

AUDIT CHECKLISTS

Clause number	ISO 9001:2015 Quality Management Systems- Requirements	Standard's compliance requirements	Auditor's Notes
		Please note that because of the nature of the business the organisation needs to also comply with certain legal requirements, e.g. WHS Act 2011 and updated WHS Regulation 2014, Applicable State & Federal legislation.	Auditors should make adequate notes to be able to quote the objective evidence observed to conclude a non-conformance (NC) and retain these notes until the close-out of the NC.
4.1	Understanding the organization & context The organization shall determine external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its quality management system. The organization shall monitor and review information about these external and internal issues. NOTE 1 Issues can include positive and negative factors or conditions for consideration. NOTE 2 Understanding the external context can be facilitated by considering issues arising from legal, technological, competitive, market, cultural, social and economic environments, whether international, national, regional or local. NOTE 3 Understanding the internal context can be facilitated by considering issues related to values, culture, knowledge and performance of the organization.		
4.2	Needs & expectations of interested parties Due to their effect or potential effect on the organization's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, the organization shall determine: a) the interested parties that are relevant to the quality management system; b) the requirements of these interested parties that are relevant to the quality management system. The organization shall monitor and review information about these interested parties and their relevant requirements.		
4.3	Determining the scope of the QMS The organization shall determine the boundaries and applicability of the quality management system to establish its scope. When determining this scope, the organization shall consider: a) the external and internal issues referred to in 4.1; b) the requirements of relevant interested parties referred to in 4.2; c) the products and services of the organization. The organization shall apply all the requirements of this International Standard if they are applicable within the determined scope of its quality management system. The scope of the organization's quality management system shall be available and be maintained as documented information. The scope shall state the types of products and services covered, and provide		

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	<p>justification for any requirement of this International Standard that the organization determines is not applicable to the scope of its quality management system. Conformity to this International Standard may only be claimed if the requirements determined as not being applicable do not affect the organization's ability or responsibility to ensure the conformity of its products and services and the enhancement of customer satisfaction.</p>		
<p>4.4</p>	<p>QMS & its processes 4.4.1 The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard. The organization shall determine the processes needed for the quality management system and their application throughout the organization, and shall: a) determine the inputs required and the outputs expected from these processes; b) determine the sequence and interaction of these processes; c) determine and apply the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes; d) determine the resources needed for these processes and ensure their availability; e) assign the responsibilities and authorities for these processes; f) address the risks and opportunities as determined in accordance with the requirements of 6.1; g) evaluate these processes and implement any changes needed to ensure that these processes achieve their intended results; h) improve the processes and the quality management system. 4.4.2 To the extent necessary, the organization shall: a) maintain documented information to support the operation of its processes; b) retain documented information to have confidence that the processes are being carried out as planned.</p>		
<p>5.1</p>	<p>Leadership & Commitment 5.1.1 General Top management shall demonstrate leadership and commitment with respect to the quality management system by: a) taking accountability for the effectiveness of the quality management system;</p>		

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	<p>b) ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the context and strategic direction of the organization;</p> <p>c) ensuring the integration of the quality management system requirements into the organization's business processes;</p> <p>d) promoting the use of the process approach and risk-based thinking;</p> <p>e) ensuring that the resources needed for the quality management system are available;</p> <p>f) communicating the importance of effective quality management and of conforming to the quality management system requirements;</p> <p>g) ensuring that the quality management system achieves its intended results;</p> <p>h) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;</p> <p>i) promoting improvement;</p> <p>j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.</p> <p>NOTE Reference to "business" in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence, whether the organization is public, private, for profit or not for profit.</p> <p>5.1.2 Customer focus Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that:</p> <p>a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met;</p> <p>b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed;</p> <p>c) the focus on enhancing customer satisfaction is maintained.</p>		
5.2	<p>Policy (establishing & communicating)</p> <p>5.2 Policy</p> <p>5.2.1 Establishing the quality policy</p> <p>Top management shall establish, implement and maintain a quality policy that:</p>		

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	<p>a) is appropriate to the purpose and context of the organization and supports its strategic direction; b) provides a framework for setting quality objectives; c) includes a commitment to satisfy applicable requirements; d) includes a commitment to continual improvement of the quality management system. 5.2.2 Communicating the quality policy The quality policy shall: a) be available and be maintained as documented information; b) be communicated, understood and applied within the organization; c) be available to relevant interested parties, as appropriate.</p>		
5.3	<p>Organizational roles & responsibilities Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization. Top management shall assign the responsibility and authority for: a) ensuring that the quality management system conforms to the requirements of this International Standard; b) ensuring that the processes are delivering their intended outputs; c) reporting on the performance of the quality management system and on opportunities for improvement (see 10.1), in particular to top management; d) ensuring the promotion of customer focus throughout the organization; e) ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.</p>		
6.1	<p>Actions to address risks & opportunities 6.1.1 When planning for the quality management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to: a) give assurance that the quality management system can achieve its intended result(s); b) enhance desirable effects; c) prevent, or reduce, undesired effects; d) achieve improvement. 6.1.2 The organization shall plan:</p>		

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	<p>a) actions to address these risks and opportunities; b) how to: 1) integrate and implement the actions into its quality management system processes (see 4.4); 2) evaluate the effectiveness of these actions.</p> <p>Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.</p> <p>NOTE 1 Options to address risks can include avoiding risk, taking risk in order to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk, or retaining risk by informed decision.</p> <p>NOTE 2 Opportunities can lead to the adoption of new practices, launching new products, opening new markets, addressing new customers, building partnerships, using new technology and other desirable and viable possibilities to address the organization's or its customers' needs.</p>	<p><i>Please note that because of the nature of the business the organisation needs to also comply with certain legal requirements, e.g. WHS Act 2011 and updated WHS Regulation 2014, Applicable State & Federal legislation.</i></p>	<p><i>Auditors should make adequate notes to be able to quote the objective evidence observed to conclude a non-conformance (NC) and retain these notes until the close-out of the NC.</i></p>
6.2	<p>Quality objectives & plans to achieve them</p> <p>6.2.1 The organization shall establish quality objectives at relevant functions, levels and processes needed for the quality management system. The quality objectives shall: a) be consistent with the quality policy; b) be measurable; c) take into account applicable requirements; d) be relevant to conformity of products and services and to enhancement of customer satisfaction; e) be monitored; f) be communicated; g) be updated as appropriate. The organization shall maintain documented information on the quality objectives.</p> <p>6.2.2 When planning how to achieve its quality objectives, the organization shall determine: a) what will be done; b) what resources will be required; c) who will be responsible; d) when it will be completed;</p>		

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6.3	<p>e) how the results will be evaluated.</p> <p>6.3 Planning of changes When the organization determines the need for changes to the quality management system, the changes shall be carried out in a planned manner (see 4.4). The organization shall consider: a) the purpose of the changes and their potential consequences; b) the integrity of the quality management system; c) the availability of resources; d) the allocation or reallocation of responsibilities and authorities.</p>		
7.1	<p>7.1 Resources</p> <p>7.1.1 General The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system. The organization shall consider: a) the capabilities of, and constraints on, existing internal resources; b) what needs to be obtained from external providers.</p> <p>7.1.2 People The organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.</p> <p>7.1.3 Infrastructure The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. NOTE Infrastructure can include: a) buildings and associated utilities; b) equipment, including hardware and software; c) transportation resources; d) information and communication technology.</p> <p>7.1.4 Environment for the operation of processes</p>		

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	<p>The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.</p> <p>NOTE A suitable environment can be a combination of human and physical factors, such as:</p> <ul style="list-style-type: none"> a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise). <p>These factors can differ substantially depending on the products and services provided.</p> <p>7.1.5 Monitoring and measuring resources</p> <p>7.1.5.1 General</p> <p>The organization shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements.</p> <p>The organization shall ensure that the resources provided:</p> <ul style="list-style-type: none"> a) are suitable for the specific type of monitoring and measurement activities being undertaken; b) are maintained to ensure their continuing fitness for their purpose. <p>The organization shall retain appropriate documented information as evidence of fitness for purpose of the monitoring and measurement resources.</p> <p>7.1.5.2 Measurement traceability</p> <p>When measurement traceability is a requirement, or is considered by the organization to be an essential part of providing confidence in the validity of measurement results, measuring equipment shall be:</p> <ul style="list-style-type: none"> a) calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information; b) identified in order to determine their status; c) safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results. <p>The organization shall determine if the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and shall take appropriate action as necessary.</p> <p>7.1.6 Organizational knowledge</p>	<p><i>Please note that because of the nature of the business the organisation needs to also comply with certain legal requirements, e.g. WHS Act 2011 and updated WHS Regulation 2014, Applicable State & Federal legislation.</i></p>	<p><i>Auditors should make adequate notes to be able to quote the objective evidence observed to conclude a non-conformance (NC) and retain these notes until the close-out of the NC.</i></p>

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	<p>The organization shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services. This knowledge shall be maintained and be made available to the extent necessary. When addressing changing needs and trends, the organization shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates. NOTE 1 Organizational knowledge is knowledge specific to the organization; it is generally gained by experience. It is information that is used and shared to achieve the organization's objectives. NOTE 2 Organizational knowledge can be based on: a) internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and sharing undocumented knowledge and experience; the results of improvements in processes, products and services); b) external sources (e.g. standards; academia; conferences; gathering knowledge from customers or external providers).</p>		
7.2	<p>Competence The organization shall: a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system; b) ensure that these persons are competent on the basis of appropriate education, training, or experience; c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; d) retain appropriate documented information as evidence of competence. NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.</p>		
7.3	<p>Awareness The organization shall ensure that persons doing work under the organization's control are aware of: a) the quality policy; b) relevant quality objectives; c) their contribution to the effectiveness of the quality management system, including the benefits of improved performance;</p>		

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7.4	<p>Communication The organization shall determine the internal and external communications relevant to the quality management system, including:</p> <ul style="list-style-type: none"> a) on what it will communicate; b) when to communicate; c) with whom to communicate; d) how to communicate; e) who communicates. 	<p>d) the implications of not conforming with the quality management system requirements.</p>	
7.5	<p>Documented information 7.5.1 General The organization's quality management system shall include:</p> <ul style="list-style-type: none"> a) documented information required by this International Standard; b) documented information determined by the organization as being necessary for the effectiveness of the quality management system. <p>NOTE The extent of documented information for a quality management system can differ from one organization to another due to:</p> <ul style="list-style-type: none"> — the size of organization and its type of activities, processes, products and services; — the complexity of processes and their interactions; — the competence of persons. <p>7.5.2 Creating and updating When creating and updating documented information, the organization shall ensure appropriate:</p> <ul style="list-style-type: none"> a) identification and description (e.g. a title, date, author, or reference number); b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic); c) review and approval for suitability and adequacy. <p>7.5.3 Control of documented information 7.5.3.1 Documented information required by the quality management system and by this International Standard shall be controlled to ensure:</p> <ul style="list-style-type: none"> a) it is available and suitable for use, where and when it is needed; 		

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	<p>b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity). 7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable: a) distribution, access, retrieval and use; b) storage and preservation, including preservation of legibility; c) control of changes (e.g. version control); d) retention and disposition. Documented information of external origin determined by the organization to be necessary for the planning and operation of the quality management system shall be identified as appropriate, and be controlled. Documented information retained as evidence of conformity shall be protected from unintended alterations. NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.</p>		
8.1	<p>Operational planning & control The organization shall plan, implement and control the processes (see 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6, by: a) determining the requirements for the products and services; b) establishing criteria for: 1) the processes; 2) the acceptance of products and services; c) determining the resources needed to achieve conformity to the product and service requirements; d) implementing control of the processes in accordance with the criteria; e) determining, maintaining and retaining documented information to the extent necessary: 1) to have confidence that the processes have been carried out as planned; 2) to demonstrate the conformity of products and services to their requirements. The output of this planning shall be suitable for the organization's operations. The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.</p>		

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8.2	<p>Requirements for products & services</p> <p>8.2.1 Customer communication Communication with customers shall include:</p> <ul style="list-style-type: none"> a) providing information relating to products and services; b) handling enquiries, contracts or orders, including changes; c) obtaining customer feedback relating to products and services, including customer complaints; d) handling or controlling customer property; e) establishing specific requirements for contingency actions, when relevant. <p>8.2.2 Determining the requirements for products and services When determining the requirements for the products and services to be offered to customers, the organization shall ensure that:</p> <ul style="list-style-type: none"> a) the requirements for the products and services are defined, including: <ul style="list-style-type: none"> 1) any applicable statutory and regulatory requirements; 2) those considered necessary by the organization; b) the organization can meet the claims for the products and services it offers. <p>8.2.3 Review of the requirements for products and services</p> <p>8.2.3.1 The organization shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. The organization shall conduct a review before committing to supply products and services to a customer, to include:</p> <ul style="list-style-type: none"> a) requirements specified by the customer, including the requirements for delivery and post-delivery activities; b) requirements not stated by the customer, but necessary for the specified or intended use, when known; c) requirements specified by the organization; d) statutory and regulatory requirements applicable to the products and services; e) contract or order requirements differing from those previously expressed. <p>The organization shall ensure that contract or order requirements differing from those previously defined are resolved.</p>	<p>The organization shall ensure that outsourced processes are controlled (see 8.4).</p>	

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	<p>The customer's requirements shall be confirmed by the organization before acceptance, when the customer does not provide a documented statement of their requirements. NOTE In some situations, such as internet sales, a formal review is impractical for each order. Instead, the review can cover relevant product information, such as catalogues. 8.2.3.2 The organization shall retain documented information, as applicable: a) on the results of the review; b) on any new requirements for the products and services. 8.2.4 Changes to requirements for products and services The organization shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.</p>		
8.3	<p>Design & development of products & services 8.3.1 General The organization shall establish, implement and maintain a design and development process that is appropriate to ensure the subsequent provision of products and services. 8.3.2 Design and development planning In determining the stages and controls for design and development, the organization shall consider: a) the nature, duration and complexity of the design and development activities; b) the required process stages, including applicable design and development reviews; c) the required design and development verification and validation activities; d) the responsibilities and authorities involved in the design and development process; e) the internal and external resource needs for the design and development of products and services; f) the need to control interfaces between persons involved in the design and development process; g) the need for involvement of customers and users in the design and development process; h) the requirements for subsequent provision of products and services; i) the level of control expected for the design and development process by customers and other relevant interested parties; j) the documented information needed to demonstrate that design and development requirements have been met. 8.3.3 Design and development inputs</p>		

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		<p>The organization shall determine the requirements essential for the specific types of products and services to be designed and developed. The organization shall consider:</p> <ul style="list-style-type: none"> a) functional and performance requirements; b) information derived from previous similar design and development activities; c) statutory and regulatory requirements; d) standards or codes of practice that the organization has committed to implement; e) potential consequences of failure due to the nature of the products and services. <p>Inputs shall be adequate for design and development purposes, complete and unambiguous. Conflicting design and development inputs shall be resolved.</p> <p>The organization shall retain documented information on design and development inputs.</p> <p>8.3.4 Design and development controls</p> <p>The organization shall apply controls to the design and development process to ensure that:</p> <ul style="list-style-type: none"> a) the results to be achieved are defined; b) reviews are conducted to evaluate the ability of the results of design and development to meet requirements; c) verification activities are conducted to ensure that the design and development outputs meet the input requirements; d) validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use; e) any necessary actions are taken on problems determined during the reviews, or verification and validation activities; f) documented information of these activities is retained. <p>NOTE Design and development reviews, verification and validation have distinct purposes. They can be conducted separately or in any combination, as is suitable for the products and services of the organization.</p> <p>8.3.5 Design and development outputs</p> <p>The organization shall ensure that design and development outputs:</p> <ul style="list-style-type: none"> a) meet the input requirements; b) are adequate for the subsequent processes for the provision of products and services; c) include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria; 	

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	<p>d) specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision. The organization shall retain documented information on design and development outputs.</p> <p>8.3.6 Design and development changes The organization shall identify, review and control changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements. The organization shall retain documented information on:</p> <ul style="list-style-type: none"> a) design and development changes; b) the results of reviews; c) the authorization of the changes; d) the actions taken to prevent adverse impacts. 		
8.4	<p>Control of externally provided processes/prod/serv.</p> <p>8.4.1 General The organization shall ensure that externally provided processes, products and services conform to requirements. The organization shall determine the controls to be applied to externally provided processes, products and services when:</p> <ul style="list-style-type: none"> a) products and services from external providers are intended for incorporation into the organization's own products and services; b) products and services are provided directly to the customer(s) by external providers on behalf of the organization; c) a process, or part of a process, is provided by an external provider as a result of a decision by the organization. <p>The organization shall determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. The organization shall retain documented information of these activities and any necessary actions arising from the evaluations.</p>		

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	8.4.2 Type and extent of control The organization shall ensure that externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers. The organization shall: a) ensure that externally provided processes remain within the control of its quality management system; b) define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output; c) take into consideration: 1) the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements; 2) the effectiveness of the controls applied by the external provider; d) determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements. 8.4.3 Information for external providers The organization shall ensure the adequacy of requirements prior to their communication to the external provider. The organization shall communicate to external providers its requirements for: a) the processes, products and services to be provided; b) the approval of: 1) products and services; 2) methods, processes and equipment; 3) the release of products and services; c) competence, including any required qualification of persons; d) the external providers' interactions with the organization; e) control and monitoring of the external providers' performance to be applied by the organization; f) verification or validation activities that the organization, or its customer, intends to perform at the external providers' premises.		
8.5	Production & service provision		

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		<p>8.5.1 Control of production and service provision The organization shall implement production and service provision under controlled conditions. Controlled conditions shall include, as applicable:</p> <ul style="list-style-type: none"> a) the availability of documented information that defines: <ul style="list-style-type: none"> 1) the characteristics of the products to be produced, the services to be provided, or the activities to be performed; 2) the results to be achieved; b) the availability and use of suitable monitoring and measuring resources; c) the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met; d) the use of suitable infrastructure and environment for the operation of processes; e) the appointment of competent persons, including any required qualification; f) the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement; g) the implementation of actions to prevent human error; h) the implementation of release, delivery and post-delivery activities. <p>8.5.2 Identification and traceability The organization shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services. The organization shall identify the status of outputs with respect to monitoring and measurement requirements throughout production and service provision. The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability.</p> <p>8.5.3 Property belonging to customers or external providers The organization shall exercise care with property belonging to customers or external providers while it is under the organization's control or being used by the organization. The organization shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services.</p>	

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	<p>When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider and retain documented information on what has occurred.</p> <p>NOTE A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property and personal data.</p> <p>8.5.4 Preservation</p> <p>The organization shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.</p> <p>NOTE Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.</p> <p>8.5.5 Post-delivery activities</p> <p>The organization shall meet requirements for post-delivery activities associated with the products and services. In determining the extent of post-delivery activities that are required, the organization shall consider:</p> <ul style="list-style-type: none"> a) statutory and regulatory requirements; b) the potential undesired consequences associated with its products and services; c) the nature, use and intended lifetime of its products and services; d) customer requirements; e) customer feedback. <p>NOTE Post-delivery activities can include actions under warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.</p> <p>8.5.6 Control of changes</p> <p>The organization shall review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements.</p> <p>The organization shall retain documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review.</p>		
8.6	<p>Release of products & services</p> <p>8.6 Release of products and services</p> <p>The organization shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met.</p>		

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		<p><i>Please note that because of the nature of the business the organisation needs to also comply with certain legal requirements, e.g. WHS Act 2011 and updated WHS Regulation 2014, Applicable State & Federal legislation.</i></p>	<p><i>Auditors should make adequate notes to be able to quote the objective evidence observed to conclude a non-conformance (NC) and retain these notes until the close-out of the NC.</i></p>
	<p>The release of products and services to the customer shall not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer.</p> <p>The organization shall retain documented information on the release of products and services. The documented information shall include:</p> <ul style="list-style-type: none"> a) evidence of conformity with the acceptance criteria; b) traceability to the person(s) authorizing the release. 		
8.7	<p>Control of non-conforming outputs</p> <p>8.7.1 The organization shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.</p> <p>The organization shall take appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This shall also apply to nonconforming products and services detected after delivery of products, during or after the provision of services.</p> <p>The organization shall deal with nonconforming outputs in one or more of the following ways:</p> <ul style="list-style-type: none"> a) correction; b) segregation, containment, return or suspension of provision of products and services; c) informing the customer; d) obtaining authorization for acceptance under concession. <p>Conformity to the requirements shall be verified when nonconforming outputs are corrected.</p> <p>8.7.2 The organization shall retain documented information that:</p> <ul style="list-style-type: none"> a) describes the nonconformity; b) describes the actions taken; c) describes any concessions obtained; d) identifies the authority deciding the action in respect of the nonconformity. 		
9.1	<p>Monitoring, measurement, analysis & evaluation</p> <p>9.1.1 General</p> <p>The organization shall determine:</p> <ul style="list-style-type: none"> a) what needs to be monitored and measured; b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results; 		

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		<p><i>Please note that because of the nature of the business the organisation needs to also comply with certain legal requirements, e.g. WHS Act 2011 and updated WHS Regulation 2014, Applicable State & Federal legislation.</i></p>	<p><i>Auditors should make adequate notes to be able to quote the objective evidence observed to conclude a non-conformance (NC) and retain these notes until the close-out of the NC.</i></p>
	<p>c) when the monitoring and measuring shall be performed; d) when the results from monitoring and measurement shall be analysed and evaluated. The organization shall evaluate the performance and the effectiveness of the quality management system. The organization shall retain appropriate documented information as evidence of the results. 9.1.2 Customer satisfaction The organization shall monitor customers' perceptions of the degree to which their needs and expectations have been fulfilled. The organization shall determine the methods for obtaining, monitoring and reviewing this information. NOTE Examples of monitoring customer perceptions can include customer surveys, customer feedback on delivered products and services, meetings with customers, market-share analysis, compliments, warranty claims and dealer reports. 9.1.3 Analysis and evaluation The organization shall analyse and evaluate appropriate data and information arising from monitoring and measurement. The results of analysis shall be used to evaluate: a) conformity of products and services; b) the degree of customer satisfaction; c) the performance and effectiveness of the quality management system; d) if planning has been implemented effectively; e) the effectiveness of actions taken to address risks and opportunities; f) the performance of external providers; g) the need for improvements to the quality management system. NOTE Methods to analyse data can include statistical techniques.</p>		
9.2	<p>Internal audit 9.2.1 The organization shall conduct internal audits at planned intervals to provide information on whether the quality management system: a) conforms to: 1) the organization's own requirements for its quality management system; 2) the requirements of this International Standard;</p>		

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	<p>b) is effectively implemented and maintained.</p> <p>9.2.2 The organization shall:</p> <p>a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting the organization, and the results of previous audits;</p> <p>b) define the audit criteria and scope for each audit;</p> <p>c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;</p> <p>d) ensure that the results of the audits are reported to relevant management;</p> <p>e) take appropriate correction and corrective actions without undue delay;</p> <p>f) retain documented information as evidence of the implementation of the audit programme and the audit results.</p> <p>NOTE See ISO 19011 for guidance.</p>	<p><i>Please note that because of the nature of the business the organisation needs to also comply with certain legal requirements, e.g. WHS Act 2011 and updated WHS Regulation 2014, Applicable State & Federal legislation.</i></p>	<p><i>Auditors should make adequate notes to be able to quote the objective evidence observed to conclude a non-conformance (NC) and retain these notes until the close-out of the NC.</i></p>
9.3	<p>Management review</p> <p>9.3.1 General</p> <p>Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization.</p> <p>9.3.2 Management review inputs</p> <p>The management review shall be planned and carried out taking into consideration:</p> <p>a) the status of actions from previous management reviews;</p> <p>b) changes in external and internal issues that are relevant to the quality management system;</p> <p>c) information on the performance and effectiveness of the quality management system, including trends in:</p> <ol style="list-style-type: none"> 1) customer satisfaction and feedback from relevant interested parties; 2) the extent to which quality objectives have been met; 3) process performance and conformity of products and services; 4) nonconformities and corrective actions; 5) monitoring and measurement results; 6) audit results; 7) the performance of external providers; 		

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	<p>d) the adequacy of resources; e) the effectiveness of actions taken to address risks and opportunities (see 6.1); f) opportunities for improvement. 9.3.3 Management review outputs The outputs of the management review shall include decisions and actions related to: a) opportunities for improvement; b) any need for changes to the quality management system; c) resource needs. The organization shall retain documented information as evidence of the results of management reviews.</p>		
10.1	<p>General Improvement 10.1 General The organization shall determine and select opportunities for improvement and implement any necessary actions to meet customer requirements and enhance customer satisfaction. These shall include: a) improving products and services to meet requirements as well as to address future needs and expectations; b) correcting, preventing or reducing undesired effects; c) improving the performance and effectiveness of the quality management system. NOTE Examples of improvement can include correction, corrective action, continual improvement, breakthrough change, innovation and re-organization.</p>		
10.2	<p>Nonconformity & corrective action 10.2.1 When a nonconformity occurs, including any arising from complaints, the organization shall: a) react to the nonconformity and, as applicable: 1) take action to control and correct it; 2) deal with the consequences; b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: 1) reviewing and analysing the nonconformity; 2) determining the causes of the nonconformity; 3) determining if similar nonconformities exist, or could potentially occur;</p>		

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	<p>c) implement any action needed; d) review the effectiveness of any corrective action taken; e) update risks and opportunities determined during planning, if necessary; f) make changes to the quality management system, if necessary. Corrective actions shall be appropriate to the effects of the nonconformities encountered. 10.2.2 The organization shall retain documented information as evidence of: a) the nature of the nonconformities and any subsequent actions taken; b) the results of any corrective action.</p>		
10.3	<p>Continual improvement The organization shall continually improve the suitability, adequacy and effectiveness of the quality management system. The organization shall consider the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.</p>		

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4.1	<p>General Requirements The organization shall establish and maintain an OHSMS, in accordance with the requirements of this Clause (4).</p>		
4.2	<p>OHS policy There shall be an occupational health and safety policy authorized by the organization's top management, that clearly states overall OHS objectives and demonstrates a commitment to improving OHS performance. The policy shall—</p> <ul style="list-style-type: none"> (a) be appropriate to the nature and scale of the organization's risks; (b) include the commitment to establish measurable objectives and targets to ensure continued improvement aimed at elimination of work-related injury and illness; (c) include a commitment to comply with relevant OHS legislation and with other requirements placed upon the organization or to which the organization subscribes; (d) be documented, implemented, maintained and communicated to all employees; (e) be available to interested parties; and (f) be reviewed periodically to ensure it remains relevant and appropriate to the organization. 		
4.3.1	<p>Planning i/d of hazards, assessment, & control The organization shall establish, implement and maintain documented procedures for hazard identification, hazard/risk assessment and control of hazards/risks of activities, products and services over which an organization has control or influence, including activities, products or services of contractors and suppliers. The organization shall develop its methodology for hazard identification, hazard/risk assessment and control of hazards/risks, based on its operational experience and its commitment to eliminate workplace illness and injury. The methodology shall be kept up-to-date.</p>		
4.3.2	<p>Legal and other requirements The organization shall establish, implement and maintain procedures to identify and have access to all legal and other requirements that are directly applicable to the OHS issues related to its activities, products or services, including relevant relationships with contractors or suppliers. The organization shall keep this information up-to-date. It shall communicate relevant information on legal and other requirements to its employees.</p>		

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4.3.3	<p>Objectives and targets The organization shall establish, implement and maintain documented OHS objectives and targets, at each relevant function and level within the organization. When establishing and reviewing its objectives, an organization shall consider its legal and other requirements, its hazards and risks, its technological options, its operational and business requirements, and the views of interested parties. The objectives and targets shall be consistent with the OHS policy, including the commitment to measuring and improving OHS performance.</p>		
4.3.4	<p>OHS management plans The organization shall establish and maintain management plans for achieving its objectives and targets. They shall include— (a) designation of responsibility for achievement of objectives and targets at relevant functions and levels of the organization; and (b) outlining the means and timeframe by which objectives and targets are to be achieved. Procedures shall be established to ensure that current plans are reviewed, and if necessary amended to address such changes at regular and planned intervals, and whenever there are changes to the activities, products, or services of the organization or significant changes in operating conditions.</p>		
4.4.1.1	<p>Resources Management shall identify and provide the resources required to implement, maintain, and improve their OHSMS. Resources include human resources and specialized skills, technology and financial resources.</p>		
4.4.1.2	<p>Responsibility & accountability The organization shall define, document and communicate the areas of accountability and responsibility (including those imposed by OHS legislation) of all personnel involved in the OHSMS's operation. Where contractors are involved, these areas of accountability and responsibility shall be clarified with respect to those contractors. The organization's top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have defined roles, responsibilities and authority for— (a) ensuring that OHSMS requirements are established, implemented and maintained in accordance with this Standard; and</p>		

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	<p>(b) reporting on the performance of the OHSMS to top management for review and as a basis for improvement of the OHSMS.</p>		
<p>4.4.2</p>	<p>Training & competency The organization in consultation with employees shall identify training needs in relation to performing work activities competently, including OHS training. Procedures shall be in place to ensure that OHS competencies are developed and maintained. Personnel shall be assessed as competent, on the basis of skilled achieved through education, training or experience, to perform assigned tasks taking into account the OHS obligations, hazards and risks associated with the work activities. Procedures shall be developed for providing OHS training. These procedures shall take into account— (a) the characteristics and composition of the workforce which impact on occupational health and safety management; and (b) responsibilities, hazards and risks. The organization shall ensure that all personnel (including contractors and visitors) have undertaken training appropriate to the identified needs. Training shall be carried out by persons with appropriate knowledge, skills, and experience in OHS and training.</p>		
<p>4.4.3.1</p>	<p>Consultation There shall be documented procedures, agreed to by employees, for employee involvement and consultation in OHS issues. Information regarding the arrangements shall be made available to interested parties. Employees shall— (a) be involved in the development, implementation and review of policies and procedures for hazard identification, hazard/risk assessment and control of hazards/risks; (b) be consulted where there are any changes that affect workplace OHS; (c) select those who will represent them on OHS matters; and (d) be informed as to who is/are their employee OHS representative(s) and specified management representative(s). Those representing the employees and employer shall receive appropriate training to undertake effectively their involvement in the development, implementation and review of OHS arrangements.</p>		
<p>4.4.3.2</p>	<p>Communication</p>		

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	<p>The organization shall have procedures for ensuring that pertinent OHS information is communicated to and from employees and other interested parties.</p>		
<p>4.4.3.3</p>	<p>Reporting Appropriate procedures for relevant and timely reporting of information shall be established to ensure the OHSMS is monitored and performance improved. Reporting procedures shall be established to cover the following: (a) OHS performance reporting (including results of OHS audits and reviews). (b) Reporting of incidents and system failures. (c) Reporting on hazard identifications. (d) Reporting on hazard/risk assessment. (e) Reporting on preventive and corrective action. (f) Statutory reporting requirements.</p>		
<p>4.4.4</p>	<p>Documentation The organization shall establish, implement and maintain information, in a suitable medium such as in print or electronic form, to — (a) describe the core elements of the management system and their interaction; and (b) provide direction to related documentation.</p>		
<p>4.4.5</p>	<p>Document & data control The organization shall establish, implement and maintain procedures for controlling all relevant documents and data required by this Standard to ensure that— (a) they can be readily located; (b) they are periodically reviewed, revised as necessary and approved for adequacy by competent and responsible personnel; (c) current versions of relevant documents and data are available at all locations where operations essential to the effective functioning of the OHSMS are performed; (d) obsolete documents and data are promptly removed from all points of issue and points of use or otherwise assured against unintended use; and (e) archival documents and data retained for legal or knowledge preservation purposes or both, are suitably identified.</p>		

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	<p>Documentation and data shall be legible, dated (with dates of revision) and readily identifiable and be maintained in an orderly manner for a specified period. Procedures and responsibilities shall be established and maintained concerning the creation and modification of the various types of documents and data. The organization shall preclude the use of obsolete documents.</p>		
4.4.6.1	<p>Hazard i/d, assessment, & control-general The organization shall establish, implement and maintain documented procedures to ensure that the following are conducted— (a) hazard identification; (b) hazard/risk assessment; (c) control of hazards/risks; and then (d) evaluation of steps (a) to (c).</p>		
4.4.6.2	<p>Hazard identification The identification of hazards in the workplace shall take into account— (a) the situation or events or combination of circumstances that has the potential to give rise to injury or illness; (b) the nature of potential injury or illness relevant to the activity, product or service; and (c) past injuries, incidents and illnesses. The identification process shall also include consideration of— (i) the way work is organized, managed, carried out and any changes that occur in this; (ii) the design of workplaces, work processes, materials, plant and equipment; (iii) the fabrication, installation and commissioning and handling and disposal (of materials, workplaces, plant and equipment); (iv) the purchasing of goods and services; (v) the contracting and subcontracting of plant, equipment, services and labour including contract specification and responsibilities to and by contractors; and (vi) the inspection, maintenance, testing repair and replacement (of plant and equipment).</p>		
4.4.6.3	<p>Hazard assessment In Australia, all risks shall be assessed and have control priorities assigned, based on the established level of risk.</p>		

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	<p>In New Zealand, all hazards shall be assessed and have control priorities assigned based on the significance of hazard.</p>		
<p>4.4.6.4</p>	<p>Hazard control In Australia, all risks, identified through the assessment process as requiring control, shall be controlled through a preferred order of control methods (commonly referred to as a hierarchy), based on reasonable practicability. Elimination shall be the first control method to be considered. In New Zealand, all hazards identified as being significant through the assessment process, shall be controlled through a preferred order of control methods (commonly referred to as a hierarchy) based on reasonable practicability. Elimination shall be the first control method to be considered.</p>		
<p>4.4.6.5</p>	<p>Evaluation The processes of hazard identification, hazard/risk assessment and control of hazards/risks shall be subject to a documented evaluation of effectiveness and modified as necessary.</p>		
<p>4.4.7</p>	<p>Emergency preparedness & response All potential emergency situations shall be identified and emergency procedures documented for preventing and mitigating the associated illness and injury. The organization shall review, then revise, where necessary, its emergency preparedness and response procedures, in particular, after the occurrence of incidents or emergency situations. The organization shall periodically test such procedures. NOTE It may not be practicable to test some procedures, in which case training and efficacy should be tested by other means.</p>		
<p>4.5.1.1</p>	<p>Monitoring & measurement-general The organization shall establish, implement and maintain documented procedures to monitor and measure on a regular basis the key characteristics of its operations and activities that can cause illness and injury. The effectiveness of these measures shall be evaluated. Appropriate equipment for monitoring and measurement related to health and safety risks shall be identified, calibrated, maintained and stored as necessary. Records of this process shall be retained according to the organization's procedures. With regard to the OHSMS, the organization shall establish, implement and maintain procedures to monitor—</p>		

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	<p>(a) performance, effectiveness of relevant operational controls and conformance with the organization's objectives and targets; and (b) compliance with relevant OHS legislation.</p>		
<p>4.5.1.2</p>	<p>Health surveillance The organization shall identify those situations where employee health surveillance is required and shall implement appropriate systems. Employees shall have access to their own individual results. Where specified by legislation, the health of employees exposed to specific hazards shall be monitored and recorded.</p>		
<p>4.5.2</p>	<p>Investigation, corrective & preventive action The organization shall establish, implement and maintain procedures for— (a) investigating, responding to, and taking action to minimize any harm caused from, incidents; (b) investigating and responding to system failures; and (c) initiating and completing appropriate corrective and preventive action. The organization shall implement and record any changes in the OHSMS procedures resulting from incident investigations and corrective and preventive action.</p>		
<p>4.5.3</p>	<p>Records & records management The organization shall establish, implement and maintain procedures for the identification, maintenance and disposition of OHS records, as well as the results of audits and reviews. OHS records shall be legible, identifiable and traceable to the activity, product or service involved. OHS records shall be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times shall be established and recorded. Records shall be maintained, as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this Standard.</p>		
<p>4.5.4</p>	<p>OHS audit</p>		

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	<p>The organization shall establish, implement and maintain an audit program and procedures for periodic OHSMS audits to be carried out by a competent person, in order to—</p> <p>(a) determine whether the OHSMS—</p> <p>(i) conforms to planned arrangements for OHS management including the requirements of this Standard;</p> <p>(ii) has been properly implemented and maintained; and</p> <p>(iii) is effective in meeting the organization's policy as well as objectives and targets for continual OHS improvement; and</p> <p>(b) provide information on the results of audits to management, and employees.</p> <p>The audit program, including any schedule, shall be based on the OHS importance of the activity concerned, and the results of previous audits.</p> <p>The audit procedures shall cover the scope, frequency, methodologies and competencies, as well as the responsibilities and requirements for conducting audits and reporting results.</p>		
4.6	<p>Management review</p> <p>The organization's top management shall, at intervals that it determines, review the OHSMS, to ensure its continuing suitability, adequacy and effectiveness. The management review process shall ensure that the necessary information is collected to allow management to carry out this evaluation. This review shall be documented.</p> <p>Management shall review the continued relevance of, and change where appropriate, policy, objectives, responsibilities and other elements of the OHSMS, in the light of OHSMS audit results, changing circumstances and the commitment to continual improvement.</p>		

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		<i>Please note that because of the nature of the business the organisation needs to also comply with certain legal requirements, e.g WHS Act 2011 and updated WHS Regulation 2014, Applicable State & Federal legislation.</i>	Auditors should make adequate notes to be able to quote the objective evidence observed to conclude a non-conformance (NC) and retain these notes until the close-out of the NC.
4.1	Understanding the Organization & its context The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes of its environmental management system. Such issues shall include environmental conditions being affected by or capable of affecting the organization.		
4.2	Needs & expectations of interested parties The organization shall determine: a) the interested parties that are relevant to the environmental management system; b) the relevant needs and expectations (i.e. requirements) of these interested parties; c) which of these needs and expectations become its compliance obligations.		
4.3	Determining the scope of the EMS The organization shall determine the boundaries and applicability of the environmental management system to establish its scope. When determining this scope, the organization shall consider: a) the external and internal issues referred to in 4.1; b) the compliance obligations referred to in 4.2; c) its organizational units, functions and physical boundaries; d) its activities, products and services; e) its authority and ability to exercise control and influence Once the scope is defined, all activities, products and services of the organization within that scope need to be included in the environmental management system. The scope shall be maintained as documented information and be available to interested parties.		
4.4	Environmental Management System To achieve the intended outcomes, including enhancing its environmental performance, the organization shall establish, implement, maintain and continually improve an environmental management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard. The organization shall consider the knowledge gained in 4.1 and 4.2 when establishing and maintaining the environmental management system.		
5.1	Leadership & Commitment		

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	<p>Top management shall demonstrate leadership and commitment with respect to the environmental management system by:</p> <ul style="list-style-type: none"> a) taking accountability for the effectiveness of the environmental management system; b) ensuring that the environmental policy and environmental objectives are established and are compatible with the strategic direction and the context of the organization; c) ensuring the integration of the environmental management system requirements into the organization's business processes; d) ensuring that the resources needed for the environmental management system are available; e) communicating the importance of effective environmental management and of conforming to the environmental management system requirements; f) ensuring that the environmental management system achieves its intended outcomes; g) directing and supporting persons to contribute to the effectiveness of the environmental management system; h) promoting continual improvement; i) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility. <p>NOTE Reference to "business" in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence.</p>		
5.2	<p>Environmental Policy</p> <p>Top management shall establish, implement and maintain an environmental policy that, within the defined scope of its environmental management system:</p> <ul style="list-style-type: none"> a) is appropriate to the purpose and context of the organization, including the nature, scale and environmental impacts of its activities, products and services; b) provides a framework for setting environmental objectives; c) includes a commitment to the protection of the environment, including prevention of pollution and other specific commitment(s) relevant to the context of the organization; <p>NOTE Other specific commitment(s) to protect the environment can include sustainable resource use, climate change mitigation and adaptation, and protection of biodiversity and ecosystems.</p> <ul style="list-style-type: none"> d) includes a commitment to fulfil its compliance obligations; 		

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	<p>e) includes a commitment to continual improvement of the environmental management system to enhance environmental performance. The environmental policy shall:</p> <ul style="list-style-type: none"> — be maintained as documented information; — be communicated within the organization; — be available to interested parties. 		
<p>5.3</p>	<p>Organizational roles, responsibilities & authorities Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization. Top management shall assign the responsibility and authority for:</p> <ul style="list-style-type: none"> a) ensuring that the environmental management system conforms to the requirements of this International Standard; b) reporting on the performance of the environmental management system, including environmental performance, to top management. 		
<p>6.1</p>	<p>Actions to address risks & opportunities 6.1.1 General The organization shall establish, implement and maintain the process(es) needed to meet the requirements in 6.1.1 to 6.1.4. When planning for the environmental management system, the organization shall consider:</p> <ul style="list-style-type: none"> a) the issues referred to in 4.1; b) the requirements referred to in 4.2; c) the scope of its environmental management system; and determine the risks and opportunities, related to its environmental aspects (see 6.1.2), compliance obligations (see 6.1.3) and other issues and requirements, identified in 4.1 and 4.2, that need to be addressed to: <ul style="list-style-type: none"> — give assurance that the environmental management system can achieve its intended outcomes; — prevent or reduce undesired effects, including the potential for external environmental conditions to affect the organization; — achieve continual improvement. 		

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	<p>Within the scope of the environmental management system, the organization shall determine potential emergency situations, including those that can have an environmental impact.</p> <p>The organization shall maintain documented information of its:</p> <ul style="list-style-type: none"> — risks and opportunities that need to be addressed; — process(es) needed in 6.1.1 to 6.1.4, to the extent necessary to have confidence they are carried out as planned. <p>6.1.2 Environmental aspects</p> <p>Within the defined scope of the environmental management system, the organization shall determine the environmental aspects of its activities, products and services that it can control and those that it can influence, and their associated environmental impacts, considering a life cycle perspective.</p> <p>When determining environmental aspects, the organization shall take into account:</p> <ul style="list-style-type: none"> a) change, including planned or new developments, and new or modified activities, products and services; b) abnormal conditions and reasonably foreseeable emergency situations. <p>The organization shall determine those aspects that have or can have a significant environmental impact, i.e. significant environmental aspects, by using established criteria.</p> <p>The organization shall communicate its significant environmental aspects among the various levels and functions of the organization, as appropriate.</p> <p>The organization shall maintain documented information of its:</p> <ul style="list-style-type: none"> — environmental aspects and associated environmental impacts; — criteria used to determine its significant environmental aspects; — significant environmental aspects. <p>NOTE Significant environmental aspects can result in risks and opportunities associated with either adverse environmental impacts (threats) or beneficial environmental impacts (opportunities).</p> <p>6.1.3 Compliance obligations</p> <p>The organization shall:</p> <ul style="list-style-type: none"> a) determine and have access to the compliance obligations related to its environmental aspects; b) determine how these compliance obligations apply to the organization; c) take these compliance obligations into account when establishing, implementing, maintaining and continually improving its environmental management system. 		

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	<p>The organization shall maintain documented information of its compliance obligations. NOTE Compliance obligations can result in risks and opportunities to the organization.</p> <p>6.1.4 Planning action The organization shall plan:</p> <p>a) to take actions to address its:</p> <ol style="list-style-type: none"> 1) significant environmental aspects; 2) compliance obligations; 3) risks and opportunities identified in 6.1.1; <p>b) how to:</p> <ol style="list-style-type: none"> 1) integrate and implement the actions into its environmental management system processes (see 6.2, Clause 7, Clause 8 and 9.1), or other business processes; 2) evaluate the effectiveness of these actions (see 9.1). <p>When planning these actions, the organization shall consider its technological options and its financial, operational and business requirements.</p>		
6.2	<p>Environmental objectives & plans for achievement</p> <p>6.2.1 Environmental objectives The organization shall establish environmental objectives at relevant functions and levels, taking into account the organization's significant environmental aspects and associated compliance obligations, and considering its risks and opportunities. The environmental objectives shall be:</p> <ol style="list-style-type: none"> a) consistent with the environmental policy; b) measurable (if practicable); c) monitored; d) communicated; e) updated as appropriate. <p>The organization shall maintain documented information on the environmental objectives.</p> <p>6.2.2 Planning actions to achieve environmental objectives When planning how to achieve its environmental objectives, the organization shall determine:</p> <ol style="list-style-type: none"> a) what will be done; 		

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	<p>b) what resources will be required; c) who will be responsible; d) when it will be completed; e) how the results will be evaluated, including indicators for monitoring progress toward achievement of its measurable environmental objectives (see 9.1.1). The organization shall consider how actions to achieve its environmental objectives can be integrated into the organization's business processes.</p>		
7.1	<p>Resources The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the environmental management system.</p>		
7.2	<p>Competence The organization shall: a) determine the necessary competence of person(s) doing work under its control that affects its environmental performance and its ability to fulfil its compliance obligations; b) ensure that these persons are competent on the basis of appropriate education, training or experience; c) determine training needs associated with its environmental aspects and its environmental management system; d) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken. NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons. The organization shall retain appropriate documented information as evidence of competence.</p>		
7.3	<p>Awareness The organization shall ensure that persons doing work under the organization's control are aware of: a) the environmental policy; b) the significant environmental aspects and related actual or potential environmental impacts associated with their work; c) their contribution to the effectiveness of the environmental management system, including the benefits of enhanced environmental performance;</p>		

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	<p>d) the implications of not conforming with the environmental management system requirements, including not fulfilling the organization's compliance obligations.</p>		
<p>7.4</p>	<p>Communication 7.4.1 General The organization shall establish, implement and maintain the process(es) needed for internal and external communications relevant to the environmental management system, including: a) on what it will communicate; b) when to communicate; c) with whom to communicate; d) how to communicate. When establishing its communication process(es), the organization shall: — take into account its compliance obligations; — ensure that environmental information communicated is consistent with information generated within the environmental management system, and is reliable. The organization shall respond to relevant communications on its environmental management system. The organization shall retain documented information as evidence of its communications, as appropriate. 7.4.2 Internal communication The organization shall: a) internally communicate information relevant to the environmental management system among the various levels and functions of the organization, including changes to the environmental management system, as appropriate; b) ensure its communication process(es) enable(s) persons doing work under the organization's control to contribute to continual improvement. 7.4.3 External communication The organization shall externally communicate information relevant to the environmental management system, as established by the organization's communication process(es) and as required by its compliance obligations.</p>		
<p>7.5</p>	<p>Documented information 7.5.1 General The organization's environmental management system shall include:</p>		

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	<p>a) documented information required by this International Standard; b) documented information determined by the organization as being necessary for the effectiveness of the environmental management system. NOTE The extent of documented information for an environmental management system can differ from one organization to another due to:</p> <ul style="list-style-type: none"> — the size of organization and its type of activities, processes, products and services; — the need to demonstrate fulfilment of its compliance obligations; — the complexity of processes and their interactions; — the competence of persons doing work under the organization's control. <p>7.5.2 Creating and updating When creating and updating documented information, the organization shall ensure appropriate:</p> <ul style="list-style-type: none"> a) identification and description (e.g. a title, date, author, or reference number); b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic); c) review and approval for suitability and adequacy. <p>7.5.3 Control of documented information Documented information required by the environmental management system and by this International Standard shall be controlled to ensure:</p> <ul style="list-style-type: none"> a) it is available and suitable for use, where and when it is needed; b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity). <p>For the control of documented information, the organization shall address the following activities as applicable:</p> <ul style="list-style-type: none"> — distribution, access, retrieval and use; — storage and preservation, including preservation of legibility; — control of changes (e.g. version control); — retention and disposition. <p>Documented information of external origin determined by the organization to be necessary for the planning and operation of the environmental management system shall be identified, as appropriate, and controlled. NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.</p>		
8.1	Operational planning& control		

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	<p>8.1 Operational planning and control</p> <p>The organization shall establish, implement, control and maintain the processes needed to meet environmental management system requirements, and to implement the actions identified in 6.1 and 6.2, by:</p> <ul style="list-style-type: none"> – establishing operating criteria for the process(es); – implementing control of the process(es), in accordance with the operating criteria. <p>NOTE Controls can include engineering controls and procedures. Controls can be implemented following a hierarchy (e.g. elimination, substitution, administrative) and can be used individually or in combination.</p> <p>The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.</p> <p>The organization shall ensure that outsourced processes are controlled or influenced. The type and extent of control or influence to be applied to the process(es) shall be defined within the environmental management system.</p> <p>Consistent with a life cycle perspective, the organization shall:</p> <ol style="list-style-type: none"> a) establish controls, as appropriate, to ensure that its environmental requirement(s) is (are) addressed in the design and development process for the product or service, considering each life cycle stage; b) determine its environmental requirement(s) for the procurement of products and services, as appropriate; c) communicate its relevant environmental requirement(s) to external providers, including contractors; d) consider the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services. <p>The organization shall maintain documented information to the extent necessary to have confidence that the processes have been carried out as planned.</p>		
8.2	<p>Emergency preparedness & response</p> <p>The organization shall establish, implement and maintain the process(es) needed to prepare for and respond to potential emergency situations identified in 6.1.1.</p> <p>The organization shall:</p> <ol style="list-style-type: none"> a) prepare to respond by planning actions to prevent or mitigate adverse environmental impacts from emergency situations; b) respond to actual emergency situations; 		

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	<p>c) take action to prevent or mitigate the consequences of emergency situations, appropriate to the magnitude of the emergency and the potential environmental impact;</p> <p>d) periodically test the planned response actions, where practicable;</p> <p>e) periodically review and revise the process(es) and planned response actions, in particular after the occurrence of emergency situations or tests;</p> <p>f) provide relevant information and training related to emergency preparedness and response, as appropriate, to relevant interested parties, including persons working under its control.</p> <p>The organization shall maintain documented information to the extent necessary to have confidence that the process(es) is (are) carried out as planned.</p>		
<p>9.1</p>	<p>Monitoring, measurement, analysis & evaluation</p> <p>9.1.1 General</p> <p>The organization shall monitor, measure, analyse and evaluate its environmental performance.</p> <p>The organization shall determine:</p> <p>a) what needs to be monitored and measured;</p> <p>b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;</p> <p>c) the criteria against which the organization will evaluate its environmental performance, and appropriate indicators;</p> <p>d) when the monitoring and measuring shall be performed;</p> <p>e) when the results from monitoring and measurement shall be analysed and evaluated.</p> <p>The organization shall ensure that calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate.</p> <p>The organization shall evaluate its environmental performance and the effectiveness of the environmental management system.</p> <p>The organization shall communicate relevant environmental performance information both internally and externally, as identified in its communication process(es) and as required by its compliance obligations.</p> <p>The organization shall retain appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results.</p> <p>9.1.2 Evaluation of compliance</p>		

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	<p>The organization shall establish, implement and maintain the process(es) needed to evaluate fulfilment of its compliance obligations.</p> <p>The organization shall:</p> <ul style="list-style-type: none"> a) determine the frequency that compliance will be evaluated; b) evaluate compliance and take action if needed; c) maintain knowledge and understanding of its compliance status. <p>The organization shall retain documented information as evidence of the compliance evaluation result(s).</p>		
<p>9.2</p>	<p>Internal audit</p> <p>9.2.1 General</p> <p>The organization shall conduct internal audits at planned intervals to provide information on whether the environmental management system:</p> <ul style="list-style-type: none"> a) conforms to: <ul style="list-style-type: none"> 1) the organization's own requirements for its environmental management system; 2) the requirements of this International Standard; b) is effectively implemented and maintained. <p>9.2.2 Internal audit programme</p> <p>The organization shall establish, implement and maintain (an) internal audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting of its internal audits.</p> <p>When establishing the internal audit programme, the organization shall take into consideration the environmental importance of the processes concerned, changes affecting the organization and the results of previous audits.</p> <p>The organization shall:</p> <ul style="list-style-type: none"> a) define the audit criteria and scope for each audit; b) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process; c) ensure that the results of the audits are reported to relevant management. <p>The organization shall retain documented information as evidence of the implementation of the audit programme and the audit results.</p>		
<p>9.3</p>	<p>Management review</p>		

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	<p>Top management shall review the organization's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.</p> <p>The management review shall include consideration of:</p> <ul style="list-style-type: none"> a) the status of actions from previous management reviews; b) changes in: <ul style="list-style-type: none"> 1) external and internal issues that are relevant to the environmental management system; 2) the needs and expectations of interested parties, including compliance obligations; 3) its significant environmental aspects; 4) risks and opportunities; c) the extent to which environmental objectives have been achieved; d) information on the organization's environmental performance, including trends in: <ul style="list-style-type: none"> 1) nonconformities and corrective actions; 2) monitoring and measurement results; 3) fulfilment of its compliance obligations; 4) audit results; e) adequacy of resources; f) relevant communication(s) from interested parties, including complaints; g) opportunities for continual improvement. <p>The outputs of the management review shall include:</p> <ul style="list-style-type: none"> — conclusions on the continuing suitability, adequacy and effectiveness of the environmental management system; — decisions related to continual improvement opportunities; — decisions related to any need for changes to the environmental management system, including resources; — actions, if needed, when environmental objectives have not been achieved; — opportunities to improve integration of the environmental management system with other business processes, if needed; — any implications for the strategic direction of the organization. <p>The organization shall retain documented information as evidence of the results of management reviews.</p>		
10.1	Improvement (General)		

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	<p>10.1 General The organization shall determine opportunities for improvement (see 9.1, 9.2 and 9.3) and implement necessary actions to achieve the intended outcomes of its environmental management system.</p>		
<p>10.2</p>	<p>Nonconformity & corrective action 10.2 Nonconformity and corrective action When a nonconformity occurs, the organization shall: a) react to the nonconformity and, as applicable: 1) take action to control and correct it; 2) deal with the consequences, including mitigating adverse environmental impacts; b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: 1) reviewing the nonconformity; 2) determining the causes of the nonconformity; 3) determining if similar nonconformities exist, or could potentially occur; c) implement any action needed; d) review the effectiveness of any corrective action taken; e) make changes to the environmental management system, if necessary. Corrective actions shall be appropriate to the significance of the effects of the nonconformities encountered, including the environmental impact(s). The organization shall retain documented information as evidence of: — the nature of the nonconformities and any subsequent actions taken; — the results of any corrective action.</p>		
<p>10.3</p>	<p>Continual improvement The organization shall continually improve the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance.</p>		