Qualitas
International
Certification Ltd.UK

Checklist of OHSAS 18001
Mandatory Documentation

Checklist of Mandatory Documentation Required by ISO 9001:2015

Our Vision:
We aspire in association with our international alliances to become a premier key services & solutions provider to a wide range of industries in the region.

Our mission is to promptly provide our customers with superior quality and cost effective services and products, while maximizing the welfare of our stakeholders.

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General Objectives:
To become a recognized supplier for the Quality testing , inspection and Standard Certification industry.To support businesses with the latest Know How in the field of Environment Management System MIS Auditing .To expand our scope of supplies in the FDA/GMP & CE Marking sector.To continuously pursue profitable growth opportunities to our clients business throw QMS Auditing and certification .To provide the means to assist our customers in achieving their goals.To develop joint ventures with regional and international Training , Auditing and Certification industry leaders.To provide a rewarding and pleasant working environment for our international accreted auditors and team .

BASIC OVERVIEW

Many companies go overboard with documentation in the belief that they need to document every single process that is in place in their organization, without realizing that this is not necessary to meet the requirements of the OHSAS 18001 standard. In the standard there are several mandatory processes, but these are not required to be documented procedures. Also identified are many records that need to be maintained, which are generated by the process-es of the Occupational Health & Safety Management System.

Below is discussed which documents and records are mandatory, and which are optional.

1) Which documents and records are required?

Mandatory Documents and Records	OHSAS 18001 Clause
Scope of the OH&S Management System	4.1, 4.4.4
OH&S Policy	4.2, 4.4.4
Record of Hazard Identification, Risk Assessment (including signifi-cance) and determining controls	4.3.1
OH&S Objectives and Program(s)	4.3.3, 4.4.4
Roles, Responsibilities & Authorities	4.4.1
Competence, Awareness & Training Records	4.4.2
Communication from External Parties	4.4.3.1
OH&SMS Elements & their interaction	4.4.4
Operational Control Procedures	4.4.6
Monitoring Performance Information	4.5.1
Calibration Records for Monitoring & Measurement Equipment	4.5.1
Evaluation of Compliance Records (Legal & Other Requirements)	4.5.2.1, 4.5.2.2
Nonconformity, Corrective Action & Preventive Action Records	4.5.3
Internal Audit Records	4.5.5
Management Review Records	4.6

These are the documents and records that are required to be maintained for the OHSAS 18001Occupational Health & Safety Management System, but you should also maintain any other records that you have identified as necessary to ensure your management system can function, be maintained, and improve over time.

OH&SMS Scope & OH&SMS elements:
Often captured in an OH&S manual, this defines the limitations of the Occupational Health & Safety Management System within your company, and identifies what elements are included and how they interact.

OH&S Policy:
The OH&S Policy is intended to be a company's documented intention to meet legal compliance, prevent injuries and bad health, and to continually improve. The policy is a focus for the company to work toward, and should readily convey the goal of the organization. It is often documented in an OH&S Manual and sometimes posted throughout the organization as a way of communicating to all employees, since it is important that every employee understand how the Policy relates to his or her job.

Record of Hazard identification, Risk Assessment and Determining Controls:
This is the record of the OH&S hazards identified, risks assessed, and controls determined. These need to be maintained and kept up to date. For more information on hazard identification, risk assessment, and determining controls, take a look at OH&S hazard identification and classification.

Objectives and Programs are derived from the goal stated in the OH&S Policy, and are the main method used by companies to focus this goal into plans for improvement. The objectives are intended to be S.M.A.R.T. (specific, measurable, achievable, realistic, and time-based) and should have relevance at all levels of the company, meaning that all employees should understand how their work places are related to OH&S objectives and programs.

Roles, Responsibilities and Authorities:
This important information is often written in each document you maintain for the Occupational Health & Safety Management System, rather than only in one place, but it is important that you know what roles are applicable to your Occupational Health & Safety Management System, and who is responsible and has authority for the critical activities.

Competence, Awareness and Training:
Keep records to prove that you identified what competencies are required for the crucial processes in your OH&SMS, and how employees met these competencies. If the competencies were not met by individuals responsible for the action, how did you address the training discrepancies to close the gaps?

Communication from External Parties:

OHSAS 18001 requires the organization to perform communication, participation, and consultation with employees, subcontractors, and relevant external parties on issues regarding occupational health and safety. It is also required to process, document, and respond to relevant communication from external interested parties. Unlike ISO 14001, which requires the organization to make a decision as to whether it will inform its neighbors or not, OHSAS 18001 requires the organization to take into consideration information from external interested parties regarding occupational health and safety.

Operational Control Procedures:

When you have identified that your operations can have a negative impact on occupational health and safety, you need to put controls in place to mitigate the risks and prevent the injuries and bad health from happening. In order to have a known and consistent way of doing what is needed to avoid the occurrence, you will need to create operational control procedures. If no situations are present, you need to ensure that there is no deviation from the policy and objectives, or related significant hazards, and then these procedures are not required.

Monitoring Performance Information:

When you identify a key characteristic of a process, you will also need to identify whether this characteristic can have a significant OH&S risk if it is not controlled by the company. When this is the case, the organization needs to document what information needs to be monitored so that employees can react to changes in performance and avoid the occupational health and safety hazards.

Calibration Records:

In your processes, you may need to monitor and measure critical elements of the OH&SMS to ensure compliance with legal requirements. As an example, you may need to measure the noise or vibration in the work place. When this is necessary, you need to use calibrated equipment to ensure your measurements are accurate, and maintain records of these calibrations. Compliance Evaluation: Keep the records of your compliance evaluation to show that you met requirements or addressed any discrepancies.

Nonconformity, Corrective and Preventive Action Records:

With the Occupational Health & Safety Management System, you will find that you have non-conformances occur within your processes that you will need to correct, and when you investigate the root cause of these problems you will have corrective actions and preventive actions taken. You will need to keep records of these activities to show improvement.

Internal Audit Records: Keep records of these activities to show OH&SMS conformance and improvement.

Management Review Records: Keep these records to show that reviews were effective and resources identified and applied.

2) Commonly used non-mandatory documents

Non-Mandatory Procedures	OHSAS 18001 Clause
Procedure for Hazard Identification and Risk Assessment and determining controls	4.3.1
Procedure for Legal and Other Requirements	4.3.2
Procedure for OH&SMS Competence, Training and Awareness	4.4.2
Procedure for Communication, Participation and Consultation of the OH&SMS	4.4.3
Procedure for Control of Documents	4.4.5
Procedure for Emergency Preparedness and Response	4.4.7
Procedure for Monitoring & Measurement	4.5.1
Procedure for Evaluation of Compliance (Legal & Other Requirements)	4.5.2.1, 4.5.2.2
Procedure for Nonconformity, Corrective Action & Preventive Action	4.5.3
Procedure for Control of Records	4.5.4
Procedure for Internal Audit	4.5.5

While OHSAS 18001 does not require that you document all of the procedures, there are several processes that are mandatory to have in place in order to create the required records that are outlined in the first section. Remember, these processes and procedures are not required to be documented however, many companies choose to do so. One rule of thumb when deciding if you want to document a process is this: if your organization needs a written document to ensure consistency between employees, then you should do so. In many cases this is the best way to ensure that your Occupational Health and Safety Management System is reliably implemented.

Procedure for Hazard Identification and Risk Assessment and determining controls:
This is defining how you will identify the OH&S hazards and how to assess the risks in your work places, and how critical these hazards are. How much do you control the hazards, or do you only have influence over them? How will these hazards be controlled?

Procedure for Legal and Other Requirements:
It is important for your company to know and understand the legal requirements that apply to your business practices. To make this work you need to devise a way to ensure you know which laws apply, and how you will keep up to date on legal changes.

Procedure for OH&SMS Competence, Training and Awareness:
How do you determine necessary competencies for each work place? How do you make employees, and external parties when applicable, aware of the occupational health and safety practices of your organization? If there is a change in the Occupational Health and Safety Management System, how do you let people know?

Procedure for Communication, Participation and Consultation of the OH&SMS:
Hand in hand with awareness is how you will communicate to internal and external parties. How will you do this, and what information needs to be communicated?

Procedure for Control of Documents:
How do you approve, update, and re-approve your documents? When a document is changed, how do you identify changes, and make sure that people who need the current document have it and stop using older documents?
How do you make sure the documents can be read, and how do you control documents that come from outside of your organization for use?

Procedure for Emergency Preparedness and Response:
When there is a risk that an incident might happen (such as an injury or bad health), you need to have plans in place to respond and react to the emergency and limit the occupational health and safety damage you will cause.
Monitoring and Measurement: When it is necessary to control your activities, you will need to put in place a method of monitoring and measuring your processes to ensure that you maintain the acceptable limits of employees' exposure to occupational health and safety hazards.

Procedure for Evaluation of Compliance (Legal and Other Requirements):
You have already identified which laws are applicable to your operations, but how well do you meet the requirements of these laws? A process must be in place to evaluate your compliance with the laws and to put in place corrective action to fix any discrepancies.

Procedure for Nonconformity, Corrective and Preventive Action:
What controls are in place, and who is responsible, to make sure that an OH&S non-conformity is addressed? How do you ensure that corrections are made, and what records are kept of the process? Corrective Actions: How do you review non-conformities, determine causes, and evaluate the need for actions to correct them? How do you implement the necessary actions, review that the actions were effective, and keep records of the actions taken?
Preventive Actions: How do you apply the same process used for Corrective Actions to non-conformities that are identified before they occur?

Procedure for Control of Records:
How do you maintain your records that show your OH&SMS is implemented and maintained, including how you identify, store, and protect the records so that they can be retrieved as necessary, for the correct amount of time, and destroyed when no longer needed but not before?

Procedure for Internal Audit:
How do you audit your Occupational Health & Safety Management System to make sure that it is performing as planned and is effective? Who is responsible for planning and carrying out the audits? How do you report results, and what records are kept? How do you follow up on Corrective Actions noted in audits?

3) How to structure documents and records

You may ask yourself, what are the criteria for deciding which documents are to be written? While there is not a specific requirement on processes to be documented, there is a requirement to create documents necessary to ensure effective planning, operation, and control of processes related to OH&S risks. Simply put, if you need to have a written procedure to make sure that mistakes are not made, you need to have a written procedure.
There are a few simple things to think about when deciding if a documented procedure is needed, and those below are a good start.

Can any simple requirements be covered by training or forms?
As an extension of the first question, there are other ways to ensure things are done properly. If you have a standard form (paper or electronic) for purchasing that highlights all the required OH&S information to be requested from a supplier, do you really need a written procedure to tell someone how to fill out the form to place the order? If the important thing is for the required information to be there, the form can stand for itself.
Any additional information such as how to find information to fill in the form may be able to be acquired through training without needing to write a document.

Does the process need the same level of change control that is afforded Occupational Health & Safety Management System documents?
Some companies like to document all of their Human Resource Policies as part of the Management System, but you need to think that there are costs to having a procedure as part of that system. Does the procedure need to have change control that is as strict as other documents, or could having controlled change access on a computer drive be just as effective? Does every detail of the procedure need to be audited, or is it there mostly for the information of employees when they need it (such as a travel policy)? Remember that just because some information is important doesn't mean that it needs to be controlled in Management System documentation; other avenues are also available.

This is also a good question to ask when deciding if something needs to be a controlled form or not. Often, a company's Documentation Procedure will specify the change control on forms, whereas some checklists can be more effective if their content is controlled more easily by the few people who use it rather than through a more complicated change control system. For example, the shipping department may have a checklist of OH&S risks to check when they ship product (using equipment for lifting and carrying, etc.).

If something happens and they all agree to add an additional check to make sure the problem doesn't happen again, this change can happen more quickly and can help prevent the same problem from recurring in the meantime.

How many people are doing the job?

Using purchasing as an example again, if you only have a few people doing the job, then they can very likely ensure that between them the process outputs in terms of occupational health and safety information on purchase orders are consistent, meaning that the information going to the suppliers is always similar enough to make sure that product is received with all occupational health and safety information necessary. This also allows those few people to share process improvements to help the process flow better.

Documentation is important, but make it uncomplicated

Documentation in the Occupational Health & Safety Management System is important to ensure that critical processes, where you need to make sure that all employees consistently do the same thing, are understood and repeatable. In order to make this work, it is wise to have these processes as uncomplicated as possible and presented in the simplest manner to make them easy to understand often, using a graphical flow chart can suffice to relay all the relevant information quickly and easily.

The less complicated the documentation, the easier it will be to ensure that all employees can deliver repeatable outcomes. In the long run, the old adage is often right: "The simpler the better."

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