

# Management System Guidance

ISO 9001:2015 & ISO 45001:2018

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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 HSQ 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 HSQ management system. However, internal staff should be involved throughout the process because they will need to operate the HSQ 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 HSQ management system and should be conducted on an as-required basis.

There is a lot of merit in conducting management review meetings following internal and external audits, to review the findings and plan for follow-up/corrective actions. Some organizations may also find it beneficial to conduct a management review meeting prior to an external surveillance or certification audit, in order to identify gaps that can be filled prior to the external audit(s) being conducted.

It is important that a member of Top management chairs the management review meetings. The meetings provide useful insight into the basic processes and enable management to respond accordingly. It is imperative

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 HSQ 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 9001 and ISO 45001 this could be an additional process in the identification of 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**

Interested Parties are those stakeholders who receive your products or services, who may be impacted by them, or those parties who may otherwise have a significant interest in your organization. Use this template to document any external and internal issues relevant to your organization's operational purpose and strategic direction that may affect its ability to achieve the intended result of the QEHS management system.

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 QEHS management system. The interested party groups, although not exhaustive, are representative of many industries.

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.

Ref.	4.1		Interested Party	4.2a			Interested Party Requirements	4.2c	4.3		4.3
	External Issues	Internal Issues		Priority (1 to 4)	Relevance (1 to 4)	Power (P x R)			Criteria & Methods	QMS Scope Applicability	
1	Customer perception	Impact on future business Achieving revenue targets	Current customer	4	4	16	Requirements documented by the contract Kept satisfied Kept informed	Monthly Business Ops Meeting Manage closely Increase repeat orders	Customer process	None	Order/C Custom satisfac
3	Too few qualified suppliers	Impact on priority and quality of build Supply goods and services on time	Suppliers	3	4	12	Defined procurement frequency and quantity On-time payment	Supplier performance evaluation report and auditing Review cost of build based on required/requested material specs	Yes	None	Procure
2	Outside competition for recruitment	Job performance	Employees	3	3	9	Good benefits package/fair Pay Safe and healthy environment Keep informed Working time arrangements	Monthly Business Ops Meeting Auditing Appraisals	Yes	None	Human

**Power (Effects of influence) = Priority x Relevance**

Relevance of Interested Party (Effects on activities)	Priority of Interested Party (Effects on importance)		
	No importance	Minor importance	Some importance
Not relevant	1	2	3
Minor relevance	2	4	6
Influential	3	6	9
Significantly relevant	4	8	12

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 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 HSQ 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 HSQ 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.

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	Process Responsibility Matrix		Management						Operation				Support			Other												
	ISO 9001:2015	ISO 14001:2015	ISO 45001:2018	Management System & Processes	Business Planning	Sales & Marketing	QHSE Management	Business Review & Improvement	Operational Planning	Order/Quote Fulfillment	Design & Development	Procurement & Supply	Production/Manufacturing	Inspection & Calibration (QC)	Storage, Packing & Shipping	Facilities & Maintenance	Corrective Action	Internal Audit	Customer Service	Human Resources & Training	Document Control & Knowledge	Other 1	Other 2	Other 3	Other 4	Other 5	Other 6	
2	<p>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 also be a requirement. This process matrix itself can also be a requirement.</p> <p>After you're done populating this worksheet, copy it into the 'Process Matrix' worksheet in the QEH Internal Audit Programme.xlsx workbook.</p> <p>1. Enter the process/functional area names in Row 2, we've included examples to get you started.</p> <p>2. Enter an 'X' in the cell if the process has responsibility for ensuring conformity to clause(s) listed below.</p> <p>3. Using the 'filter' drop-down menu, select 'X' to show the applicable clauses for each process.</p>																											
3	Context of the Organization																											
4	4.1	Organizational Context	Q	E	HS	X	X																					
5	4.2	Relevant Interested Parties	Q	E	HS	X	X																					
6	4.3	Management System Scope	Q	E	HS	X	X																					
7	4.4	Management System Processes	Q	E	HS	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

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 9001:2015 Clause 4.4.1 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 HSQ 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.
5. Demonstrating arrangements for process governance e.g., process owner reviews, process councils, flight deck/dashboards, risks and opportunities relating to the process, resource needs, user training/competency and continual improvement initiatives.

**Figure 3: Process Application Example**

Process Name	4.4.1a Inputs	4.4.1a Activities	4.4.1a Outputs	4.4.1b Interaction	4.4.1c Criteria & Methods	4.4.1d Resources	4.4.1e Responsibility	4.4.1f Risks	4.4.1f Opportunities	4.4.1g Evaluation
Management System & Processes	Standards Management system data	Conformance to requirements	Customer satisfaction Compliance data/evidence	See IMS manual and interactions Map (Appendix 1) and Process Matrix	Process performance Process control	Defined in business plan	Top Management IMS Manager	Refer to the Risk & Opportunity Register	Refer to the Risk & Opportunity Register	Internal audit Business review Scorecards/dashbo.
Business Planning	Interested party requirements Environmental risks OHS hazards Market research Customer feedback Organizational vision Past experience	Strategic planning Risk management	Business plan Key measures Communication Policies Objectives	See IMS manual and interactions Map (Appendix 1) and Process Matrix	Achievement of business plan Improvement of key measures Net income	Defined in business plan	Top Management	Refer to the Risk & Opportunity Register	Refer to the Risk & Opportunity Register	Internal audit Business review Scorecards/dashbo.
Sales & Marketing	Market research Innovation Competitive data Industry benchmarking	Explore new product opportunities Set pricing Develop marketing Publish sales literature	Pricing Design inputs Marketing media	See IMS manual and interactions Map (Appendix 1) and Process Matrix	Revenue growth Net income	Defined in business plan	Sales & Marketing Manager	Refer to the Risk & Opportunity Register	Refer to the Risk & Opportunity Register	Internal audit Business review Scorecards/dashbo. Customer feedback
QEH&S Management										
Business Review & Improvement										
Operational Planning										
Order/Quote Fulfillment										
Design & Development										
Production/Manufacturing										
Procurement & Supply										
Inspection & Calibration (QC)										
Storage, Backlog & Shipment										

### 4.4.3 Outsourced Processes

Outsourced processes must be controlled by the organization and these controls must be defined and described within their system. Organizations are required to identify the controls they apply for any outsourced processes. The integrated manual must identify if outsourced processes are applicable. In addition, written documentation on the methods used to control the outsourced processes. Examples of some outsourced processes are:

1. A process completed wholly or partially by a sister facility outside the scope of registration. Such as corporate performing design, purchasing or customer related processes, this includes management activities i.e., business planning, goal setting, resources, data analysis, budgeting, etc. This may include the entire element or a subsection i.e., corporate completes supplier evaluation and re-evaluation of suppliers and the registered site initiates purchase orders.
2. A process completed by an outside vendor or subcontractor such as heat treating, plating, calibration, painting, powder coating, etc. These types of processes may be controlled by the purchasing process where a formal contract or purchase order may be the controls. If this is the case, written documentation would be the purchasing documentation and records however; these processes are required to be documented.

If an outsourced process is controlled through purchasing, there must be documented objective evidence to ensure that these processes are being controlled beyond the basic purchasing requirements, which are focused on controlling products not processes. The organization is responsible to ensure that the outsourced process

is meeting the applicable requirements to ISO 9001:2015. Outsourced processes may be controlled through such methods as, but not limited to:

1. Auditing;
2. Contractual agreements;
3. Process performance data review on an on-going basis;
4. Purchasing process.

Ensuring control over outsourced processes does not absolve the organization of the responsibility for conforming to customer, statutory and regulatory requirements. The type and extent of control to be applied to the outsourced process can be influenced by factors such as:

1. The potential impact of the outsourced process on the organization's capability to provide a product or service that conforms to requirements;
2. The degree to which the control of the process is shared;
3. The capability of achieving the necessary control through the application of the purchasing process.