SCCM

stichting coördinatie certificatie managementsystemen voor milieu en gezond en veilig werken

10 STEPS

for setting up an environmental or occupational safety and health (OH&S) management system meeting the ISO 14001 or ISO 45001 standard

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In **step 1** determine how top management is involved in the **various steps** and how/when **decisions are made.**

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Step 1
Make the involvement of top management explicit and concrete

Step 2
Establish the scope of the management system

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Gain understanding by making the necessary identifications and evaluations

Besides the **risks,** the **opportunities** must also be identified. Use the context analysis!

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The **contextanalyse** is **new,** What are the needs and expectations of interested parties?

Keep in mind the **competences** necessary for employees, **communications, information security,** etc.

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And if the **management system functions** in **practice.**

Step plan

for setting up an environmental or OH&S management system meeting the ISO 14001 or ISO 45001 standard

This plan will help you set up a management system in a logical 10-step sequence.
The requirements which the system must meet in order for your organization to be certified are listed in the appropriate standard.
The SCCM certification schemes give an explanation/interpretation of the standard in question, which is used by the auditors of the certification bodies associated with SCCM. For small organizations, we have worked out two sample management systems. They make the abstract requirements more concrete, and make it clear to what depth the elements of the system need to be worked out. See the sample environmental management system (in Dutch) and the sample OH&S management system (in Dutch) of 'Hollend Transport'.
This 10-step plan is based on the requirements of ISO 14001:2015 for an environmental management system, and ISO/DIS 45001:2017 for an OH&S management system. The ISO 45001 standard, to be published in late 2017 or early 2018, will replace the OHSAS 18001 standard. As of now, organizations planning to implement an OH&S management system should base it on ISO/DIS 45001.

Step ❶

Make the involvement of top management explicit and concrete

The involvement of top management with the management system is essential for meeting the ISO 14001 and ISO 45001 standards. This is made explicit in the beginning of section 5.1 of both standards, which states that top management also 'takes responsibility' for the effectiveness of the management system. This requires top management to take an active – and pro-active – role. For example, top management must be aware of the significant risks and opportunities, the expectations of interested parties, the organization's compliance status and its objectives. It is therefore also necessary to involve top management while the management system is being set up. They must make choices at every step. During step 1, determine how top management is involved in the various steps, and how and when they will make decisions.

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Step ② Establish the scope of the management system

The organization must determine the activities covered by the management system. If the organization has multiple sites, it must determine if they also are covered by the management system. Subsidiaries of the organization with their own management can also have a separate management system of their own. Showing the legal situation (legal form and Chamber of Commerce data) and physical boundaries of the location(s) will make it clear what the management system covers.

Remember that outsourced processes are counted among the processes to be controlled. The organization must establish the extent of its control or influence in the scope.
See the example in annex 2, table 1 of the guide 'Making the transition to ISO 14001:2015'.

The scope may have to be modified based on information that comes from later steps, for example, if certain activities not originally covered by the management system are expected by interested parties to be covered.

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Step ③ Gain understanding by making the necessary identifications and evaluations

With a management system, policy is systematically developed and implemented. In order to develop this policy, the organization must first gain understanding of:
→ important environmental and/or OH&S issues;
→ needs and expectations of interested parties;
→ relevant legal and other requirements (compliance obligations);
→ environmental aspects and/or OH&S hazards and risks.

It goes without saying that the understanding of the foregoing points must also be kept up to date. It is therefore also important to determine how this will be done in the future (by whom, when, and how). The first three of these 'inventories' can be done in a random order and/or simultaneously. The information they provide can be used to identify the environmental aspects and/or OH&S hazards and risks that must have the highest priority.

Identification of important issues and developments

The organization must have an understanding of the main issues and developments both within and outside the organization (its context) that are, or can be, relevant to achieving the intended outcomes of the management system. The points and developments are considered relevant if risks or opportunities relevant to the organization are associated with them in the shorter or longer term, such as legislation that will come into force in the future, new technological developments, changes in the market, etc. For more examples, see annex 2, table 1 of the guide 'Making the transition to ISO 14001:2015'.

Needs and expectations of interested parties

Interested parties can be both internal (such as employees and shareholders) and external (customers, neighbours, suppliers, government, etc.). Besides expectations with regard to environmental and OH&S performance, these needs may involve communication and information. An example can be found in annex 2, table 1 of the guide 'Making the transition to ISO 14001:2015'.

Identification of legal and other requirements (compliance obligations)

What environmental or OH&S legislation and regulations apply to the organization and what requirements arise from them? Identify the legislation and regulations down to the article level, and determine if you meet the requirements that arise from them. The standard requires that the organization be committed to complying with legislation and regulations.
How do you identify legislation and regulations and to what level of detail do you identify legislation? You'll find the answers in the guides to compliance with legislation and regulations for environmental management systems and OH&S management systems.
There may be other requirements, such as agreements with clients or requirements in insurance policies.

Identification of environmental aspects or OH&S hazards and risks

Determining the environmental aspects (environmental risks) or OH&S risks and hazards (OH&S aspects) makes it clear what goes on within the organization and what must be controlled and improved with the help of the management system. One important point is that the life-cycle approach must be used when making the inventory of the environmental aspects. This means that the organization must see where there are environmental aspects with the organization's suppliers and customers, and in the disposal phase of products, and if it can influence these aspects.

How to identify and evaluate environmental aspects is in the guide to Environmental aspects.
For OH&S hazards and risks there is a separate guide (in Dutch).

Important! All activities covered by the management system must be included in the analysis, including their situation in the event of changes (management of change), emergency situations and disasters.

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Step 4

Determine the risks and opportunities

The risks and opportunities that require special attention from the organization are determined on the basis of the analysis from step 3. Some of the environmental aspects and OH&S hazards and risks are already controlled by existing measures. These measures (technical or organizational) must be retained and maintained. Additional measures will probably be necessary where there are real risks that are not yet controlled (for example, legislation and regulations not being complied with, violations of emissions limits, certain accidents/ near accidents, etc.).

The understanding from the context analysis is used to determine the risks. For example, topics may require greater priority if interested parties attach more importance to them. Developments may also emerge from the context analysis that constitute a risk, such as a shortage of materials or a ban on the use of certain substances. There may also be opportunities for such things as new technological developments. In step 4 these are systematically illustrated and weighed. Often systems are used to compare risks with each other.

An opportunity can be seen as an improvement that can be made, but is not absolutely required. These include not only opportunities to improve such things as environmental aspects and OH&S hazards, but also strategic opportunities for the organization. These strategic opportunities will be found in the strategic plan.

Step 5

Establish policy, objectives and plans

Choices must now made on the basis of the information acquired in steps 2 through 4. The basis for the choice is the framework laid down in the environmental and OH&S policy. Often called the policy statement, this is where top management lists the principles on which its environmental or OH&S policy is based. ISO 14001 and ISO 45001 require the policy to contain the following commitments as a minimum:
→ to comply with legislation and regulations;
→ to protect the environment;
→ to continuously improve the organization's environmental or OH&S performance.
In addition, the policy must be concrete enough that it can be used as a basis for choices that are also linked to objectives. The policy must be available to third parties.

The organization's strategic policy incorporates risks and opportunities. Consequently, the operational policy must be in line with the strategic policy. Although the OHSAS standard does not mention risks and opportunities, this method can also be used with it. What are the possibilities for protecting personnel and workplace safety? What risks and opportunities can be included in the strategic policy?

The objectives formulated by top management must be in line with the organization's policy (strategic and otherwise). Indicators must be established so that progress can be monitored. Actions to achieve the objectives must be integrated in the business processes.

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Step 6

Determine how the environmental aspects or OH&S hazards and risks will be controlled

By using the management system, the identified environmental aspects or OH&S hazards and risks are controlled and where possible, reduced. This can be done in several ways.

Environmental aspects or OH&S hazards and risks can be controlled by:
→ procedures or instructions (mainly important if many different employees are working on the same process, or in the event of transfer of work between departments/officers);
→ technical measures;
→ measurements or inspections (what measurements or inspections ensure that a process is under control?);
→ records (with what records can you demonstrate that a process is under control?);
→ training, instruction or consultation (what knowledge is necessary for processes to run under control?);
→ ....
or a combination of several control measures.

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Step 7

Working out supporting measures

Every management system contains a number of supporting measures:
→ The necessary competences must be determined, and measures must be taken in order to ensure that people have the necessary competences – people involved with the management system itself (such as internal auditors) as well as those who have influence on the control and improvement of the relevant risks and opportunities.

→ The necessary communication must be determined, as well as how it should be done. This concerns communication both within the organization and communication with people/organizations outside the organization.

→ Documented information is linked to the management system. It must be determined how this information is distributed, maintained, kept up to date, retained, secured etc. The documents that are required by the ISO 14001 standard are listed in annex 1 of the SCCM certification scheme for ISO 14001.

Step ⑧

Work out 'check-act' measures

A management system consists of a 'plan-do-check-act' cycle. The 'plan' and 'do' elements were worked out in the previous steps. In step 8, 'check' and 'act' will be worked out.

The 'check' element is about monitoring, measuring, analysing and evaluating. Step 6 established measuring and record-keeping. It must be evaluated whether the progress in achieving the objectives can be followed using these measures. Often data must be additionally adapted to arrive at the correct information:

→ evaluation of compliance. The organization itself must periodically determine whether it is complying with the previously identified legal and other requirements;

→ performing internal audits to determine if the management system satisfies the standard and also that it functions as intended. See the guide to performing internal audits.

The 'act' element is about:

→ responding to nonconformities;

→ a periodic evaluation by top management of the functioning of management system and any need to make modifications to it (the "management review") in the light of, for example, the results of measurements, changes that have taken place or are expected to, and the commitment to continuous improvement of performance.

The standard sets particular requirements for a management system concerned with matters such as dealing with complaints, nonconformities, internal audits, and management review. The standard lists these requirements.

Some elements of the standard are discussed in the SCCM certification scheme. Also see our guide to environmental communication.

Step ⑨

Verify compliance with the standard

The previous steps describe in general terms what must be done in order to implement a management system. It is now a good time to determine whether all the requirements in the standard are actually being complied with. For example, internal audits, determining the compliance status and a management review can determine whether the system as implemented also covers all the requirements of the standard and functions in practice.

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Step ⑩

Certification?

If an organization chooses to introduce a management system it is usually also aiming to be certified. An organization can be certified from the point that it can demonstrate that the system functions, or in other words, that the cyclic process of plan-do-check-act also visibly works. Internal audits and a management review must have been conducted. For example, within a period of 3 months after implementation this can be demonstrated.

We recommended choosing a certification body during the process of implementation, so that the progression of the certification process is clear from the beginning. From the moment that there is a contract with a certification body (i.e. before the certificate is awarded), the organization can have access to the summaries of relevant legislation and regulations at mijn.sccm. Registration for mijn.sccm is free of charge.

The SCCM website lists the certification bodies associated with SCCM and the organizations that have ISO 14001- en/of OHSAS 18001-certification on the basis of an SCCM certification scheme.

Four benefits of certification:

→ better environmental, OH&S and energy performance;
→ more security;
→ better relationships with customers;
→ better relationships with neighbours and enforcement authorities.

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SCCM is charged with overseeing the certification schemes for
ISO 14001, OHSAS 18001/ISO 45001 and ISO 50001.

Our website www.sccm.nl has all sorts of information, including:
→ all the guides mentioned in this plan (note: some in Dutch only)
→ an overview of certification bodies
→ certification schemes with all the requirements a certified company must meet
→ guides with sample companies and tips
→ info about the development of the ISO 45001 standard

SCCM has set up mijn.sccm.nl for certified or nearly certified organizations.
It is *the* knowledge platform for ISO 14001 and OHSAS 18001/ISO45001.
Among the things you'll find on mijn.sccm are summaries of the most relevant environmental and
OH&S legislation/regulations, and biannual overviews of changes to legislation and regulations.
Go to mijn.sccm.nl and sign up!

SCCM's conviction — and experience has proven — is that every organization,

large or small, will achieve better environmental and OH&S performance

by using the plan-do-check-act approach outlined in the ISO 14001 and

OHSAS 18001/ISO 45001 standards.