



BEYOND
SMART CITIES

**ISO 45001 LEAD AUDITOR
REFRESHER TRAINING
FOR ENVIRONMENTAL SPECIALISTS**

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ENVIRONMENTAL SPECIALIST CURRICULUM

HEALTH & SAFETY SPECIALIST
BEYOND SMART CITIES

The banner features a background image of a city skyline with a person in a white lab coat and a stethoscope. Overlaid on this are several circular icons representing different aspects of safety and health, such as a person with a heart, a gear, and a bar chart.



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COMPLIANCE

**PERFORMANCE EVALUATION
FOR ENVIRONMENTAL PROFESSIONALS**

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The banner features a background image of a person's hands holding a red ribbon. Overlaid on this is a large green gear with the word 'COMPLIANCE' written on it.



LEARNING OBJECTIVES

Clause 9 Performance evaluation

- 9.1 Monitoring, measurement, analysis and evaluation
- 9.2 Internal audit
- 9.3 Management Review

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The slide features a background image of a person's hands typing on a keyboard. Overlaid on this is a large green gear with the word 'COMPLIANCE' written on it.

ISO 45001:2018 CLAUSE 9 PERFORMANCE EVALUATION

The organization must establish a system that involves the monitoring, measurement, analysis, and evaluation of its OH&S performance. It should decide what to measure and how, for instance, accidents or worker competence. Moreover, internal audits must be established along with regular management reviews, in order to see the progress made towards the achievement of OH&S objectives and the fulfillment of ISO 45001 requirements. Performance evaluation is a constructive process that aims to improve an organization's operation and is crucial to the 'Plan, Do, Check and Act' model prescribed by ISO 45001.

These processes should help achieve and support organizational strategy and goals. Clause 9, Performance Evaluation, provides an in-depth discussion regarding the criteria for evaluating the overall performance of the OH&S management system. The primary themes of this section focus on the means of process evaluation and documentation of evaluations.

ISO 45001:2018 CLAUSE 9 PERFORMANCE EVALUATION +

The importance of documentation (and how records and data are retained), as well as document dissemination, are performance themes both in ISO 45001 in general and in this section in particular. This section tends to be more specific than some of the others and includes a detailed discussion of documentation requirements, internal audit protocols, and relevancy and applicability of measurements within the organization.

9.1 MONITORING, MEASUREMENT, ANALYSIS AND EVALUATION

Monitoring can involve continual checking, supervising, critically observing or determining the status in order to identify change from the performance level required or expected. Monitoring can be applied to the OH&S management system, to processes, or controls.

Examples include the use of interviews, reviews of documented information, and observations of work being performed. Measurement generally involves the assignment of numbers to objects or events. It is the basis for quantitative data and is generally associated with the performance evaluation of safety programs and health surveillance.

Examples include the use of calibrated or verified equipment to measure exposure to a hazardous substance or the calculation of the safe distance from a hazard. The analysis is the process of examining data to reveal relationships, patterns, and trends.

This can mean the use of statistical operations, including information from other similar organizations, to help draw conclusions from the data. This process is most often associated with measurement activities. Performance evaluation is an activity undertaken to determine the suitability, adequacy, and effectiveness of the subject matter to achieve the established objectives of the OH&S management system.

9.1 MONITORING, MEASUREMENT, ANALYSIS AND EVALUATION +



In short, monitoring and measurement help you manage your organization better. The results of pollution prevention and other efforts are easier to demonstrate when current and reliable data are available. These data can help you demonstrate the value of the OH&S to top management. Your organization should develop means to

- ✓ Monitor key characteristics of operations and activities that can have significant environmental impacts and/or compliance consequences;
- ✓ Track performance (including your progress in achieving objectives and targets);
- ✓ Calibrate and maintain monitoring equipment; and,
- ✓ Through internal audits, periodically evaluate your compliance with applicable laws and regulations.



9.1.2 EVALUATION OF COMPLIANCE



The organization must establish, implement and maintain the processes for evaluating compliance with legal requirements and other requirements. The organization must determine the frequency and methods for the evaluation of compliance and must evaluate compliance and take action if needed. It must maintain knowledge and understanding of its compliance status with legal requirements and other requirements. It must retain documented information on the compliance evaluation results.

The frequency and timing of compliance evaluations can vary depending on the importance of the requirement, variations in operating conditions, changes in legal requirements and other requirements, and the organization's past performance. An organization can use a variety of methods to maintain its knowledge and understanding of its compliance status.

Audit results including compliance status should be communicated to senior leadership within the organization. Any outstanding or pending requirements can be actioned by the leadership team.



9.2 INTERNAL AUDIT



9.2.1 General The organization must conduct internal audits at planned intervals. This will provide information on whether the OH&S management system is conforming to the organization's own requirements for its OH&S management system, including the OH&S policy and OH&S objectives and also to the requirements of ISO 45001:2018. It also provides information if the OH&S management system is effectively implemented and maintained.

9.2.2 Internal audit programme The organization must plan, establish, implement and maintain audit programs including the frequency, methods, responsibilities, consultation, planning requirements, and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits.

It must define the audit criteria and scope for each audit. It must select auditors and conduct audits to ensure objectivity and the impartiality of the audit process. It must ensure that the results of the audits are reported to relevant managers; ensure that relevant audit results are reported to workers, and, where they exist, workers' representatives, and other relevant interested parties.



9.2 INTERNAL AUDIT +

It must take action to address nonconformities and continually improve its OH&S performance. It must retain documented information as evidence of the implementation of the audit program and the audit results.

The extent of the audit program should be based on the complexity and level of maturity of the OH&S management system. An organization can establish objectivity and impartiality of the internal audit by creating processes that separate auditors' roles as internal auditors from their normal assigned duties or the organization can also use external people for this function.

An internal audit is a systematic method to check organizational processes and requirements, as well as those detailed in the ISO 45001 standard. This will ensure the processes in place are effective and the procedures are being adhered to.

An internal audit in ISO 45001 not only serves as a function to meet the terms of the standard, as explained above, but also a real opportunity to improve your OH&SMS (Operational Health and Safety Management System), and therefore reduce the risk of accidents in your workplace while improving employee wellbeing. I

9.3 MANAGEMENT REVIEW

Top management must review the organization's OH&S management system, at planned intervals, to ensure its continuing suitability, adequacy, and effectiveness. The management review must consider the status of actions from previous management reviews.

The changes in external and internal issues that are relevant to the OH&S management system including the needs and expectations of interested parties, legal requirements, and other requirements and risks and opportunities. It must consider the extent to which the OH&S policy and the OH&S objectives have been met.

It must also consider the information on the OH&S performance such as trends in: incidents, nonconformities, corrective actions, and continual improvement; monitoring and measurement results; results of the evaluation of compliance with legal requirements and other requirements; audit results; consultation and participation of workers; risks and opportunities;

9.3 MANAGEMENT REVIEW +

The input to Management Review must also consider the adequacy of resources for maintaining an effective OH&S management system, relevant communications with interested parties, and opportunities for continual improvement.

The outputs of the management review must include decisions related to the continuing suitability, adequacy, and effectiveness of the OH&S management system in achieving its intended outcomes and continual improvement opportunities.

It must include the need for any changes to the OH&S management system, the resources, and y action needed. It must also consider the opportunities to improve integration of the OH&S management system with other business processes and any implications for the strategic direction of the organization.

Top management must communicate the relevant outputs of management reviews to workers, and to workers representative where they exist. The organization shall retain documented information as evidence of the results of management reviews.


