Management System Guidance

ISO 14001:2015 & ISO 45001:2018

Contents

1 Introduction

The purpose of this document is to outline a potential integrated management system to meet the requirements of ISO 14001:2015 and ISO 45001:2018. The integrated HSE management system is designed to be implemented to function within current business practices and serves as an effective tool to help your business grow and improve.

The application of the integrated management system is scalable and generic; regardless of the size and type of organization. The elements that form a typical the HSE management system are the same; please refer to the figure below. The primary goal is to achieve a set of consistent processes that provide a route for enhancing customer satisfaction, mitigation uncertainty and providing meaningful data for continuous improvement activities.
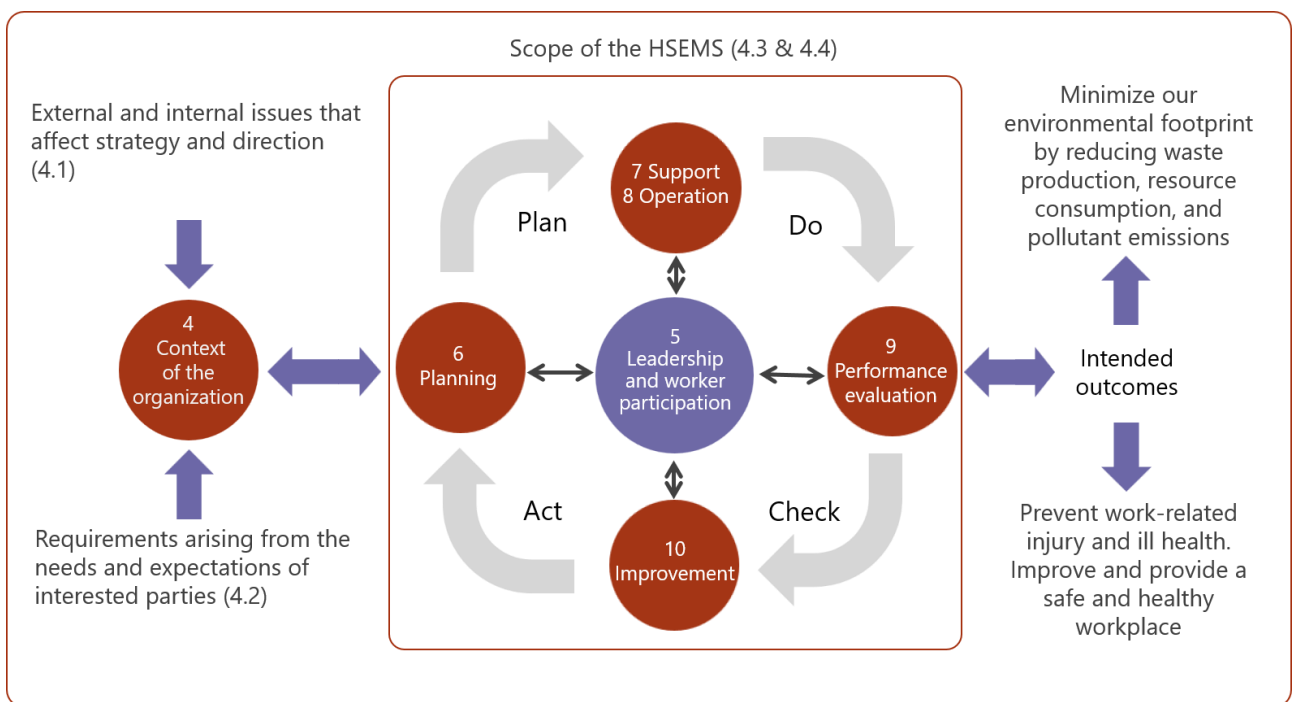
You may decide to keep your current health, safety and environmental management systems and simply amend them where necessary. Some of you may take this as an opportunity for a complete revamp of the management system.

Both courses of action are entirely reasonable, and this guidance document will guide you through what the essential elements that you need to address in order become certified.

The integrated management system includes the processes and procedures required to achieve compliance with health, safety and environmental requirements, as well as, highlight their interaction with other support processes.

Top management must take responsibility for leadership, commitment and take active involvement for developing and maintaining the management system. It is necessary to have well defined processes, both operational and support, to be able to realize the product or service.

economic rather than health, safety and environmental improvement. This realisation builds commitment to do more. By developing engagement, the senior team are more likely to contribute to the other changes such as the context review and stakeholder analysis.

2.3 Implementation Team

Top management should consider creating an Implementation Team to assist in developing the new management system. This decision should be based on the size of the organization or facility that will be implementing the HSE management system.

This team should consist of key individuals from various divisions, departments, and operating work areas from within your organization who are familiar with the facility and the various processes within. Diversity among team members will bring together a pool of expertise and ideas from which to develop and implement the HSE management system.

One of the key moments in the implementation process is defining the individual responsibility of management and employees for the introduction of different elements into current working process.

That is why the most experienced employees from the company should be involved in this process.

Following this methodology, a team of experienced and engaged key personnel should be formed at the beginning of the implementation process.

The implementation team should include personnel that have the authority to devote resources to the project and to remove roadblocks.

The implementation team should meet on an 'as needed' basis according to the project timeline. When the implementation team meets, they must address the items on their task list. Spread out the implementation team meetings along the implantation timeline so you do not have too many meetings at one time.

For example, you may want to have the document control team meet early in the project to establish a system to collect and control the documents that will be generated. Whereas, the internal audit team would meet later in the process because audits will not begin until the system is complete.

For certain activities, consulting organizations may provide expertise and guidance, which can be useful in the implementation of the HSE management system. However, internal staff should be involved throughout the process because they will need to operate the HSE management system on a daily basis.

2.4 Management Review Meetings

There are no specified time periods applicable to conducting management review meetings. However, they are essential during the initial development and implementation stages of the HSE management system and should be conducted on an as-required basis.

In order to determine the relevance of an interested party or its requirements, your organization needs to answer: 'does this interested party, or their requirements, affect the organization's ability to achieve the intended outcomes of its HSE management system?' If the answer is yes, the interested parties' requirements should be captured. There are many ways to capture this information, and your approach might include:

1. Information summarised as part of inputs to risk and opportunity registers (e.g. for ISO 14001:2015 and ISO 45001:2018 this could be an additional process in the identification of environmental aspects and impacts, and health and safety hazards and risks);

2. Recorded in a simple spreadsheet;

3. Logged and maintained in a database;

4. Captured and recorded through key meetings.

The needs and expectation of interested parties can initially be captured using the *Context & Interested Parties Matrix*. Using this template, the respective Departmental Managers should identify and list the needs and expectations of any interested parties in relation with their department that may have potential impact on the achievement of your organization's objectives and policy, the conformity of our products, services and management system.

Figure 1: Capturing Context & Interested Party Requirements

Also, use this table to map out and understand the expectations of relevant interested parties and how you plan to deal with their requirements through the management system. This information should be retained as a strategy or tactical planning document to underpin your organization's policies and to provide a road map to achieve future goals.

Based on the scoring output, consider and implement handling approaches, defined in the tables below, to manage and comply with the needs and expectations of our interested parties.

The *Context & Interested Parties Matrix* should be reviewed by Top management for acceptance and incorporation into the management system via addition to the scope, or incorporation into customer requirements, operational activities, process controls, hazard and aspect registers, risk and opportunity registers, and legal and compliance registers.

The _Context & Interested Parties Matrix_ ranks the interested parties according to their degree of Priority and their Relevance (1 low, 4 high) to current objectives, policies and conformity of products and services. The spreadsheet multiplies these scores to generate an overall Power score that represents the Risk Priority Number (RPN) that is used to prioritize the adoption of any relevant need or expectation.

1. **Relevance** – effects upon organizational activities;
2. **Priority** – effects on decisions the organization makes;
3. **Power** – combined effects of influence the interested party has (Risk Priority Number RPN).

Interested Party Scoring Matrix

Power (_Effects of influence_) = Priority x Relevance		**Priority** of Interested Party (_Effects on decisions_)			
		No importance	Minor importance	Some importance	Major importance
Relevance of Interested Party (_Effects on activities_)	Not relevant	1	2	3	4
	Minor relevance	2	4	6	8
	Influential	3	6	9	12
	Significantly relevant	4	8	12	16

Action Matrix

Score	**Power** of Interested Party (_Effects on decisions_)		
	Description	Strategy	Objectives
1 to 3	Low relevance with low importance	Monitor interest	Detect opportunities from growing interest
4 to 6	Low relevance with high importance	Keep satisfied	Build interest, monitor for changes
7 to 11	High relevance with low importance	Keep informed	Maintain interest, monitor for changes
12 to 16	High relevance with high importance	Manage closely	Maintain support, monitor for changes

Communicating with stakeholders, particularly in relation to legal and compliance obligations is vital. Communication with stakeholders should be based on performance data generated by your organization's HSE management system, which will require robust monitoring and measurement to ensure that the data is reliable.

You should ensure that the monitoring and measurement processes are included in the internal audit programme so your organization can assure itself that the checking processes and validated and that the data it is communicating is accurate.

4.3   Management System Scope

You will need to verify that your organization's scope exists as documented information (which may be in the form of a Manual) in accordance with Clause 7.5.1a. Verify that the organization's scope has been established in consideration of organization's boundaries and applicability of the HSE management system.

There is now essentially a process by which a scope must be determined; simply declaring a scope and excluding product-related aspects without evaluating the new considerations is not acceptable. Evaluate the process by which the scope was determined and review any process or procedure if present. The lack of documented processes will require more reliance on objective evidence from interviews.

Evidence may include management reviewing HSE management system KPI's as part of regular business reviews, awareness of contractors and employees of their goals and expectations, etc. When auditing process performance and effectiveness; ensure that you prioritize the following:

1. Reviewing your organization's processes, their sequence and interactions, the identification of functions and assignment of responsibilities, and performance against requirements and defined measures, with focus on processes that directly impact the customer;

2. Reviewing the process for validation and approval of processes and process changes;

3. Reviewing the availability of resources and information required to operate and support associated activities, including appropriate training and competency of personnel;

4. Reviewing the process-based management techniques, including the examination of process measures (e.g., quality, tact time, cycle time, output effectiveness, control limits, process capability determination);

5. Reviewing plans in place to ensure performance objectives/targets are monitored, measured, and analyzed in order to realize the planned activities and achieve the planned results (e.g., verify performance information, percentage of nonconforming parts/products, percentage OTD);

6. Promoting continual improvement by reviewing actions taken when objectives/targets are not met;

7. Pursuing audit trails addressing customer concerns or requests for corrective actions, performance against objectives, and relevant process controls.

4.4.1 Identifying Processes

Use the _Process Matrix_ worksheet to align the clauses and requirements of ISO 14001:2015 and ISO 45001:2018 to the processes within your organization. The _Process Matrix_ provides a very convenient overview of all the processes that make up your management system. Defining the sequence and interaction of processes is also a requirement.

This process matrix itself can satisfy this requirement.

1. Enter the process/functional area names in Row 2, we've included examples to get you started. We've set the spreadsheet up with three primary process groups to denote their sequence.

2. Enter an 'X' in the cell if the process has responsibility for ensuring conformity to clause(s) listed below. Where one or more process shows an 'X' in the same row as the requirement, this indicates an interaction between processes.

3. Using the 'filter' drop-down menu, select 'X' to show the applicable clauses to each process.

4. After you're done populating this worksheet, copy columns 'F' to 'AC', and paste them in to the 'Process Matrix' worksheet in the _Internal Audit Programme_ workbook.

A good way to do this is to think about how workflows through your organization. Consider how the inputs and outputs to the key processes flow from one process to the next, what sub-processes might exist within it and how the support processes link in. For now, ignore the standard, in fact put it in a draw and forget it exists. Instead focus on your key processes and how the departments interface with each other.

Certification auditors will expect to see a process model that explains the key processes of the business and how each relates and links to the others. The depth of process explanation may be as detailed as your company chooses but should be based on its customer and applicable regulations or statutory requirements, the nature of its activities and its overall corporate strategy.

Figure 2: Process Matrix Example

1. **Management** processes form the backbone of the management system and the business itself;

2. **Operation** processes are steps that you go through to give the customer what they want, e.g. from order acceptance to design through to delivery;

3. **Support** processes do not contribute directly to what the customer wants but do help the key processes to achieve it. Support processes include often human resources, finance, document control, training and facilities maintenance, etc.

4.4.2 Sequence & Interaction

The auditor must see evidence that the organization has determined their processes and that the interactions are also defined, all within the integrated manual. Subsequently, this includes the actual and technical inputs and outputs of the processes to show their inter-relationship.

Use the *Process Application* worksheet to assign requirements to relevant functions, processes, departments and teams to show how your organization establishes, implements, maintains and continually improves its management system, its processes and their interactions, in accordance with the requirements of ISO 14001:2015, Clause 4.4 and ISO 45001:2018 Clause 4.4.

The completed *Process Matrix & Application* workbook forms the basis for programming internal audits as well as becoming a roadmap to the entire management system that allows internal and external personnel to clearly understand how our organization's processes fit together by:

1. Identifying the processes needed for the HSE management system, including their sequence and interaction;

2. Ensuring effective operation and control of the processes, e.g., defined process requirements, defined roles, required competencies, associated training or guidance material;

3. Ensuring inputs and outputs from each of the identified processes, together with assignment of responsibilities and authorities e.g., process owner, Champions and process users;

4. Ensuring effective operation and control of the identified processes, e.g., process monitoring indicators, process performance indicators, target setting, data collection, performance trends and internal/external audit results.