**LEGENDA**

**Note for migration audit:**

Clauses or paragraphs highlighted in grey must always be checked; when an entire clause or a part of the clause is highlighted in grey, auditor must register relevant evidences in the pertinent field of this checklist.

Evidences related to other elements of the standard is to be registered in the checklist or in the observation sheets at the end of this document.

**Methology:**

“The inputs for the drafting of this report are:

1. Examination of the documentation and verification that it complies with the reference standard;

2. Compliance with the mandatory environmental laws;

3. Sample on-site inspections in relation to the activities carried out in the plants;

4. Interviews with the personnel in charge of environmental functions at the plants;

5. Interviews with the managers and collaborators of the plants.

The expected outputs are:

1. Indication of the level of compliance with the legal requirements applicable to the rganization;

2. Identification of the actions to be taken to enable the rganization to attain certification;

3. Identification and indication of the “pros” and any “cons” concerning the continuation of the certification activities.

The methodology adopted for the analysis is based on the recording, in specific documents, of all the evidence collected in the field, through both documental and operational sampling.

The criteria adopted and reference specifications were:

- ISO 45001:2018 (all requirements applicable to the site)

- The organization’s internal requirements (documented information)"

|  |  |  |
| --- | --- | --- |
| **GRAVITY** | **SCORE ASSIGNED** | **LEVEL OF COMPLIANCE** |
| **Red** | **1** | Requirement not met (missing or totally inadequate) |
| **Orange** | **2** | Requirement partially met (inadequate or incorrectly managed, also in relation to the new standard ISO45001:2018) |
| **Yellow** | **3** | Requirement improvable (present aspect adequate but with room for improvement) |
| **Green** | **4** | Requirement fully met |

Add all the assigned values and compare them with the maximum possible total in percentage

Write some EVIDENCES in the box if have there.

| **Par.** | **ISO45001:2018 REQUIREMENTS** | **Score Assigned** |
| --- | --- | --- |
| **4.14** | **Understanding the organization and its context**  Has the Organization determined external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes(s) of its OH&S management system? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **4.2** | **Understanding the needs and expectations of workers and other interested parties**  Has the Organization determined:   * the other interested parties, in addition to workers, that are relevant to the OH&S management system; * the relevant needs and expectations (i.e. requirements) of workers and other interested parties; * which of these needs and expectations are or could become compliance obligations? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **4.3** | **Determining the scope of the OH&S management system**  Has the Organization determined the boundaries and applicability of the OH&S management system to establish its scope?  When determining this scope, has the organization considered the following elements required by par. 4.3?  Elements to consider:   1. the external and internal issues referred to in 4.1; 2. requirements referred to in 4.2; 3. the planned or performed work-related activities.   Have all activities, products and services within the organization’s control or influence (that can impact the organization’s OH&S performance) included in OH&S management system? |  |
| **Documented information related to 4.3**  Does the Organization **maintain** documented information of its scope?  Is this documented information available to interested parties? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **4.4** | **OH&S management system**  Has the organization established and implemented an OH&S management system including the processes needed and their interactions, in accordance with the requirements of ISO 45001:2018?  Does the Organization maintain and continually improve it? |  |
| **5.1** | **Leadership and commitment**  Does top management demonstrate leadership and commitment with respect to OH&S management system by:   * taking overall responsibility and accountability for the prevention of work-related injury and ill health as well as the provision of safe and healthy workplaces and activities; * ensuring that the OH&S policy and related OH&S objectives are established and are compatible with the strategic direction of the organization; * ensuring the integration of the OH&S management system requirements into the organization's business processes; * ensuring that the resources needed to establish, implement, maintain and improve the OH&S management system are available; * communicating the importance of effective OH&S management and of conforming to the OH&S management system requirements; * ensuring that the OH&S management system achieves its intended outcome(s); * directing and supporting persons to contribute to the effectiveness of the OH&S management system; * ensuring and promoting continual improvement; * supporting other relevant management roles to demonstrate their leadership as it applies to their * areas of responsibility; * developing, leading and promoting a culture in the organization that supports the intended outcomes of the OH&S management system; * protecting workers from reprisals when reporting incidents, hazards, risks and opportunities; * ensuring the organization establishes and implements a process(es) for consultation and participation of workers; * supporting the establishment and functioning of health and safety committees? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **5.2** | **OH&S policy**  Has top management established, implemented an OH&S policy?  Does top management maintain it?  Is OH&S policy appropriate to the purpose, size and context of the organization and to the specific nature of its OH&S risks and OH&S opportunities?  Does OH&S policy provide a framework for setting the OH&S objectives?  Does OH&S policy include a commitment to:   * provide safe and healthy working conditions for the prevention of work-related injury and ill health; * fulfil legal requirements and other requirements; * eliminate hazards and reduce OH&S risks; * continual improvement of the OH&S management system; * consultation and participation of workers and, where they exist, worker’s representatives?   Is it   * communicated within the organization; * available to interested parties, as appropriate? |  |
| **Documented information related to 5.2**  Does the Organization **maintain** documented information of its OH&S policy? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **5.3** | **Organizational roles, responsibilities and authorities**  Does top management ensure that the responsibilities and authorities for relevant roles within the OH&S management system are assigned and communicated at all levels within the organization?  Has top management assigned the responsibility and authority for:   * ensuring that the OH&S management system conforms to the requirements of ISO45001:2018; * reporting on the performance of the OH&S management system to top management ? |  |
| **Documented information related to 5.3**  Does the Organization **maintain** documented information about responsibilities and authorities for relevant roles? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **5.4** | **Consultation and participation of workers**  Has the organization established, implemented the processes needed to grant consultation and participation of workers at all applicable levels and functions and, where they exist, worker’s representatives, in the development, planning, implementation, performance evaluation and actions for improvement of the OH&S management system?  Has the Organization:   * provided mechanism, time, training and resources necessary for consultation and participation; * provided timely access to clear, understandable and relevant information about the OH&S management system; * determined and removed obstacles or barriers to participation and minimized those that cannot be removed; * emphasized the consultation of non-managerial workers on the activities listed by 5.4 d) of the Rule; * emphasized the participation of non-managerial workers on the activities listed by 5.4 e) of the Rule? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **6.1.1** | **Actions to address risks and opportunities**  **General**  When planning for the OH&S management system, has the organization considered:   * the issues referred to in 4.1; * the requirements referred to in 4.2; * the scope of its OH&S management system?   Has the organization determined the risks and opportunities that need to be addressed to:   * give assurance that the OH&S management system can achieve its intended outcomes; * prevent, or reduce, undesired effects; * achieve continual improvement?   When determining risks and opportunities, has the organization taken into account:   * hazards as per 6.1.2.1; * OH&S risks and other risks as per 6.1.2.2; * OH&S opportunities and other opportunities as per 6.1.2.3; * legal requirements and other requirements as per 6.1.3?   When determining its planning process(es), has the organization taken into account any changes?  In the case of planned changes, permanent or temporary, has the organizations undertaken risks and opportunities assessment before the change is implemented? |  |
| **Documented information related to 6.1.1**  Does the organization **maintain** documented information on:   * risks and opportunities; * process(es) and actions needed to determine and address its risks and opportunities (see clause 6.1.2 to 6.1.4) to the extent necessary to have confidence that they are carried out as planned? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **6.1.2.1** | **Hazard identification**  Has the organization established, implemented and maintained a process(es) for ongoing and proactive hazard identification, taking into account at least:   * how work is organized; * social factors (including workload, work hours, victimization, harassment and bullying); * leadership and the culture in the organization; * routine and non-routine activities and situations (taking into account hazards generated by factors listed from 1) to 4) by the Rule); * past relevant incidents, internal or external to the organization, including emergencies and their causes; * potential emergency situations; * people (including considerations listed from 1) to 3) by the Rule); * other issues (including considerations listed from 1) to 3) by the Rule; * actual or proposed changes in organization, operations, processes, activities and the OH&S management system (see 8.1.3); * changes in knowledge of, and information about, hazards? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **6.1.2.2** | **Assessment of OH&S risks and other risks to the OH&S management system**  Has the organization established, implemented and maintained a process(es) to:   * assess OH&S risks from the identified hazards, while taking into account the effectiveness of existing controls; * determine and assess the other risks related to the establishment, implementation, operation and maintenance of the OH&S management system?   Has the organization defined methodology(ies) and criteria for the assessment of OH&S risks with respect to their scope, nature and timing to ensure they are proactive rather than reactive and used in a systematic way? |  |
|  | **Documented information related to 6.1.2.2**  Does the Organization **maintain** and **retain** documented information on methodology(ies) and criteria? |  |
|  | **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **6.1.2.3** | **Assessment of OH&S opportunities and other opportunities for the OH&S management system**  Has the organization established, implemented and maintained a process(es) to assess:   * OH&S opportunities to enhance OH&S performance, while taking into account planned changes to the organization, its policies, its processes or its activities; * opportunities to adapt work, work organization and work environment to workers; * opportunities to eliminate hazards and reduce OH&S risks; * other opportunities for improving the OH&S management system? |  |
|  | **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **6.1.3** | **Determination of legal requirements and other requirements**  Has the organization established, implemented and maintained a process(es) to:   * determine and have access to up-to-date legal requirements and other requirements that are applicable to its hazards, OH&S risks and OH&S management system; * determine how these legal requirements and other requirements apply to the organization; * determine what needs to be communicated; * take these legal requirements and other requirements into account when establishing, implementing, maintaining and continually improving its OH&S management system? |  |
| **Documented information related to 6.1.3**  Does the organization **maintain** and **retain** documented information on its legal requirements and other requirements in order to ensure that it is updated and reflects any changes? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **6.1.4** | **Planning action**  Has the Organization planned to take actions in order to:   * address these risks and opportunities (see 6.1.2.2 and 6.1.2.3); * address legal requirements and other requirements (see 6.1.3); * prepare for and response to emergency situations (see 8.2)?   Has the Organization planned how to:   * integrate and implement the actions into its OH&S management system processes or other business processes; * evaluate the effectiveness of these actions?   When planning its actions, has the organization taken into account the hierarchy of controls (see 8.1.2) and outputs from the OH&S management system?  When planning its actions, has the organization considered best practices, technological options and financial, operational and business requirements? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **6.2.1** | **OH&S objectives**  Has the organization established OH&S objectives at relevant functions and levels in order to maintain and continually improve the OH&S management system and OH&S performance?  Has the organization ensured that OH&S objectives:   * are consistent with OH&S policy; * are measurable (if practicable) or capable of performance evaluation; * take into account applicable requirements, the results of the assessment of risks and opportunities (see 6.1.2.2 and 6.1.2.3) and the results of consultation with workers (see 5.4) and, where they exist, worker’s representatives; * are monitored; * are communicated; * are updated as appropriate? |  |
| **Documented information related to 6.2.1**  Does the organization **maintain** and **retain** documented information on the OH&S objectives and plans to achieve them? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **6.2.2** | **Planning to achieve OH&S objectives**  When planning how to achieve its OH&S objectives, has the organization determined:   * what will be done; * what resources will be required; * who will be responsible; * when it will be completed; * how the results will be evaluated, including indicators for monitoring; * how the actions to achieve OH&S objectives will be integrated into the organization’s business processes? |  |
| **Documented information related to 6.2.2**  Does the organization **maintain** and **retain** documented information on the OH&S objectives and plans to achieve them? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **7.1** | **Resources**  Has the organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&S management system? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **7.2** | **Competence**  Has the organization:   1. determined the necessary competence of workers that affects or can affect its OH&S performance; 2. ensured that these workers are competent on the basis of appropriate education, training or experience; 3. where applicable, taken actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken? |  |
| **Documented information related to 7.2**  Does the organization **retain** appropriate documented information as evidence of competence? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **7.3** | **Awareness**  Does the organization ensure that persons doing work under the organization's control are aware of:   1. the OH&S policy and OH&S objectives; 2. their contribution to the effectiveness of the OH&S management system, including the benefits of improved OH&S performance; 3. the implications and potential consequences of not conforming to the OH&S management system requirements; 4. incidents and the outcomes of investigations that are relevant to them; 5. hazards, OH&S risks and actions determined that are relevant to them; 6. the ability to remove themselves from work situations that they consider present an imminent and serious danger to their life or health, as well as the arrangements for protecting them from undue consequences for doing so? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **7.4.1** | **Communication - General**  Has the organization established, implemented and maintained the processes needed for internal and external communications relevant to the OH&S management system, including:   1. on what it will communicate; 2. when to communicate; 3. with whom to communicate (internally among the various levels and functions, among contractors and visitors to workplace, among other interested parties); 4. how to communicate?   When establishing its communication process(es), has the organization:   * taken into account its legal and other requirements; * ensured that OH&S information communicated is consistent with information generated within the OH&S management system, and is reliable; * taken into account diversity aspects (e.g. gender, language, culture, literacy, disability) when considering its communication process(es); * ensured that the views of external interested parties are considered in establishing its communication process(es)?   Does the organization respond to relevant communications on its OH&S management system? |  |
| **Documented information related to 7.4.1**  Does the organization **retain** documented information as evidence of its communications, as appropriate? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **7.4.2** | **Internal communication**  Does the organization   1. internally communicate information relevant to the OH&S management system, among the various levels and functions of the organization, including changes to the OH&S management system, as appropriate; 2. ensure its communication process(es) enable (s) workers to contribute to continual improvement? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **7.4.3** | **External communication**  Does the organization externally communicate information relevant to the OH&S management system,   * as established by the organization's communication process(es)? * taking into account its legal requirements and other requirements? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **7.5** | **Documented information**  Does the organization's OH&S management system include:   1. documented information required by ISO 45001:2018; 2. documented information as being necessary for the effectiveness of the OH&S managements system?   Is the organization’s documented information created, updated and controlled as per clause 7.5.2 and 7.5.3? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **8.1.1** | **Operational planning and control**  **General**  Has the organization planned and implemented the processes needed   * to meet OH&S management system requirements, and * to implement the actions determined in Clause 6?   Does the organization control and maintain these processes?  Has the organization   * established criteria for the process(es); * implemented control of the process(es), in accordance with the criteria; * adapted work to workers?   At multi-employer workplaces, has the organization coordinated the relevant parts of the OH&S management system with the other organizations? |  |
| **Documented information related to 8.1**  Does the organization **maintain** and **retain** documented information to the extent necessary to have confidence that the process(es) has (have) been carried out as planned? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **8.1.2** | **Operational planning and control**  **Eliminating hazards and reducing OH&S risks**  Has the organization established, implemented and maintained the process(es) for the elimination of hazards and reduction of OH&S risks using the hierarchy of controls as defined by Clause 8.1.2? |  |
|  | **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **8.1.3** | **Operational planning and control**  **Management of change**  Has the organization established the process(es) for the implementation and control of planned temporary and permanent changes, as defined by Clause 8.1.3, that impact OH&S performance?  Has the organization reviewed the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary? |  |
|  | **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **8.1.4** | **Operational planning and control**  **Procurement**  Has the organization established, implemented and maintained a process(es) to control the procurement of products and services in order to ensure their conformity to its OH&S management system?  Has the organization coordinated its procurement process(es) with its contractors in order to identify hazards and to assess and control the OH&S risks arising from:   * the contractor’s activities and operations that impact the organization; * the organization’s activities and operations that impact the contractor’s workers; * the contractor’s activities and operations that impact other interested parties in the workplace?   Has the organization ensured that the requirements of its OH&S management system are met by contractors and their workers?  Has the organization defined occupational health and safety criteria for the selection of contractors? Are these criteria correctly applied?  Does the organization control any outsourced functions and processes?  Has the organization defined the type and the degree of control within the OH&S management system?  Are the outsourcing arrangements consistent with legal requirements and other requirements and with achieving the intended outcomes of the OH&S management system? |  |
|  | **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |
| **8.2** | **Emergency preparedness and response**  Has the organization established, implemented and maintained the process(es) needed to prepare for and respond to potential emergency situations identified in 6.1.2.1?  Has the organization:   * established a planned response to emergency situations, including the provision of first aid; * provided training for the planned response capability; * periodically tested the planned response capability; * evaluated performance and, as necessary, revised the planned response, including after testing and, in particular, after the occurrence of emergency situations; * communicated and provided relevant information to all workers on their duties and responsibilities; * communicated relevant information to contractors, visitors, emergency response services, government authorities and, as appropriate, the local community; * taken into account the needs and capabilities of all relevant interested parties and ensured their involvement, as appropriate, in the development of the planned response? |  |
| **Documented information related to 8.2**  Does the organization **maintain** and **retain** documented information on the process(es) and on the plans for responding to potential emergency situations? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **9.1.1** | **Monitoring, measurement, analysis and evaluation – General**  Does the organization monitor, measure, analyse and evaluate its performance?  Has the organization determined:   1. what needs to be monitored and measured (including what listed by clause 1) to clause 4); 2. the methods for monitoring, measurement, analysis and performance evaluation, as applicable, to ensure valid results; 3. the criteria against which the organization will evaluate its OH&S performance; 4. when the monitoring and measuring shall be performed; 5. when the results from monitoring and measurement shall be analysed, evaluated and communicated?   Does the organization ensure that monitoring and measurement equipment is calibrated or verified, used and maintained as appropriate?  Does the organization evaluate its OH&S performance and the effectiveness of the OH&S management system? |  |
| **Documented information related to 9.1.1**  Does the organization **retain** appropriate documented information:  a) as evidence of the result of monitoring, measurement, analysis and performance evaluation;  b) on the maintenance, calibration or verification of measuring equipment? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **9.1.2** | **Evaluation of compliance**  Has the organization established, implemented and maintained the processes needed to evaluate fulfilment of its legal and other requirements?  Has the organization:   1. determined the frequency and methods for the evaluation of compliance; 2. evaluated compliance and taken action if needed; 3. maintained knowledge and understanding of its compliance status with legal requirements and other requirements? |  |
| **Documented information related to 9.1.2**  Does the organization **retain** documented information as evidence of the compliance evaluation result(s)? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **9.2** | **Internal audit**  Does the organization conduct internal audits at planned intervals?  Do internal audits provide information on whether OH&S management system:   1. conforms to the organization's own requirements for its OH&S management system, including the OH&S policy and OH&S objectives; 2. conforms to ISO 45001:2018 requirements; 3. is effectively implemented and maintained?   Has the organization planned, established, implemented and maintained an internal audit programme(s)?  Does internal audit programme(s) include the frequency, methods, responsibilities, consultation, planning requirements and reporting of its internal audits?  When internal audit programme has been established, has the organization taken into consideration the importance of the processes concerned and the results of previous audits?  Has the organisation:   * defined the audit criteria and scope for each audit; * selected auditors and conducted audits to ensure objectivity and the impartiality of the audit process; * ensured that the results of the audits are reported to relevant management; * ensured that the results of the audits are reported to workers and, where exist, worker’s representative, and other relevant interested parties; * taken action to address nonconformities and continually improve its OH&S performance? |  |
| **Documented information related to 9.2**  Does the organization **retain** documented information as evidence of the implementation of the audit programme and the audit results? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **9.3** | **Management review**  Does top management review the organization's OH&S management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness?  Does the management review include consideration of:   1. the status of actions from previous management reviews; 2. changes in external and internal issues that are relevant to the OH&S management system, including: 3. the needs and expectation of interested parties, including compliance obligations; 4. legal requirements and other requirements; 5. risks and opportunities;   c) the extent to which the OH&S policy and the OH&S objectives have been met;  d) information on the OH&S performance, including trends in:   1. incidents, nonconformities, corrective actions and continual improvement; 2. monitoring and measurement results; 3. result of evaluation of compliance with legal requirements and other requirements; 4. audit results; 5. consultation and participation of workers; 6. risks and opportunities;   e) adequacy of resources for maintaining an effective OH&S management system;  f) relevant communication(s) with interested parties;  g) opportunities for continual improvement?  Do the outputs of the management review include decision related to:   * the continuing suitability, adequacy and effectiveness of the OH&S management system in achieving its intended outcomes; * continual improvement opportunities; * any need for changes to the OH&S management system; * resources needed; * actions, if needed; * opportunities to improve integration of the OH&S management system with other business processes; * any implications for the strategic direction of the organization?   Has the Top Management communicated the relevant outputs of management reviews to workers, and, where they exist, worker’s representatives? |  |
| **Documented information related to 9.3**  Does the organization **retain** documented information as evidence of the results of management reviews? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **10.1**  **10.2** | **Improvement**  **General. Incident, nonconformity and corrective action.**  Has organization determined opportunities for improvement (see Clause 9) and implemented necessary actions to achieve the intended outcomes of its OH&S management system?  Does the organization react to the incident or nonconformity and, as applicable:   * 1. take action to control and correct it;   2. deal with the consequences?   Does the organization evaluate the need for corrective action to eliminate the root cause(s) of the incident or nonconformity, in order that it does not recur or occur elsewhere, by:   1. investigating the incident or reviewing the nonconformity; 2. determining the causes(s) of the incident or nonconformity; 3. determining if similar incidents have occurred, if nonconformity exist, or if they could potentially occur; 4. involving workers (see 5.4) and other relevant interested parties?   Does the organization:   1. review existing assessment of OH&S risks and other risks, as appropriate; 2. determine and implement any action needed, including corrective action, in accordance with the hierarchy of controls (see 8.1.2) and the management of change (see 8.1.3); 3. assess OH&S risks that are relate to new or changed hazards, prior to taking action; 4. review the effectiveness of any action taken, including corrective action; 5. make changes to the OH&S management system, if necessary?   Are corrective actions appropriated to the effects or potential effects of the incidents or nonconformity encountered? |  |
| **Documented information related to 10.1 and 10.2**  Does the organization **retain** documented information as evidence of:   * the nature of the incidents or nonconformities and any subsequent actions taken; * the results of any action and corrective action, including their effectiveness?   Does the organization communicate documented information to relevant workers and, where they exist, worker’s representatives and other relevant interested parties? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)**  **REF. OF MANDATORY DOCUMENTED INFORMATION:** |  |
| **10.3** | **Continual improvement**  Does the organization continually improve the suitability, adequacy and effectiveness of the OH&S management system by:   * enhancing OH&S performance; * promoting a culture that supports an OH&S management system; * promoting the participation of workers in implementing actions for the continual improvement of the OH&S management system; * communicating the relevant results of continual improvement to workers and, where they exist, worker’s representatives; * maintaining and retaining documented information as evidence of continual improvement? |  |
| **EVIDENCES (Assessed activities, Contacted people and their position, findings etc ….)** |  |