

**ISO 9001:2015  
QUALITY MANAGEMENT SYSTEM**

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**ISO 14001:2015  
ENVIRONMENTAL MANAGEMENT SYSTEM**

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**OHSAS 18001:2007  
OCCUPATIONAL HEALTH AND SAFETY  
MANAGEMENT SYSTEM**

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**QMS-EMS-OHS MANUAL**

**Document # IMS-002**

**Your Company Name**

**Street Address**

**City, State Zip**

# INSERT COMPANY NAME/LOGO HERE

## Quality, Environmental and Occupational Health and Safety Manual

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### Instructions:

This manual is to be used as a template in developing your Manual for the integrated ISO 9001 Quality, ISO 14001 Environmental, and OHSAS 18001:2007 Health and Safety management systems.

- Methods and systems used in the development and operation of management systems vary widely from company to company.
- The blue text and suggestions displayed in the manual are intended to offer some options and to highlight the areas that need attention / update / replacement.
- Review the text and suggestions and at a minimum replace or update them to reflect the unique / customized information of your integrated system requirements.
- Delete the blue text after each task is completed.
- Use replace function – enter “Your Company” in find space, enter your company name in replace space – system should make changes throughout the entire document.
- In the header, replace the generic logo with your company name and logo.
- Additional details and instructions in the use of the IMS-002 manual template are included in a separate file “IMS-Template-Instructions”.

To help with the identification of the documented information as it applies to the IMS, the QMS, the EMS, and the OHS, the Documentation Master Lists Form F-750-003 and the IMS-Docs Flow Down Matrix are color coded to highlight the documents where:

- Common to the QMS, the EMS and the OHS – **in Yellow Highlight,**
- Specific to the QMS – **in Blue Highlight,**
- Specific to the EMS – **In Green Highlight,**
- Specific to the OHS – **in Beige Highlight**
- Common to the EMS and the OHS – **in Green and Beige Highlight,**

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## Quality, Environmental and Occupational Health and Safety Manual

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## Quality, Environmental and Occupational Health and Safety Manual

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### Introduction

**Your Company** developed and implemented an integrated Quality, Environmental and Occupational Health and Safety Management System in order to document the company's best business practices, better satisfy the requirements and expectations of its customers, enhance its environmental performance, support and promote good health and safety practices and improve the overall management of the company.

To fully understand the organization and its context, **Your Company** determined the external and internal issues that are relevant and that affect its ability to achieve the intended results of the Integrated Management System (IMS).

**Your Company** meets the requirements of the international standard ISO 9001:2015. The system addresses the design, development, production, installation, and servicing of the company's products. It incorporates the process approach where consistent and predictable results are achieved more effectively and efficiently when activities are understood and managed as interrelated processes.

**Your Company** meets the requirements of the international standard ISO 14001:2015. The system addresses the management of environmental aspects, compliance obligations, the actions to address risks and opportunities. The management of the interactive processes provides for the achievement of continual improvement and focus on efforts leading to the prevention of undesirable outcomes.

**Your Company** meets the requirements of the international standard OHSAS 18001:2007. It addresses the OH&S policy commitments to comply with applicable legal requirements, to the prevention of injury and ill health and to continual improvement.

A process approach provides for the management of the integrated management system and its processes through the application of a "Plan-Do-Check-Act" methodology and a focus on "Risk-Based-Thinking" leading to the prevention of undesirable outcomes.

The manual is divided into sections that correlate to the clauses of ISO 9001:2015 and ISO 14001:2015 and incorporate the requirements of OHSAS 18001:2007. The manual describes the Integrated Management System, delineates authorities, inter relationships and responsibilities of the personnel responsible within the system. The manual also provides the documented information with procedures or references for all activities comprising the management system that ensures the compliance to the requirements of the standards.

This manual is used internally to guide the company's employees through the various requirements of the quality, environmental, and health and safety standards that must be met and maintained in order to ensure good health and safety, environmental performance, customer satisfaction, and continual improvement and provide the necessary instructions that create an empowered work force.

This manual is used externally to introduce our Integrated Management System to our customers and other external organizations or interested parties. The manual is also used to

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## Quality, Environmental and Occupational Health and Safety Manual

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### Section 03 Document information

#### a. Distribution control list

As required with procedure P-750 for Control of documented information.

Quality, Environmental and OH&S Manual latest revision: Letter: \_\_\_\_

Date of Issue: \_\_\_\_\_ Issued by: \_\_\_\_\_

The status of the manual and/or description of changes are provided in the revision status page of this manual.

Controlled copies are issued to:

Copy No. 1    President  
                  Vice President

Copy No 2    Treasurer / Bookkeeper / Accountant  
                  Administrative Officer

Copy No. 3    Quality Manager  
                  IMS Team / Quality-Environmental-Health and Safety Team  
                  IMS team leader / Quality team leader / Environmental team leader / Health  
                  and Safety team leader

Copy No. 4    Operations Manager  
                  Technical Manager  
                  Materials Manager

Copy No. 5    Human Resources Manager  
                  Education / Training Officer

The master copy is held by the IMS team leader.

This manual is issued and controlled by the IMS team leader.

All matters or inquiries relating to its contents or usage are to be referred to that individual.

It is the responsibility of all holders of the above controlled copies to:

- Ensure that this manual is read by and available to the personnel under their control.
- Ensure that superseded pages are returned to the IMS team leader.

Uncontrolled copies of this manual will be identified with the word "uncontrolled" in bold letters across this page

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### ISO 14001:2015 Environmental Management Systems - The Gap Analysis Checklist

This gap analysis checklist is prepared for use in evaluating your Environmental Management System (EMS) against the requirements of ISO 14001:2015. Each requirement is expressed as a question that the user (auditor / assessor) can use to evaluate your EMS capabilities. You will need to have a copy of the ISO 14001:2015 standard to use along with this checklist so that you can refer to the requirements and the guidance sections of Annex A.

After you have prepared an audit schedule, and assigned responsibility to your auditors for different areas or processes to audit, copy each section of the checklist for the auditors working with that section. As you work through the checklist take notes on what is in place, and what needs to be developed. Reference the procedures or other documents that you have reviewed and that will provide information for the new EMS. Take notes on the status of the documents; will they need to be revised for the new system, or can they be used as is? Also note where processes are in place, but documentation is needed. Focus on what is in place, and what needs to be developed.

While you do want to know if procedures and processes are being complied with, compliance is not your main focus for this audit. Remember that the final outcome of this audit should be a list of things that your company needs to do to comply with ISO 14001:2015.

---	ENVIRONMENTAL MANAGEMENT SYSTEMS	Currently in Place	Compliant Yes / No	If No - % Completed	Items Needed
4	CONTEXT OF THE ORGANIZATION				
This clause introduces two sub-clauses relating to the context of the organization, (1) understanding the organization and its context and (2) understanding the needs and expectations of interested parties. Together they require that you determine the issues and requirements that can impact on the planning of the EMS. In addition the scope of the EMS needs to be determined and the Environmental Management System established, implemented, maintained and continually improved.					
4.1	Understanding the organization and its context				
	Has your company determined the external and internal issues that affect your ability to achieve the intended outcomes of the Environmental Management System (EMS)?  Have you included such issues as environmental conditions being affected by or capable of affecting				

# Trainer's Guide complete with Speaker's Notes

## What is ISO 14001?

- The ISO 14001 standard was designed by expert representatives from many different countries.
- The standard outlines the basic elements of a good environmental management system (EMS).
- These elements are good business practices.
- The standard promotes the adoption of a process approach where consistent and predictable results can be achieved.



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The International Standardization Organization (ISO) has representatives from 180-member countries that make up a Technical Advisory Group (TAG).

These groups draft the standard, then members comment and vote on the standard. The document then becomes an ISO standard.

These standards are not regulations. They are a method of getting a standard set of criteria for Environmental Management Systems.

An outside agency, the registrar, will then audit to see if you have all the required elements in place. If you do, you will get ISO 14001 registration.

This registration tells others all over the world that you have this environmental system in place.

As we go through the presentation, and cover the requirements, you will see that these requirements are basically just good business practice.

## The Process-Based Model

- An organization is a system of interrelated processes that function as a coherent system.
- The standard is geared at managing and improving those processes.
- Key processes, those that lead to process outputs, must be identified.
- Methods to measure and control the processes must be included.
- Risks and opportunities need to be determined and actions to address them, implemented.



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One of the seven Management Principles is the Process Approach.

Consistent and predictable results are achieved more effectively and efficiently when activities are understood and managed as interrelated processes that function as a coherent system.

The EMS is composed of interrelated processes.

Understanding how results are produced by this system, including all its processes, resources, controls and interactions, allows the organization to optimize its performance.

### **The Process Model Approach**

The standard is based on a process model approach.

But what is a process model?

Let's look at the process model....



# Student's Guide with space for notes

## Questions covered

- What is ISO 14001?
- What is needed for registration to ISO 14001?
- What are the requirements of ISO 14001:2015?
  - Section 4 - Context of the Organization
  - Section 5 - Leadership
  - Section 6 - Planning
  - Section 7 - Support
  - Section 8 - Operation
  - Section 9 - Performance Evaluation
  - Section 10 - Improvement
- What are the next steps?



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## The Process-Based Model

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## **ISO 14001:2015 Environmental Management Systems - Internal Audit Checklist**

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This internal audit checklist based on the information provided in the Sept 2015 release of the ISO 14001:2015 international standard is used to audit the Environmental Management System in all types of organizations

Below are the lists the audit questions relevant to each sub-clause of the ISO 14001:2015 standard.

The bold numbers and titles used in the first two columns indicate the “Requirements”. The numbers and titles may be referred to in the audit report prepared by the auditor.

During assessment of each requirement, auditors record the status of the evaluation by indicating in the right hand column a

**Yes** - for Acceptable Condition or **No** - for Deficient Condition

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## INSERT COMPANY NAME/LOGO HERE

### ISO 14001:2015 Environmental Management Systems - Internal Audit Checklist

<b>7.4.2</b>	<b>Internal communication</b>		
	<p>How do you internally communicate information relevant to the EMS among the various levels and functions of the company?</p> <p>Do you communicate changes to the EMS?</p> <p>How do you ensure your communication processes enable persons doing work under your control to contribute to continual improvement?</p>		
	<b>Additional Questions</b>		
<b>7.4.3</b>	<b>External communication</b>		
	<p>As established by your communication processes and as required by its compliance obligations, has your company externally communicated information relevant to the EMS?</p>		
	<b>Additional Questions</b>		
<b>7.5</b>	<b>Documented information</b>		
<b>7.5.1</b>	<b>General</b>		
	<p>In your EMS have you included:</p> <ul style="list-style-type: none"> <li>• Documented information required by the ISO</li> </ul>		

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### ISO 9001:2015 Quality Management Systems - The Gap Analysis Checklist

This gap analysis checklist is prepared for use in evaluating your Quality Management System (QMS) against the requirements of ISO 9001:2015. Each requirement is expressed as a question that the user (auditor / assessor) can use to evaluate your QMS capabilities. You will need to have a copy of the ISO 9001:2015 standard to use along with this checklist so that you can refer to the requirements and the clarification sections of Annex A.

After you have prepared an audit schedule, and assigned responsibility to your auditors for different areas or processes to audit, copy each section of the checklist for the auditors working with that section. As you work through the checklist take notes on what is in place, and what needs to be developed. Reference the procedures or other documents that you have reviewed and that will provide information for the new QMS. Take notes on the status of the documents; will they need to be revised for the new system, or can they be used as is? Also note where processes are in place, but documentation is needed. Focus on what is in place, and what needs to be developed.

While you do want to know if procedures and processes are being complied with, compliance is not your main focus for this audit. Remember that the final outcome of this audit should be a list of things that your company needs to do to comply with ISO 9001:2015.

---	QUALITY MANAGEMENT SYSTEM	OBSERVATIONS / COMMENTS	STATUS
4	CONTEXT OF THE ORGANIZATION		
This clause introduces two sub-clauses relating to the context of the organization, (1) understanding the organization and its context and (2) understanding the needs and expectations of interested parties. Together they require that you determine the issues and requirements that can impact on the planning of the QMS. In addition the scope of the QMS and the QMS processes along with their applicability and interactions need to be determined.			
4.1	Understanding the organization and its context		
	Has your company determined the external and internal issues that are relevant to your purpose and strategic direction?  Have you considered the relevant issues that affect your ability to achieve the intended results of the Quality Management System (QMS)?  How do you monitor and review the information		

## INSERT COMPANY NAME/LOGO HERE

### ISO 9001:2015 Quality Management Systems - The Gap Analysis Checklist

	related to the external and internal issues?		
<b>4.2</b>	<b>Understanding the needs and expectations of interested parties</b>		
	<p>With consideration given to their impact or potential impact on your company's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, have you determined:</p> <ul style="list-style-type: none"> <li>• The interested parties that are relevant to the QMS?</li> <li>• The requirements of these interested parties that are relevant to the QMS?</li> </ul> <p>How do you monitor and review the information about the interested parties and their relevant requirements?</p>		
<b>4.3</b>	<b>Determining the scope of the quality management system</b>		
	<p>To establish the scope of the QMS, has your company determined the boundaries and applicability of the QMS?</p> <p>When determining the scope of the QMS, have you considered the:</p> <ul style="list-style-type: none"> <li>• External and internal issues (per 4.1)?</li> <li>• Requirements of relevant interested parties (per 4.2)?</li> <li>• The products and services of your company?</li> </ul> <p>When a requirement of ISO 9001:2015 can be</p>		

## INSERT COMPANY NAME/LOGO HERE

### ISO 9001:2015 Quality Management Systems - The Internal Audit Checklist

This checklist is based on the information provided in the ISO 9001:2015 international standard. The checklist is best used by trained and practicing auditors to evaluate or assess Quality Management Systems requirements based on the standard. You will see questions on the checklist that refer to the standard and for each clause provisions are made for additional questions.

The auditors are expected to use a great deal of discretion and therefore must be careful and thoughtful prior to establishing a deficiency against a requirement. Evidence for visible top management leadership, commitment and quality management action must be looked for.

The **bold** numbers and titles used in the first two columns of the checklist indicate the “Requirements” and may be referred to on nonconformity reports prepared by the auditor.

During assessment of each requirement, auditors record the status of the evaluation by indicating in the right hand column a

**Yes** - for Acceptable Condition or **No** - for Deficient Condition

	QUALITY MANAGEMENT SYSTEM	OBSERVATIONS / COMMENTS	STATUS
<b>4</b>	<b>CONTEXT OF THE ORGANIZATION</b>		
<b>4.1</b>	<b>Understanding the organization and its context</b>		
	Has your company determined the external and internal issues that are relevant to your purpose and strategic direction?  Have you considered the relevant issues that affect your ability to achieve the intended results of the Quality Management System (QMS)?  How do you monitor and review the information related to the external and internal issues?		

## INSERT COMPANY NAME/LOGO HERE

### ISO 9001:2015 Quality Management Systems - The Internal Audit Checklist

	<b>Additional Questions</b>		
<b>4.2</b>	<b>Understanding the needs and expectations of interested parties</b>		
	With consideration given to their impact or potential impact on your company's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, have you determined: <ul style="list-style-type: none"><li>• The interested parties that are relevant to the QMS?</li><li>• The requirements of these interested parties that are relevant to the QMS?</li></ul> How do you monitor and review the information about the interested parties and their relevant requirements?		
	<b>Additional Questions</b>		
<b>4.3</b>	<b>Determining the scope of the quality management system</b>		
	To establish the scope of the QMS, has your company determined the boundaries and applicability of the QMS? When determining the scope of the QMS, have you considered the: <ul style="list-style-type: none"><li>• External and internal issues (per 4.1)?</li><li>• Requirements of relevant interested parties (per 4.2)?</li></ul>		

## Questions Covered

- What is ISO 9001?
- What is needed for registration to ISO 9001?
- What are the requirements of ISO 9001:2015?
  - Section 4 - Context of the Organization
  - Section 5 - Leadership
  - Section 6 - Planning for the Quality Management System
  - Section 7 - Support
  - Section 8 - Operation
  - Section 9 - Performance Evaluation
  - Section 10 - Improvement
- What are the next steps?

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The requirements of ISO 9001:2015 are described in 7 clauses or sections

Section 4 - Context of the Organization

Section 5 - Leadership

Section 6 - Planning for the Quality Management System

Section 7 - Support

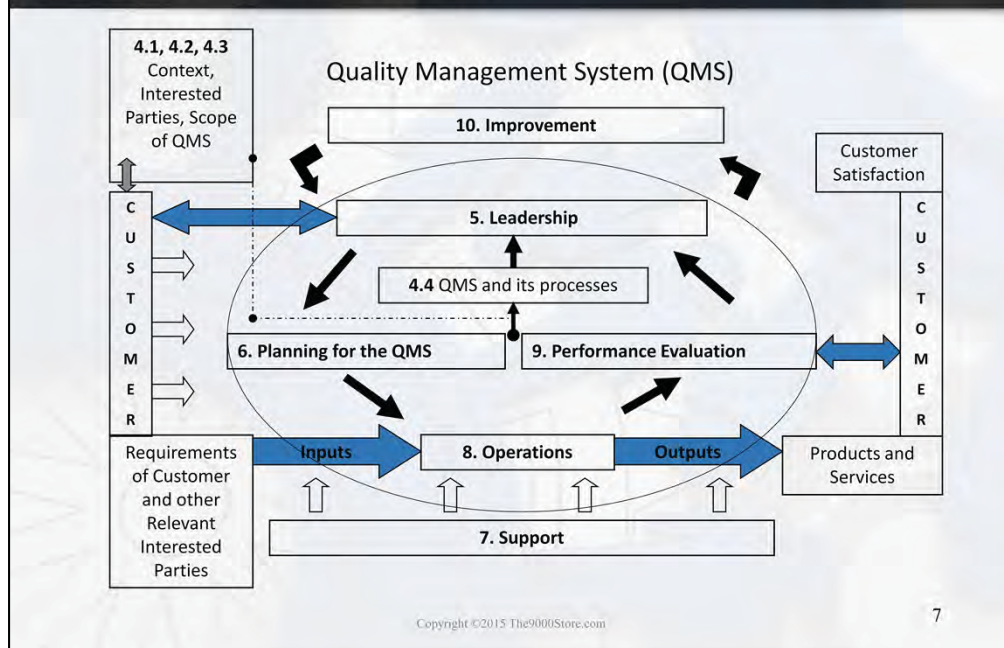
Section 8 - Operation

Section 9 - Performance Evaluation

Section 10 - Improvement



## The Process-Based Model



This example of the process-based model is similar to the one included in the standard (Figure 1).

The seven clauses are all found on the process model.

Leadership, Planning for the QMS, Operations, and Performance evaluation form a cycle that is influenced by the Context of the organization and Support processes aimed at improvement

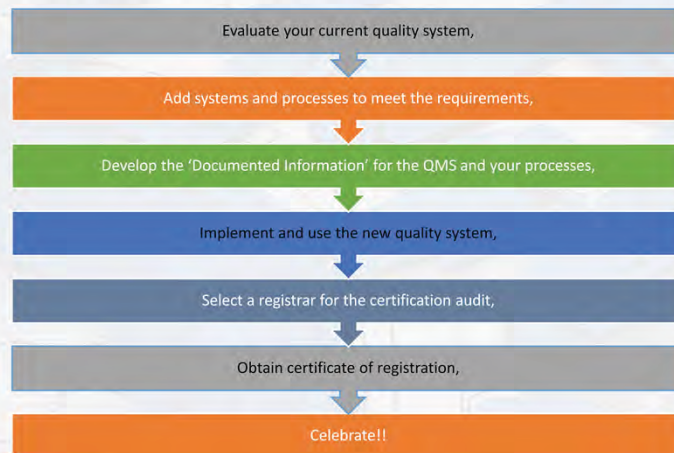
The most important input to this cycle is customer and other relevant interested parties requirements.

The output of the cycle is customer satisfaction and continual improvement of the quality system.

The standard is organized around this model.

# What Is Needed for Registration?

To become registered a company must first implement the requirements of ISO 9001:2015



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## Evaluate your current quality system:

Many of the requirements of the standard are addressed by practices already in place.

These practices may or may not be described in documented information.

Other requirements of the standard may not be addressed at all and these need to be implemented and documented.

The standard is designed to bring control and consistency to your processes.

Documenting the processes is part of this control.

It helps ensure that people are doing the same thing, to get consistent results.

The documented information may take the shape of a Document Pyramid and include

An Operations Manual:

a top level document that describes briefly what you have in place to meet the standard.

Procedures:

describe what is done, for example the overall procedure for purchasing or training. What is included in the process?

Work Instructions:

detailed documents that describe how to perform a process, for example how to fill out a purchase order etc.

Forms: to provide the evidence that the system is in place.

### 4 OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEM REQUIREMENTS

REQUIREMENTS	CURRENTLY IN PLACE (List documents or evidence)	COMPLIANT YES / NO?	IF NO Estimated % complete	ITEMS NEEDED
<b>4.1 General requirements</b>				
This clause introduces the general requirements for an occupational health and safety management system that is intended to result in improved health and safety performance. Look to see that your organization has a system with a defined scope for an OH&S that can be reviewed and evaluated to identify and implement opportunities for improvements.				
Has the organization established, documented, implemented and maintained the OH&S system as required by the OHSAS 18001:2007 standard?				
How does the organization determine if the requirements of the standard are fulfilled?				
Is the scope of the OH&S system defined & documented?				
Are all activities, products or services included in the scope of the OH&S system?				
<b>4.2 OH&amp;S policy</b>				
This clause addresses the requirement for your organization's occupational health and safety which is the driver for implementing and improving the OH&S Management System.				
Has top management defined and authorized the OH&S policy for the organization?				
Is the OH&S policy appropriate to its activities, products, services as defined in the scope of the OH&S system?				
Does the policy reflect the commitment of top				



# Introduction to OHSAS 18001



## Topics Covered

- § Fundamentals
- § The 18001 Standard
- § Importance of 18001
- § Benefits
- § Requirements
- § Process / PDCA Approach
- § Details of the Standard: *Sections 4.1 thru 4.6*
- § Summary
- § Tools for Implementation



# The OHSAS 18001 Standard

## Section 4.1 General requirements

Introduces the requirements for the overall OH&S Management System

## Section 4.2 OH&S policy

Covers requirements for the OH&S policy that needs to be formulated

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### 4.1 General Requirements

The first clause of OHSAS 18001:2004 standard requires that a company (i.e. a business, a corporation, an enterprise, an organization), establish, document, implement, and continually improve their OH&S management system and demonstrate that they meet all the requirements of the standard.

Top management in the company starts the process by defining the scope of the OH&S management system, that is, identify the boundaries to which the system applies.

This will take into account the company's activities relative to products, services, departments, facilities, or multiple plant locations.

### 4.2 OH&S Policy

The next clause of the standard requires that an OH&S policy developed and approved by top management and relating to the scope of the OH&S be formulated and in place.

This is usually a short statement that sets the stage for the remaining components of the OH&S system and provides the framework for the review of OH&S programs with defined objectives and targets.

There are some specific items that must be addressed in the policy, and they deal with compliance with legal and other requirements, prevention of injury & ill health, and continual improvement.

In addition, the policy needs to be communicated to all employees, to other people working on behalf of the company, and be available to the general public. The policy must be documented, implemented, and maintained and this means that it is kept up to date and validated through the management reviews and supported by the whole of the OH&S system.

<b>4 Occupational Health and Safety Management System</b>		
<b>4.1 General requirements</b>	<b>Observation/Comments</b>	<b>Results</b>
<p>Has the organization established and maintained an Occupational Health and Safety Management System in order to fulfill the requirements of clause 4 of the OHSAS 18001:2007 standard?</p> <p>Has the organization defined and documented the scope of the OH&amp;S system?</p> <p>Are the boundaries to which the OH&amp;S system applies clearly defined?</p> <p>Are all activities, products and services within the scope addressed by the OH&amp;S system?</p> <p>Additional questions To prove that the organization 'Does what it says it does', what records are completed for this section?</p>		Yes
<b>4.2 OH&amp;S policy</b>	<b>Observation/Comments</b>	<b>Results</b>
<p>Has top management defined, documented, authorized and implemented the OH&amp;S policy?</p> <p>Is the OH&amp;S policy aligned with the defined scope of the OH&amp;S system?</p> <p>Does the policy express commitment to comply with legal and other requirements which relate to the health and safety matters/risks?</p> <p>Does the policy include the commitment to the prevention of injury and ill health and the continual improvement in OH&amp;S performance?</p> <p>Does the policy provide for a framework to set &amp; review objectives, targets and OH&amp;S programs?</p> <p>Has the policy been communicated to persons working for or on behalf of the organization?</p> <p>Is it available to the public?</p> <p>Is the policy reviewed periodically?</p>		