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"*objective evidence* of the effectiveness of its processes"

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Revising your System to Meet ISO/DIS 45001, ISO 9001:2015 and ISO 14001:2015

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Where Are We?

- ISO 9001:2015 (QMS) and ISO 14001:2015 released September 2015.
- If Certified must transition to new Standard(s) by Sept 2018
- ISO/DIS 45001 (OH&S - Draft Int Standard)
- Timeline:
  DIS - Feb → FDIS - July → Standard - October
- Certified - no announcement yet on "migration" period (AS 4801 - Aust Standards; 18001 - British Standards)
- Likely - 2-3 years

Key Opportunities?

1. Common Focus Areas
2. Integration - Enhanced Opportunities
3. Documentation - where you really need it
   irmsystems.com.au/resources
   irmsystems.com.au/blog

1. Common Focus Areas

- Risk based thinking
- "Leadership", commitment and accountability
- "Worker" participation
- Context of the organisation
- Interested parties

- *All ISO Management System Standards*

2. Integration

- Common Structure
- Common Terminology
- Wording of Common Requirements

- *All ISO Management System Standards*

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A Short History of Traditional Management Systems

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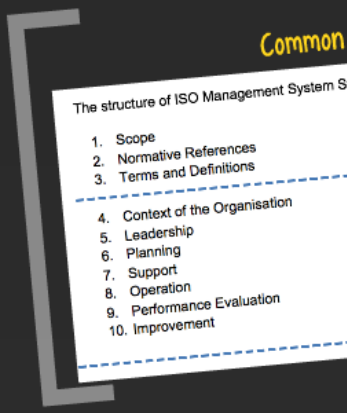

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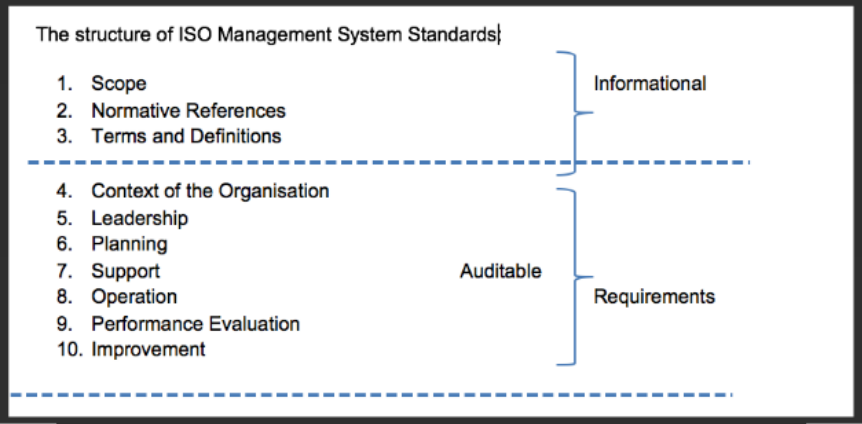
Common structure



The common structure provided by Annex SL is intended to enable:

- Easier integration of Management Systems
- Potential for reduced duplication
- A reduction in potential conflict between different Management Systems
- Improved understanding of requirements
- Fully supports the PDCA improvement cycle

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Common Terminology

E.G: organisation; interested parties; policy; objective; competence; conformity.

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Common Wording of Requirements

"Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organisation".

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3. Documentation - Where You Need It

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Quiz 1 - Guess Who?

"Two of the most important objectives in the revision of the ISO 9000 series of standards have been:

b) for the amount and detail of documentation required to be more relevant to the desired results of the organization's process activities. "

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3. D

Quiz 2 - Guess Who?

"The primary focus should be on the implementation of the management system and on performance, not on a complex documented information control system"

Annex A - A.7.5 ISO 14001

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Quiz 3 - Guess Who?

NOTE The extent of documented information for a management system can differ from one organization to another due to:

- the size of organization and its type of activities, processes, products and services;
- the complexity of processes and their interactions;
- the competence of persons.

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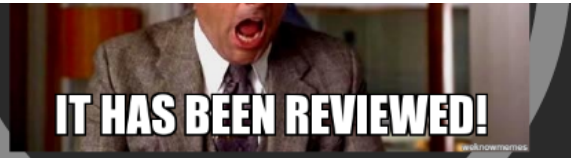
Demonstrating Conformance to Auditors?

fi documented
and this is not

To claim c
organizati
provide o
the effecti



Where the organization has no specific documented information for a particular activity, and this is not required by the standard, it is acceptable to (internal/ external audit) to be conducted using as a basis the relevant clause of the Standard

To claim conformity the organization has to be able to provide *objective evidence* of the effectiveness of its processes and its management system

"Objective Evidence" -
existence or verity of s

"may be obtained thro
measurement, test, or

Operational planning and control - "it is up to the organization to determine what documented information is necessary in order to provide this objective evidence"

Objective evidence does not necessarily depend on the existence of documented information, except where specifically mentioned

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(a) Keep this guy happy?

Quiz 4

What does ISO want you to achieve -
Operational Control?
Management System processes?

(d) Provide products/services that keeps customers happy?

(b) Control your environmental impacts

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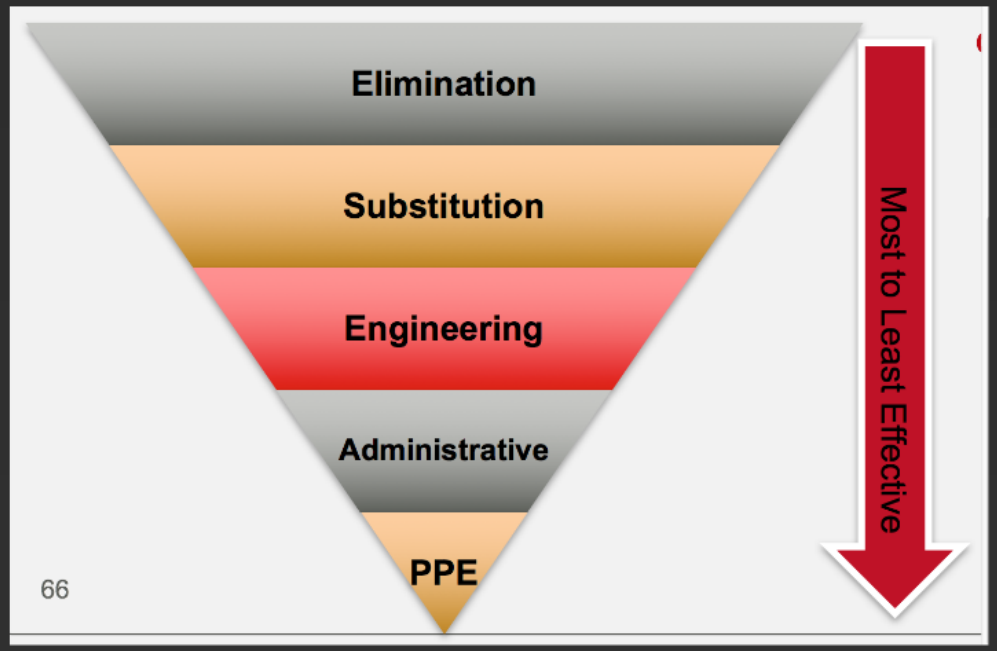
Why is ISO reducing Mandatory Documentation??



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Relies on people (a) to read (b) to remember (c) to care (d) subject to interpretation

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ISO - "Documented Information"

Intent/ requirement largely requirements for "Document Control"/ "Record Control"

Terminology change:

Document → "Maintain" "Available As" documented information

Record → "Retain" documented Information

Action
ontrol

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Maintained" (e.g. scope, policy, objectives)

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“Retained” (e.g. legal, corrective action, management review, audit)

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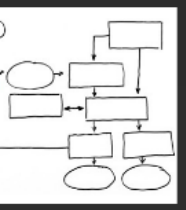
• Manual
• Internal Audit
• Corrective Action; Pre
Document Control
Non-Conforma

ISO - "Document"



"Documented information can be in any format and media and from any source"

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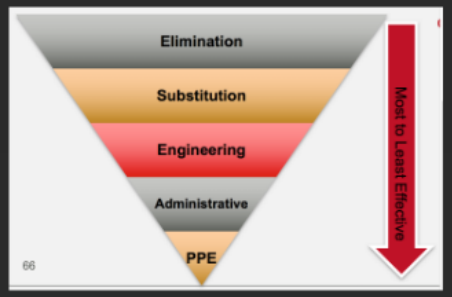

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Controlling a Process or Task?

Process Approach

Process thinking

Risk where it occurs

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Staff and SMEs

Regulator

Risk and Opportunities

Clients

Participants

Management Framework

Customer Focus | Leadership | Planning | Monitor, Review, Improve

Customer Focus

- Induct all staff - Brand Values, Customer Commitment
- Conduct Training Follow Up Calls
- Set Customer KPIs
- Discuss Feedback with Staff
- Management to communicate importance
- Training Manager Approval - New Courses; Proposals

Document

- Induction records
- KPIs and KPI tracking
- Team meeting summary
- Management meeting summary
- Customer Follow Up Calls
- Approvals

Leadership

- Define accountabilities, responsibilities
- Monitor expectations of interested parties
- Action complaints, feedback (Improve. Register)
- Monitor issues that affect training delivery
- Provide resources
- Set Policy direction

Document

- Position Descriptions
- Human Resource Policies and Procedures
- Customer Services Policy
- Budget
- Review strategic direction and system in light of changes

Planning

- Actions to address risk and opportunities
- Resource needs and continuity
- Actions to achieve KPIs
- Organisational knowledge and capability planning
- Management of Change

Document

- Management review minutes
- KPI Plan

Monitor, Review, Improve

- Commission annual independent audit
- Action issues requiring corrective action (Improvement Register)
- Review and evaluate participant feedback
- Conduct 6 monthly management review
- Review, evaluate client feedback

Document

- Internal Audit Report
- Improvement Register
- Management review minutes
- Summary participant feedback reports
- Summary client reports

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Internal Audit - Process/Task where no documented information required?

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Documentation - Golden Rules (Andrew's)

- Does the document offer any value (manging hazards, risks and/or compliance)?
- Are higher order risk controls available?
- Can the guidance be integrated into exiting documentation?
- Design with the user in mind - language, format, medium

Writers p

Readers perspec
I got to do it?

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Writers perpective: tell them everything

You're f*&%n' kidding!

rs perspective: what have I got to do? How have

Prezi

don't?

Readers perspective: what have I got to do? How have I got to do it?

Thanks Mate!

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