incurred.

NOTES:

EXERCISE: D2-E04 Scheduling for an audit

Time: 20 minutes, Presentation and feedback: 15 minutes

Purpose

The exercise is intended to make you think about the planning necessary for an effective audit in a situation of real-world complexity.

Introduction

You are to prepare a schedule for **stage 1** OH&SMS audit for a company. There are 3 qualified auditors that you may assign for this audit.

Auditor A - is QMS qualified lead auditor, involved in QMS auditing for more than 5 years in various industries. He has a strong background in Industrial Engineering, and has just qualified to be OH&SMS auditor last 2 months with 1 auditing experiences as an audit team member.

Auditor B - is involved in safety and environmental control in chemical industry since she graduated. She has been involved in OH&SMS audit with your company twice since last year. She produced good result of audit and auditee feedback for her is excellent.

Auditor C - is the new member of your company, with a lot of experience in QMS, EMS and safety audit, as first party and second party auditor. Previously, she was the assistance to OH&S management representative, responsible for development and maintenance of OH&SMS for a large company, certifying to ISO 45001. She has passed lead auditor training already, and under training period of your company.

Task

Prepare an audit schedule detailing how you might cover the ***core activities***, include a daily program for the auditor(s) involved, remembering to consider

- Opening and closing meetings
- Plant visits
- Logistics
- Breaks
- Contingency planning
- Competence of the audit team

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Be prepared to discuss the thinking behind your plan with the class.

Delegate Note:

WORKING DOCUMENTS AND CHECKLIST

No job can be performed properly without the right tools. The following tools are typically used.

- Standards
- The audit plan and checklist
- OH&SMS documents
- Entry and exist attendance forms for the opening and closing meeting
- Audit report forms
- Camera/Video camera – with approval of the organization/auditee prior to use.

CHECKLISTS

Checklists, if used properly, can be a very good tool for the auditor. It is not only a guideline for novices and those who have little confidence in their own ability.

An auditor engaged full time on auditing activities will find it very difficult to retain in their mind the details of every audit. When a question is raised some time after the audit has ended, the checklist will serve as a useful reminder of what happened, what verifiable evidence was examined, the results and so on. A checklist, in this circumstance, would act to jog one's memory. Also, It is a very useful place to collect and collate notes during the audit.

The checklist is not rigidly dictate exactly what to be audit, it is a guide as there will be other issues that emerge in the course of the audit.

PREPARING CHECKLISTS

A checklist should be structured in accordance with the criteria applicable to the audit.

The auditor will need checklist questions covering the scope of the audit, mandatory requirements, and the key intention documented in the OH&SMS documentation.

OH&SMS documentation, standards and other references, including technical documents, previous audit records and auditor's experience should be used when developing a checklist

TYPES OF CHECKLIST

Here are many types of checklists, what follows is a brief outline of the various types:

- Criteria
- Specific questions
- Standard checklist
- Bullet points

CRITERIA CHECKLIST

The criteria checklist is structured in accordance with the OH&SMS Standard and legislation requirements applicable for the contract or audit concerned.

A criteria checklist can be used for any type of audit, any depth of audit and any scope of audit.

Advantages	Disadvantages
• provides ready assessment of conformance with the relevant standards and legislation requirements • focuses auditor's mind on measures and not the auditor's opinion of what the measures are • once developed can be used again and again	• requires experienced auditor to use them and relate them to some organizational structures • does not identify to an inexperienced auditor what to look for

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SPECIFIC QUESTIONS CHECKLIST

This is a checklist, which is structured around a discrete department, process, procedure, OH&S issue, etc.

It is developed based on the key intention documented in the procedure.

Advantages	Disadvantages
• convenient when auditing discrete areas • flexible, can be tailored to suit many sorts of circumstances and used as a basis for other checklists • good for training auditors • tells auditor what you want	• does not provide ready assessment of conformance with OH&SMS Standards • can reflect preconceived ideas of the person who completed the checklist • can lead to "blinkered or stereotyped" audits if some questions are asked in the same area time after time • lot of work required to develop them

Example:

Checklist Question for Hazardous Substances Storage	OK/NC	Comment
1) Is the storage area associated risks assessment? 2) Is there any relevant instruction/MSDS available at the point of storage? 3) Do the operators know what are their health effect to work with those hazardous substances? 4) What kind of PPE is required at this storage area? 5) Has the personnel been trained or made aware of hazard and risk of the involving hazardous substances?		

NOTES:

STANDARD CHECKLIST (For Internal Auditing)

This type of checklist covers auditing items, processes, but may not specify in details of an OH&SMS. It tends to be used by companies as part of the internal audit process and could take the form of either of the previous checklists.

Advantages	Disadvantages
• uniform practice by all participants • helps train auditors • economic and quick to create	• may not be suitable for all circumstances • inflexible • can lead to 'blinker or stereotyped' audits • does not handle changes to audit type or audit basis very well

Example:

Checklist Question	OK/NC	Comment
1) Are the OH&S objectives and programs established at each functional level? 2) Are they related to the OH&S policy? 3) Are employee aware of the policy, their risks and their relevant objectives and targets? 4) Who are involved in establishing and reviewing the objective and program? 5) Is the risk assessment established, reviewed and up to date?		

NOTES:

BULLET POINT CHECKLIST

Bullet point checklists are very much as the name suggests and are used to ensure that all points are covered during an activity. This type of checklist can be deployed equally as well during meetings and auditing alike.

Advantages	Disadvantages
• quick and easy to prepare • very flexible	• does not provide ready assessment of conformance to EMS Standard when used as audit tool • can only be used as an audit tool by experienced auditors • does not define what to look for • how to record comments to objective

Example:

Process/Area	Requirement
Top Management / OH&SMR	5.2 OH&S policy 6.2 Objectives and Program(s) 5.3 Resource, Roles, Responsibility, Accountability and Authority 9.3 Management Review
Production	6.2 Objectives and Program(s) 7.2 Competence, Training and Awareness 7.4 Communication, Participation and Consultation 8.1 Operation Control 8.2 Emergency Preparedness and Response

LOOK AT – LOOK FOR

No matter what type of checklist is used, auditors produce audit questions with the purpose to assess, or **"look for"** conformity of the implemented OH&SMS with the audit criteria. Answers to these questions should be supported by objective evidences where auditors should **"look at"**.

Example: Legal and other requirements

Look at	Look for
1) Procedure for legal and other requirements	• Identify method and how to access the legal and other OH&S requirements are applicable to it.
2) List of legal and other requirements	• Up-to-date
3) Employees (Interview)	• Their awareness to applicable requirements

SUMMARY

Checklists are a useful tool which, once generated, can be utilized further and also provides a good record to be reviewed for any future audits.

The key to use the list during the audit is to alter the shape of the question asked to get verifiable evidence.

NOTES:

EXERCISE: D2-E05 Checklists Preparation

Time: 45 minutes, Presentation and feedback: 30 minutes

Introduction

Your team is preparing to conduct OH&SMS audit for a company. The lead auditor asks you to come up with an audit checklist on the **"Look At – Look For"** template.

Task

- Use the provided OH&SMS documentation of the case study company as reference
- Highlight ISO 45001 and key mandatory requirements
- The checklist should covers relevant activities of the OH&SMS
- Note any area of non-conformance you may found during the checklist preparation

ISO 45001 Reference	Look At	Look For	Document Reference

Session 7

PERFORM AN AUDIT

It should also be stressed that ***the objective of an audit is not to identify non-conformity, but to objectively gather evidence to determine conformity*.**

The audit activity is always one of compromise. A balance has to be made between taking the appropriate sample and the constraints of time. It is important to know when to stop. This is usually when you have enough objective evidence to back up your judgment on that area and move on or otherwise you will not have enough time to complete the rest of the audit program.

The best results are achieved by means of a thorough and systematic approach to the audit and by adopting an auditing style, which leads to open and friendly discussion of the subject matter. A poor performed audit may not only fail to achieve its desired result but could, under extreme circumstances, adversely affect relationships within an organization.

CONTROL OF THE AUDIT

The team leader is responsible for maintaining control of the audit. He/She ensure that the team is working in line with the developed schedule, auditing the areas to the required depth and breadth and is communicating with him/her if any serious problems arise.

Sometimes however, it is impossible to reach a conclusion in the time available in order to cover other issues. If the audit has planned well and the auditor makes the best use of the available time, there should be no problem in arriving at your conclusion in the time available.

The audit team should meet regularly to compare and share findings and to ensure that all the planned activities are complete.

Communication with the auditee must be clear and concise, relevant and frequent. The progress of the audit and any concerns to the auditee and the audited organization should be communicated, as appropriate.

Once sufficient evidence exists of a problem this must be communicated, so there are no surprises at the closing meeting.

COLLECTING AUDIT EVIDENCE

An audit is all about gathering and evaluation information under the defined objectives and scope of the audit. Auditors obtain useful information through their interviews, examination of documents and observation of activities and conditions.

Auditors should ensure the audit is comprehensive, and remember that the OH&SMS is designed to ensure

- *the commitments in the OH&S policy are implemented*
- *the potential risks are managed*
- *there is progress towards achieving OH&S objectives.*

Whilst walking around the site or plant the auditor should look all around, to identify evidence of potential risk, or practices contrary to written procedures and opportunities for improvements.

Auditors may be given irrelevant as well as relevant information. It is important to be able to differentiate between the two and bring the auditee back to the point if they are digressing.

If the investigation uncovers a lack of management control (i.e. non-conformity), then the auditor needs to be tactful in the way in which this is communicated, otherwise the interview would grind to a halt because the interviewee would have lost confidence in the interviewer and the rapport would be broken.

If conflict does arise, check your evidence - stay calm and polite. The best way to avoid conflict with auditees is to be sure of your evidence and to make sure the auditee fully understands any points you have raised.

It should be noted that a lot of information can be gleaned through an interview but the verbal evidence requires corroboration.

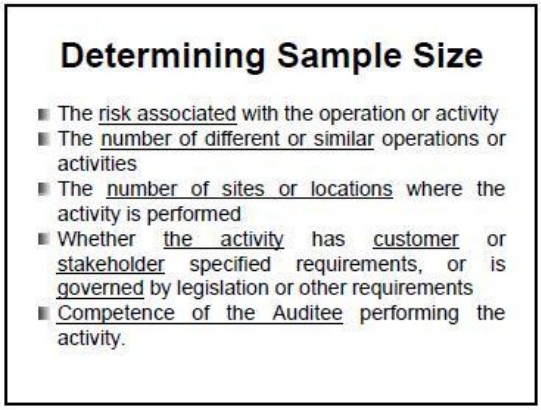
It should also be emphasized that the auditor needs to interview the right person to gain an objective insight. For example, staffs would be interviewed on how they aware of their own roles and responsibilities and whether they are complying with the documented system.

Auditors need to record enough information to enable them to make an informed judgement based on the facts.

Only information that is verifiable may be audit evidence and must be recorded

AUDIT SAMPLING TECHNIQUES

Audit on the organization's and activities are performed using appropriate sampling techniques. The subsequent audit decisions are therefore based on audit findings on the sample operations and activities that have been audited. As such, the Auditor must recognize the importance of samples and the confidence level of its representation of the actual conditions. The decision on sample size is heavily dependent on the Auditor's skills, experience, statistical knowledge and time available for the audit.



If the consequence of a wrong judgement is serious then more samples shall be taken.

Benefits of Audit Sampling	Risk of Audit Sampling
a) It may be impossible to audit all activities of an organization and sampling offers the only feasible alternative	a) Sampling may not be appropriate for certain activities such as checking the records of cyanide used in an electro-plating organization
b) Sampling results when carried out with due professional care and adequate statistical knowledge offer a high level of confidence (accuracy) in the determination of the effectiveness of the audited system.	b) Lack of knowledge of occupational health and safety, technology, technical and environmental aspects of facility operation and sampling techniques will result in ineffective sampling plan
c) It is proven in many studies that sampling offers reliable results while saving time and money.	c) Sampling requires the process to be stable and this any this may be difficult to achieve in certain activities where abnormal fluctuations can occur
d) Minimize disruption to the business and operation of the auditee	

EXERCISE: D2-E06 Mock Audit

Time
Preparation: 20 minutes, Viewing photo (site tour): 10 minutes, Auditing role play: 90 minutes, and Feedback: 30 minutes

Introduction
The aim of this exercise is to practice and gain some measure of confidence in performing audits in real time. Delegates will be called upon to play various roles.

Preparation
- The tutor will assign which groups will be working as an audit team and assign the processes to be audited to the groups.
- Use the assigned procedures and other documents as references. Tutors may improvise in addition to the assigned process.
- As Audit team; a set of procedure is given, make preparation for the audit of the process, then conduct the audit and record the findings.
- As Auditee Management; a set of procedure and relevant records is given, familiarize with the assigned process, then, receive the audit.
- Tutor will provide a set of photo of OH&S related operations on the wall, for auditee to make familiarize with the case study operations

Role Play Execution
- Site Tour: Each team will have 10 minutes to walk around for site assessment of the operations, as a part of your auditing.
- Auditing Role Play : Each team will have 20-25 minutes (depend on the number of team) to conduct an auditing role-play for the stage 1 audit of an OH&SMS
- Play realistically; do not over indulge in tricks, aggressive tactics etc. Some distractions may be used to test the ability of auditor to control the audit activity.
- The role-play will be evaluated by the rest of the class, then feedback to the play team

Clause Ref:	Finding	Conclusion

MOCK AUDIT EVALUATION FORM

- Each team is to observe the Mock Audit Role-Play, using the Mock Audit Evaluation Form to observe other teams and their own team and report back to the class.

No.	Checking item	Group	Group	Group	Your Group
1	Coverage of audit				
1.1	relevant OH&SMS				
1.2	OH&S aspect				
2	Performing as professional auditor				
2.1	Lead auditor role				
2.2	Team member role				
3	Gathering objective evidence and investigation				
3.1	Sampling				
3.2	Questioning techniques and interview				

Remark: [1] = Need Improvement, [2] = Fair, [3] = Good, [4] = Excellent

Recommendation:

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Observed by: _____

NOTES:

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DAY TWO SUMMARY

During today's activities we discussed

- Introduction to safety audits
- Audit management
- Audit responsibility
- Selecting the audit team
- Initiating an audit and getting information
- Schedule development
- Working document and checklists
- Perform and control of the audit
- Collecting audit evidence
- Audit sampling techniques

Use this summary to review what we've studies today, and to help you prepare for tomorrow.

NOTES:

Session 8

REPORTING AN AUDIT

AUDIT FINDING AND CONCLUSION

Before we go on to the audit conclusion we should remind ourselves that auditing is about looking for conformity, it is unfortunate that most of the report left with the auditee defines the negative aspects.

Audit evidence should be evaluated against the audit criteria to generate the audit findings.

Conformity with audit criteria should be summarized to indicate locations, functions or processes that were audited.

Non-conformities and their supporting audit evidence should be recorded and may be graded.

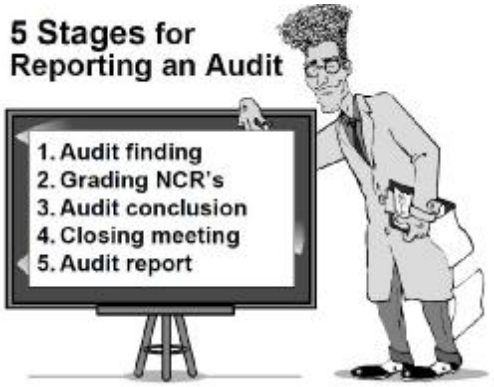
Non-conformities are often perceived as a mishap and are viewed as something negative. Very often auditees are afraid that non-conformities will be uncovered during an audit.

It is important that auditors are able to explain the positive aspect of uncovering non-conformities. Indeed uncovering a non-conformance offers an opportunity to improve the system by way of corrective action.

The term 'non-conformity' may be found in other similar words e.g. non-conformity, deficiency but it should be consistent usage.

OBSERVATION

Observations are another audit finding classification and is a situation which relates to the existing conditions which, in an Assessor's judgment, warrants clarification or investigation so as to improve the overall status and effectiveness of the Occupational Health & Safety Management System being audited.



Audit finding and conclusion

- Be positive
- Opportunity for improvement
- Evidence based approach
- Must be
  - Accurate - Complete
  - Helpful - Brief
  - Acknowledge by auditee

Reason for Non-conformity

- Process/activity not in conformance with specified requirement/document
- Written procedure/systems not implementation consistently
- Process is ineffective

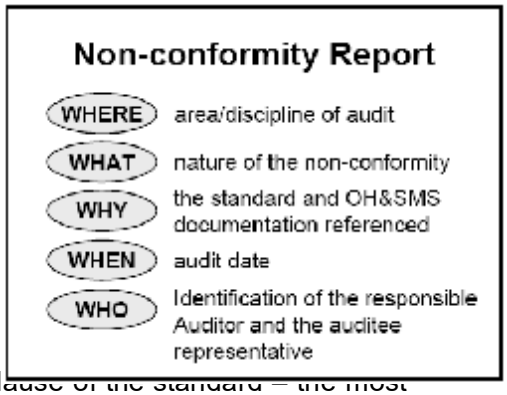
Observations

In some circumstances it may add value to also include 'Observations' which:

"relate to existing conditions and which, in an assessor's judgement, warrant clarification or investigation so as to improve the overall status and effectiveness of the health & safety"

Write up a non-conformity

When recording a non-conformity statement it is imperative that it is based on objective evidence, not subjective feelings.



The statement should also include

- the nature of the non-conformity what is the problem in the system?
- the objective evidence to substantiate the non-conformity.
- reference to the ISO 45001 clause or the auditee documented Occupational Health and Safety Management System or both

Non-conformities should only be attributed to one clause of the standard – the most applicable.

The nonconformity statement should be in sufficient detail and appropriate language to enable the auditee to understand it and take appropriate corrective and preventive action.

When you have completed the non-conformity statement you should give it the “so what” test. If, after reading through the statement, you can say “so what” it probably means that the statement is poorly worded or that the non-conformity is insignificant.

Upon completion of the identification of the nonconformity, the signature of both parties -- the auditor and auditee representative – is required. This is accomplished either during the examination or at the closing meeting. It assures that the auditee is aware of the nonconformity and agrees that corrective action should be implemented.

During an initial or full-scale audit, auditors should have blank nonconformity report (NCR) forms with them as part of their working documents package.

NCR's, usually one page in length per non-conformity, have in common certain standard items, including the documentation of the identified non-conformity, which is completed by the auditor.

Each non-conformity should have a separate report.

Example of non-conformity

- There was no maintenance for water sprinkle system.
- There was no evidence of corrective action when non-conformity found in the monitoring of chemical handling.
- There was no evidence of control of the policy documents that posed on boards in several areas.
- There was a problem to continue the risk management plan for changing of toxic chemical but there was no evidence of decision on the further actions.

SUMMARY

Non-conformity statements must:

- cover the facts, clearly and specifically
- be acknowledged by auditee at the time they are found and be accurate, complete, helpful and brief.

The non-conformity report shall:

- Use sequential numbering system
- Accuracy essential
- No interviewee NAMES on NCR's
- Hand to auditee and obtain acknowledgment of receipt

NOTES:

EXERCISE: D3-E01 Recording nonconformities

Time: 40 minutes and Feedback: 20 minutes.

Task

For each of the following scenarios consider whether you believe that, based on the information provided, there is, a non-conformity? If so, which clause of ISO 45001 is most relevant?, and write out the non-conformity statement. If you are unsure, what actions might you take to investigate further?

Scenario 1

GYM is a manufacturer of various cosmetics. In the raw material storage area there was no hazard symbol at chemical containers e.g. methyl alcohol, xylene, styrene but there was MSDS available keep in the warehouse office. The auditor saw a drum of wet sand put on the floor in front of warehouse while site audit so he ask the warehouse supervisor that use for? His answer is stand by for chemical spillage control.

Scenario 2

ETC is petrochemical company, It has a detailed emergency plan and carries out frequent practice evacuations and has detailed training records for all operatives relating to explosive handling and fire training but the legislation register was not covered related legal. The responsible employee was unknown of this until it was pointed out by the auditor.

Scenario 3

CANNY is a manufacturer of canned food products. The company has a small on-site laboratory where testing the quality of raw materials. The auditor found some activities were not identified the hazards in the testing process e.g. chemical using and storage, chemical hood. The chemist said that it’s not necessary to do because of this process will be done by specialist.

Scenario 4

In the material stores of a manufacturer of plastic components the auditor asked to see the storage area for flammable chemicals. The store supervisor showed the storeroom where the containers were neatly stored. All containers bore proper identification and were segregated as required by the storage procedure, section 7 - Flammable Products. The organisation has identified storage of these products as an OH&S hazards and risks in case of spill or fire. Emergency preparedness and response procedures are established but it was not link from risk assessment. Frequency to test was not identified. Control plan and preventing the emergency situation during and after the plan tested/occurred and the review and revise of such the plan after the plan conducted were not included.

Scenario 5

RCA, is a chemical company, They have set an management review meeting for the current year. When auditor asks to see the minutes of the meeting, the OH&S management representative gives it and explains to auditor that they have been arranged meeting 2 weeks ago. The auditor is found that input information of management review was not cover legal compliance evaluation and OH&S objectives and programs and there were shown comment record only.

Scenario 6

Y2K is a manufacturer of storage and cooling equipments. Whilst conducting an audit in the production site the auditor see a forklift driver is checking his forklift. When auditor go to observes and asks him that how to checking. He's explains that the checking process will following the checklist. The auditor asks to see the checklist and find the record of siren abnormal use since last week but have no any action until now.

Scenario 7

XYZ is manufacturer of agricultural, and household chemical product. The company has set training needs are identify as work instruction and trained to the concerned staff and employee. There are 2 types of staff and employee including monthly hired and daily hired. For monthly hired, the training history records were available while daily hired; the training records were not kept. The main course was pointed to the introduction to OH&SMS, chemical management, emergency preparedness and response, etc. The training records and evaluations for monthly hired were verified for attendant of the training as training needs. The yearly training plan was planned from the surveyed results from previous year and trained to all required staff with training records verified.

Scenario 8

During the site tour, the auditor observes a number of drums lying and leakage within the site boundary. The drums are not labeled but appear to contain an solvent. There is apparent contamination of the surrounding area by this substance. The area is not identified within the chemical spill and leakage control plan nor has the possible contamination of land by chemical been considered in evaluation of the risk assessment.

GRADING NC

Many organizations involved in external audits use grading of non-conformities in order to project a clearer picture of the strength and weakness of the OH&S management system.

The grading of non-conformities is based solely on the impact of the non-conformities on the functioning of the OH&S management system.

The focus should be on effectiveness of the implementation of the OH&S management system.

a) Whether any individual statements demonstrate that the OH&S management system has broken down.

b) Whether cumulatively the total sum or a number of the NCR's demonstrate that the OH&S management system has broken down

Only when this process is complete will the Lead Auditor be able to make a recommendation with regard to the outcome of the audit.

Nonconformities are usually classified as:

- **Major - Nonconformities**

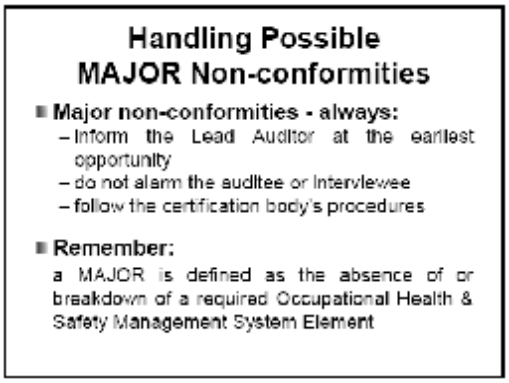
  - Failure to address any clause of the standard or other criteria against which the audit is carried out

  - Failure to carry out one of the requirements of the standard (or other external audit criteria), or systematic failure to follow the requirements of the organization own occupational health & safety system.

  Examples:

  - There is no evidence to show that the company checks whether it is acting within the requirements of the legislation.
  - The risk assessment fails to take account of emergency situations.

Registration cannot be considered until corrective action has been taken against all major nonconformities.

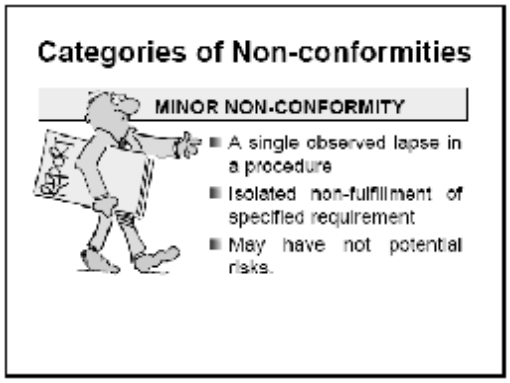


- **Minor-Nonconformities**

  - minor discrepancies or single lapse in the following of the Occupational Health & Safety Management System requirements or documentation

  Examples:

  - Isolated discrepancy of operational control.
  - Discrepancy in completion of a record.
  - Insufficient documentation of training experience gained



Minor non-conformities do not directly affect the implemented occupational health & safety management system or may be deemed easily rectified. It would not prevent registration, and would be followed up for effective corrective action at the next surveillance visit.

There are two other aspects of nonconformities to which the auditor should be alert.

- The Vital Few-Nonconformities that can greatly affect health & safety or financial performance, though few in number. May also be chronic problems detected in earlier audits or specifically mentioned by auditees as ongoing problems.

- The Trivial Many-Minor nonconformities in great numbers. These can reflect systemic errors and affect health & safety performance due to high volume. When applied against a single requirement, can constitute a major nonconformity.

AUDIT CONCLUSION

(Ref. ISO 19011): Guidelines for quality and/or environmental management systems auditing)

Audit conclusions can address issues such as

a) the extent of conformity of the management system with the audit criteria,
b) the effective implementation, maintenance and improvement of the management system, and
c) the capability of the management review process to ensure the continuing suitability, adequacy, effectiveness and improvement of the management system.

If specified by the audit objectives, audit conclusions can lead to recommendations regarding improvements,
business relationships, certification/registration or future auditing activities.

EXERCISE: D3-E02 Grading NCs

Time: 40 minutes and Feedback: 20 minutes.

Task

You are part of an audit team that has just concluded an audit. During the audit you found several “non-conformities” which need to be discussed with your team prior to the closing meeting whether major or minor, and to which clause.

- Major or Minor NC, and
- to which clause of OHSMS ISO45001:2018 is the most appropriate.

1. Nature of the company’s OH&S risks, prevention of injury, continual improvement were not added in OH&S policy.

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2. System to access new legal requirements and other requirements was not effective and several legal documents are obsolete but they are still in the register of legal and other requirements. Some applicable legal and other requirements were not up dated.

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3. Item to monitoring and measurement including frequency, responsible person shall be identified in the procedure.

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4. Subcontractor Control procedure BP-PUR-001, Rev.0 control subcontractor by selection / communication / training / evaluation but the system was not clearly established. Monitoring of contractor shall be added in the system.

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5. the procedure did not indicate that relevant interested parties should be notified after corrective action taken. No specified person was identified to decide when high risk was request from external interested partied including their record.

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6. External origin document was not controlled e.g. MSDS, legal, other requirements issue date of document are not identified in several procedures.

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7. Evaluation of compliance was stated in OH&S Manual and link to monitoring and measurement procedure but after investigating the detail, it was found that no evaluation of compliance was established.

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8. Hazard identification and risk assessment of some activities are not identified:
   - Use of LPG at melting (during start up – once year)
   - Abnormal operation of oil mist collector at forming
   - Gas station

---

9. First internal audit in June 2018 found that
   - Not all areas were audit e.g. at Maintenance, etc
   - Several requirement was not cover e.g. 9.0, etc
   - At laboratory was audit but its was not include ventilation system, etc.

---

10. In put (the performance of the organization follow up from previous management review, changing circumstance, recommendation for improvement) and output (decision and target date) of management review shall be covered both in procedure and in the meeting.

NOTES:

Session 9

FOLLOW – UP AN AUDIT

CORRECTIVE ACTION AND FOLLOW – UP

The “Corrective Action” process, if undertaken correctly, may be the area where an auditee organisation can gain most benefit from an audit. Every non-conformity report has the potential to initiate a program of improvement if the statement of non-conformity is thoroughly analysed.

A major non-conformity is a bar to certification. It is obviously in their interests therefore to react as quickly as possible to solve the problem. Each Certification Body will establish maximum allowable time periods for the company to carry out this major follow up within. Notification of what the company are intending to put in place must be received by the Certification Body within these limits.

A minor non-conformity, whilst no bar to certification, is still a problem requiring action from the company as to the allowance of the Certification Body otherwise the minor can be automatically elevated to a major, as this taken to represent a lack of commitment to improvement.

When dealing with 3rd party certification bodies there is definite process flow for the corrective action program.

Stage 1 -	Starts with **the initiation of the non-conformity** statement by the auditor and finishes with the auditee organization fully understanding the nature of the non-conformance.
Stage 2 -	is possible the most critical stage in the process. This is when the auditee should thoroughly **investigate the root cause** of the problem, **initiate corrective action** to resolve the problem and preventive action to ensure that the problem will not occur again in the future.
Stage 3 -	**submit** the corrective action program to the audit organization.
Stage 4 -	the audit organization will undertake an **analysis of the corrective action** program against the original non-conformity statements.
Stage 5 -	The auditee should **monitor the corrective action** program to ensure that targets for completion are being maintained. When the various corrective actions have been fully implemented they should be reviewed and audited to make sure that the changes have been effective in solving the initial problem.
Stage 6 -	The auditor should **verify the corrective action**, If the corrective action is satisfactory, this may be all that is needed to close out the report. There may, however, be a need to verify the implementation of some actions prior to the report close. Close out can be by visiting and review of action implementation for effectiveness, or by submission and review of revised OH&SMS elements.

Example of Corrective Action Record

NONCONFORMITY REPORT

CAR No.: IA-01-08	**Issue Date**: 6-Jul-2008	**Solution Due Date**: 31-Jul-2008
Requested By:	Safety Officer	
Issued To:	Warehouse Supervisor	

Detail of Nonconformance:

It was found some non-conformities at chemical storage as required by legal and the chemical control procedure

- *No hazard symbol at chemical container e.g. Methyl Alcohol, Stylene, Toluene*
- *No MSDS available at chemical storage*
- *Chemical spillage control: sand was wet, it's not ready to use.*

Most Likely Causes:

1) *The operator does not aware of the important of hazardous chemical storage.*
2) *There is no assigned person to inspect safety equipment/materials in this area.*

Corrective Action (completed by recipient – include dates as applicable):

1) *Establishing hazardous communication procedure (SOP-HZC-01) with effective on 15-Jul-08 and training to all members that work related to hazardous chemicals.*
2) *Assigned person and created checklist to inspect safety equipment/materials for chemical storage every month.*

All corrective actions will finish at 30-Jul-2008

Completed by: *S. Annie*	**Accepted by**: *P. Robere*

Results (confirming effectiveness):

All corrective actions are implemented and the nonconformity is not occurred again. During follow up audit, auditor found that the understanding of the operators about hazardous chemical storage is clear. (check all members at work site)

Closed by: *P. Robere*	**Closing date**: 2-Aug-2008

The other key points to remember during this process are:-

to look across the organization when evaluating the non-conformity statement to identify other possible areas where the same problem may occur but was not necessarily identified during the audit.

and ...

to undertake an analysis of all the non-conformity statements and corrective action programs over a period of time to see if any trends appear which, in turn, may provide opportunity to prevent problems before they arise.

Any problem solving methodology may be used. The same goal expected is to discover the root cause, and to come-up with identity and effective prevention of re-occurrence.

Additional Key Point

The Auditee role:

- Look across the organization to identify the other possible area where the same problem may occur but was not necessarily identified during the audit.
- May provide opportunity to prevent problems before they arise.
- Using a structured problem solving technique to correct the problem.

Summary: Auditor Role

- Communicating / explaining the audit report to the auditee
- Eliciting a response from the auditee as to corrective action
- Evaluating the auditee's response
- Agreeing the corrective action proposed
- Verifying that corrective action has been taken
- Closing out the follow-up

Summary: Auditee Role

- Examines the evidence
- Identifies immediate action needs and act
- Check corrective action effectiveness
- Establish root cause
- Identify action to prevent recurrence
- Implement action to prevent recurrence

EXERCISE: D3-E03 Corrective Action

Time: 20 minutes and Feedback: 10 minutes.

Task

Use the result from Exercise D2-E06 Mock Audit, NCR is raised to the auditee.

- Refer to the received NCR, consider the following question.
- What action is appropriate to fix the problem in the short term?
- What is the likely *root* cause?
- What action(s) may prevent the problem from recurring?

In case that no NCR has been raised, the tutor may assign to help the other team.

- The proposed corrective action is then submit to the audit team for verification.
  a) Is the root cause reasonable?
  b) Is the short term action appropriate?
  c) Is the action to prevent recurring appropriate?

Example of Corrective Action Form

Auditee Representative:	**Auditor:**
Date:	**Report No.**
Standard ref.	**Doc. Ref.**
Details of Non-conformance:	
Non-conformance accepted by:	
Root Cause Analysis:	
Immediate Action:	
Prevent recurrence:	
Planned completion:	
Corrective action verified by : **Name:** **Date:**	
Initiator to sign off as OK:	**Date:**

INFORMATION FOR GRANTING INITIAL CERTIFICATION

(Ref. ISO/IEC 17021:2006 Conformity assessment — Requirements for bodies providing audit and certification of management systems)

The information provided by the audit team for the certification decision include, as a minimum,

a) the audit reports,
b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the organisation,
c) confirmation of the information used in the application review, and
d) a recommendation whether or not to grant certification, together with any conditions or observations.

The certification decision make on the basis of an evaluation of the audit findings and conclusions and any other relevant information.

NOTES:

Session 10

AUDIT INFRASTRUCTURE

ACCREDITATION AND CERTIFICATION

Accreditation organizations are those bodies which provide the high level of credibility to the whole third party assessment structure.

Accreditation organizations are usually set up at a national level and are evaluated by a system of peer audits from other Accreditation Bodies.

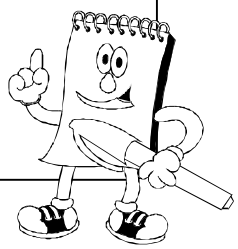
In order to be recognized, a Certification Body (in the USA the term Registration Body is more commonly used), establishes its own Documented Quality Management System and is assessed against this and other criteria (currently this is ISO guide 62 by an Accreditation Body such as UKAS and is given accredited status, if successful.

A certification Body (CB) receives its certificate from Accreditation Boards such as:

United Kingdom Accreditation Service	-	UKAS
Registration Accreditation Board	-	RAB
Raad voor Accreditatie	-	RvA
Standards Council of Canada	-	SCC
National Accreditation Council	-	NAC (Thailand)

The Certification Body has to maintain its accreditation by complying with and developing its quality program. This includes a system of internal audits as well as audits from all of our accreditors.

NOTES:



The CQI-IRCA (International Register of Certificated Auditors) manage the registration scheme for individuals wishing to register for one of the auditing grades.

The CQI-IRCA also manage and accredit training courses, such as this, which are defined as part of the requirement to become a registered activity.

CQI-IRCA determines criteria for training courses to include:
- Course structure and facilities
- Evaluation of students
- Training course administration
- Assessment of Course Provider

CQI-IRCA determines criteria for auditor certification to include:
- Requirements for certification
- Auditing Experience
- Maintaining Certification
- Applications for Certification
- Evaluation of Applications
- The Identification of alternative management system standards

CQI-IRCA Auditor Code of Conduct

Statement of Personal Responsibility

It is the ethical and professional responsibility of all members to demonstrate the required professional competence and behaviours in discharging the responsibilities of their role. Members must uphold the highest ethical standards and integrity in exercising their professional duties or other activities which might impact on the reputation of the profession and of the CQI. In support of these aims all members are expected to understand and comply with this code of conduct. Furthermore, the CQI reseerves the right to suspend or withdraw membership and all associated benefits from members who fail to comply with this code of conduct, in accordance with the Enforcement Processes detailed below.

NOTES:

Professional Competence and Behaviour

1. **In recognizing the values and requirements of this code of conduct members shall:**

    1.1. Maintain professional knowledge and competence in order to successfully undertake their role
    1.2. Act with due skill, care and diligence and with proper regard for professional standards
    1.3. Undertake appropriate continuing professional development and record it in an appropriate manner
    1.4. Ensure that clients, employers and others who may be affected by their activities are not misled or ill-informed with regard to their level of competence and capability to successfully discharge their responsibilities
    1.5. Seek appropriate support whenever they are aware that their level of competency (knowledge, skills, behaviour and experience) might be lacking with respect to the responsibilities they are assigned
    1.6. Accept responsibility and accountability for their own professional actions and decisions
    1.7. Always act in a way which supports and upholds the reputation of the Quality profession
    1.8. Work to ensure that the credibility and reputation of the CQI and all of its stakeholders is protected
    1.9. Be mindful of the distinction between acting in a personal and in a professional capacity
    1.10. When managing a team, ensure that those working for them have the appropriate level of competence, supervision and support.
    1.11. Co-operate fully with the Institute in assuring the effective implementation of this Code of Conduct (including investigation and resolution of any alleged or actual breaches)
    1.12. Seek to establish, maintain and develop business relationships based on confidence, trust and respect
    1.13. Always act honestly in all matters relating to the Institute
    1.14. Demonstrate sensitivity for the customs, working practices, culture and personal beliefs of others
    1.15. Safeguard all confidential, commercially-sensitive and personal data acquired as a result of business relationships and not use it for personal advantage or for the benefit or detriment of third parties
    1.16. Comply with prevailing laws
    1.17. Advise the CQI Executive in writing whenever there is a suspicion that this code of conduct has been breached
    1.18. Be mindful of their responsibilities as professional people towards the wider community
    1.19. Ensure potential or known conflicts of interest are declared at the earliest opportunity to ensure professional judgement is not compromised or perceived to be compromised

CQI-IRCA Registrations

Criteria for Certification as an Occupational Health & Safety Auditor

Auditor grade	Education	Work experience	Auditor training	Audit experience	
				Audits	Days
Internal auditor	Minimum secondary	5 years or 4 years plus degree / near degree 1 year – OH&S related	OH&S foundation and internal auditing course	5	15 hours minimum
Provisional auditor	Minimum secondary	5 years or 4 years plus degree / near degree 2 years – OH&S related	OH&S lead auditor course	None	None
Auditor	Minimum secondary	5 years or 4 years plus degree / near degree 2 years – OH&S related	OH&S lead auditor course	4 (as trainee auditor)	20 (10 on-site)
Auditor grade	**Education**	**Work experience**	**Auditor training**	**Audit experience**	
				Audits	**Days**
Lead auditor	Minimum secondary	5 years or 4 years plus degree / near degree 2 years – OH&S related	OH&S lead auditor course	4 (as trainee auditor) 3 (as trainee lead auditor)	20 (10 on-site) 15 (10 on-site)
Principal auditor (consultant)	Degree / near degree	6 years – OH&S related	OH&S lead auditor course	7 (sole / lead audits)	35 (20 on-site)
Principal auditor (team leader)	Minimum secondary	5 years or 4 years plus degree / near degree 2 years – OH&S related	OH&S lead auditor course	6 years certified to lead auditor grade 3 sole audits using audit management skills in complex / demanding situations	

The Costs	Maintaining Registration
• CQI-IRCA registered courses • Application fee • Initial certification fee • Annual certification fee	• Maintain auditor log • Active in OH&S matters • Demonstrate technical competencies • Keep updated on auditing procedures • Keep updated on OH&S management standard
To Apply: International Registration of Certificated Auditors (CQI-IRCA) 2nd Floor North,Chancery Exchange 10 Furnival Street, London, EC4A 1AB T: +44 (0)20 7245 8551 W: www.quality.org	

ACCREDITATION BODY WITNESS AUDIT

A Accreditation Body, as part of a monitoring role over Certification Bodies, may conduct witness audits to verify auditor competencies. Some of the points Accreditation Body will examine include the following skill-sets:

- Coverage of the Standard / organisation
- Program management - time management
- Knowledge of quality Standards
- Questioning skills
- Selection of samples
- Handling difficult situations
- Recognizing and raising non-conformities
- Relevance of auditor experiences

Session 11

COURSE REVIEW AND EXAMINATION

Examination Briefing

- This exam is a closed book exam. Only a copy of ISO18001 and a dictionary is allowed
- Short answer, essay and case study questions will be asked to measure your understanding of the course instruction and text.
- You have 1 hour and 40 minutes to complete the paper.

Exam Part I

- Contains question that test general knowledge
- Each or more short answers question has one best answer
- Review each question carefully before writing your answer
- Writing your best answer on the space
- Each correct answer is worth maximum point giving for each question a total of 10 points for Part I

Part I Example

- Define four different ways an auditor can obtain objective evidence while performing the chemical management

Exam Part II

- Consist of questions which require detailed written answer that will normally fill the space provide
- Question relate to auditing the OH&SMS
- Part II is worth 30 points

We hope you found this course of practical use
Good luck with the exam!

Part II Example

- During an audit of manufacturing organization top management is schedule for interview. Write a checklist of at least 10 questions you would ask during the interview of top management and state the relevant ISO45001:2018 clause that may apply.

Exam Part III

- Contains comprises audit situations which designed to assess what actions you would take as an auditor and your ability as an auditor
- Part III is worth 30 points

Part III Example

Audit scenario .....

.....

.....

.....

- Identify potential non-conformities implied in the scenario and quote the most relevant clause to ISO45001:2018

Exam Summary

- The whole exam is worth 70 points and you are advised to allocate your time as follows:
  - Part – approx. not more than 15 minutes
  - Part – approx. not more than 40 minutes
  - Part – approx. not more than 40 minutes
- The pass mark is 70% (49 marks) and you must also achieve at least 50% in each of the three sections
- Instructions are repeated on the front sheet of the exam

CQI and IRCA Certified Training

We hope you enjoyed your course

You will be contacted by the CQI and CQI-IRCA for feedback on the course and your Approved Training Partner.

Filling in this short survey will help to ensure the continuing high standards of these courses.

For further information, the CQI and CQI-IRCA offer a range of services to support you throughout your career.

Please visit www.thecqi.org or www.CQI-IRCA.org