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To the Members of
ISO/PC 283
Occupational health and safety management systems

ISO/CD 45001

Occupational health and safety management systems – Requirements with guidance for use
(Systèmes de management de la santé et de la sécurité au travail — Exigences et lignes directrices
pour son utilisation)

Please find the Committee Draft of ISO 45001 attached.

This is being circulated to ISO/PC 283's members for commenting and ballot (a ballot has been established on the ISO Balloting Portal for this). Only P-members may vote; other members may submit comments. **P-members have an obligation to vote.**

The closing date for the submission of comments and votes is:

18 October 2014

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We look forward to receiving your votes and comments on the CD.

Yours sincerely

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ISO/CD 45001

ISO/PC 283/WG 1

Secretariat: BSI

Occupational health and safety management systems — Requirements with guidance for use

Systèmes de management de la santé et de la sécurité au travail — Exigences et lignes directrices pour son utilisation

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95 Foreword

96 ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies
97 (ISO member bodies). The work of preparing International Standards is normally carried out through ISO
98 technical committees. Each member body interested in a subject for which a technical committee has been
99 established has the right to be represented on that committee. International organizations, governmental and
100 non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the
101 International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

102 The procedures used to develop this document and those intended for its further maintenance are described
103 in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of
104 ISO documents should be noted. This document was drafted in accordance with the editorial rules of the
105 ISO/IEC Directives, Part 2 (see www.iso.org/directives).

106 Attention is drawn to the possibility that some of the elements of this document may be the subject of patent
107 rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent
108 rights identified during the development of the document will be in the Introduction and/or on the ISO list of
109 patent declarations received (see www.iso.org/patents).

110 Any trade name used in this document is information given for the convenience of users and does not
111 constitute an endorsement.

112 For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment,
113 as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT)
114 see the following URL: [Foreword - Supplementary information](#)

115 The committee responsible for this document is ISO/PC 283, *Occupational health and safety management*
116 *systems*.

117
118 NOTE TO THIS DRAFT (which will not be included in the published International Standard):
119

120 This text has been prepared using the "high-level structure" (i.e. clause sequence, common text and terminology) provided
121 in Annex SL, Appendix 2 of the ISO/IEC Directives, Part 1, Consolidated ISO Supplement, 2014. This is intended to
122 enhance alignment among ISO's management system standards, and to facilitate their implementation for organizations
123 that need to meet the requirements of two or more such standards simultaneously.
124

125 The text of Annex SL is highlighted in the main body of the text (clauses 1 to 10) by the use of **blue** font. This is only to
126 facilitate analysis and will not be incorporated in the final version of ISO 45001.
127

128 This new harmonized approach allows for the addition of discipline-specific (in this case OH&S specific) text which has
129 been applied by including the following:
130

- 131 a) specific OH&S management system requirements considered essential to meet the scope of the ISO 45001
132 standard;
- 133 b) requirements and notes to clarify and ensure consistent interpretation and implementation of the common text in
134 the context of an OH&S management system.
135

136 Where text from Annex SL has not been applied, this is indicated in ~~blue font with strikeout~~.
137

138 The text in Annex A presented in **brown font** was added during the editing of the CD, and has not yet been subject to
139 review by ISO/PC 283/WG1.
140

142 Introduction

143 0.1 Background

144 An organization is responsible for ensuring its people are able to work in a manner that is safe and which
145 protects their physical and mental health.

146 It is estimated by the International Labour Organization (ILO) that there are 2,34 million deaths every year as
147 a result of work activities (based on data released in 2014). The adoption of an occupational health and safety
148 (OH&S) management system is intended to enable an organization to manage its OH&S risks and improve its
149 OH&S performance in the prevention of injury and ill health.

150 NOTE The term "occupational safety and health" (abbreviated to "OSH") is often used in place of "occupational
151 health and safety" (OH&S).

152 0.2 Aim

153 The implementation of an OH&S management system is a strategic decision for an organization, and can be
154 used to support its sustainability initiatives.

155 An organization's activities can pose a risk of ill-health or accidents, resulting in a serious impairment of
156 health; consequently it is important for the organization to eliminate or minimize OH&S risks by taking
157 appropriate preventive measures. This can include, for example, keeping its people well informed about the
158 OH&S risks and by ensuring they are competent to do their assigned tasks. When translated by the
159 organization's OH&S management system into an ongoing process (supported by the use of appropriate
160 methods and tools, at all levels in the organization) it can reinforce the organization's commitment to
161 proactively improving its OH&S performance.

162
163 An OH&S management system can enable an organization to improve its OH&S performance by:

- 164 a) developing and implementing an OH&S policy and OH&S objectives;
- 165 b) establishing systematic processes which consider its "context" and which take into account its risks and
166 opportunities, its legal requirements and the other requirements to which it subscribes;
- 167 c) determining the hazards and OH&S risks associated with its activities; seeking to eliminate them, or
168 putting in controls to minimize their potential effects;
- 169 d) establishing operational controls to manage its OH&S risks, its legal requirements and the other
170 requirements to which it subscribes;
- 171 e) increasing awareness of its OH&S risks;
- 172 f) evaluating its OH&S performance and seeking to improve it, through taking appropriate actions.

173 0.3 Success factors

174 The key success factor for an organization would be to achieve a constant position of no (or very low number
175 of, and very minor in nature) occurrences of incidents or ill health being caused by its activities.

176 The formal, systematic, approach provided by an OH&S management system can allow an organization to
177 improve its OH&S performance over the long term by:

- 178 a) preventing or minimizing the risk of incidents leading to physical or mental harm, or ill-health, to those
179 affected by the organization's activities;
- 180 b) assisting in assuring, satisfying, or conforming to legal or other requirements;
- 181 c) ensuring that changes (to the OH&S management system, processes, products, materials, organizational
182 structure etc.) are managed in a way that does not lead to new hazards or OH&S risks;
- 183 d) promoting safe working practices;
- 184 e) achieving financial and operational benefits that can result from improved OH&S performance (e.g. a
185 reduced number of "sick days"; reduced insurance premiums).

186 The success of the OH&S management system depends on commitment from all levels and functions of the
187 organization, and especially from top management. Top management can leverage a range of issues with
188 associated opportunities to eliminate or minimize the risk of harm to persons. Top management can ensure it
189 is effective in addressing these issues and opportunities by integration of the OH&S management system with
190 the organization's business and governance processes, strategy and decision making, as well as alignment of
191 its OH&S objectives with other business priorities.

192 Demonstration of successful implementation of this International Standard can be used by an organization to
193 give assurance to interested parties that an appropriate OH&S management system is in place.

194 Adoption of this International Standard, however, will not in itself guarantee optimal outcomes. Two
195 organizations can carry out similar operations and both conform to the requirements of this International
196 Standard while having different legal or other requirements, OH&S policy commitments, technologies in use,
197 and OH&S objectives.

198 The level of detail, the complexity, the extent of documented information, and the resources needed for an
199 organization's OH&S management system will depend on a number of factors, such as:

- 200 — the organization's context (its size, its geography, its culture, its social conditions, its legal and other
201 requirements);
- 202 — the scope of its OH&S management system;
- 203 — the nature of its activities, its services, and its OH&S risks.

204 This can be the case in particular for small and medium sized enterprises.

205 It is possible for an organization to adapt its existing management system(s) in order to establish an OH&S
206 management system that conforms to the requirements of this International Standard.

207 **0.4 "Plan, Do, Check and Act" approach**

208 The basis of the OH&S management system approach applied in this International Standard is founded on the
209 concept of "Plan, Do, Check and Act" (PDCA).

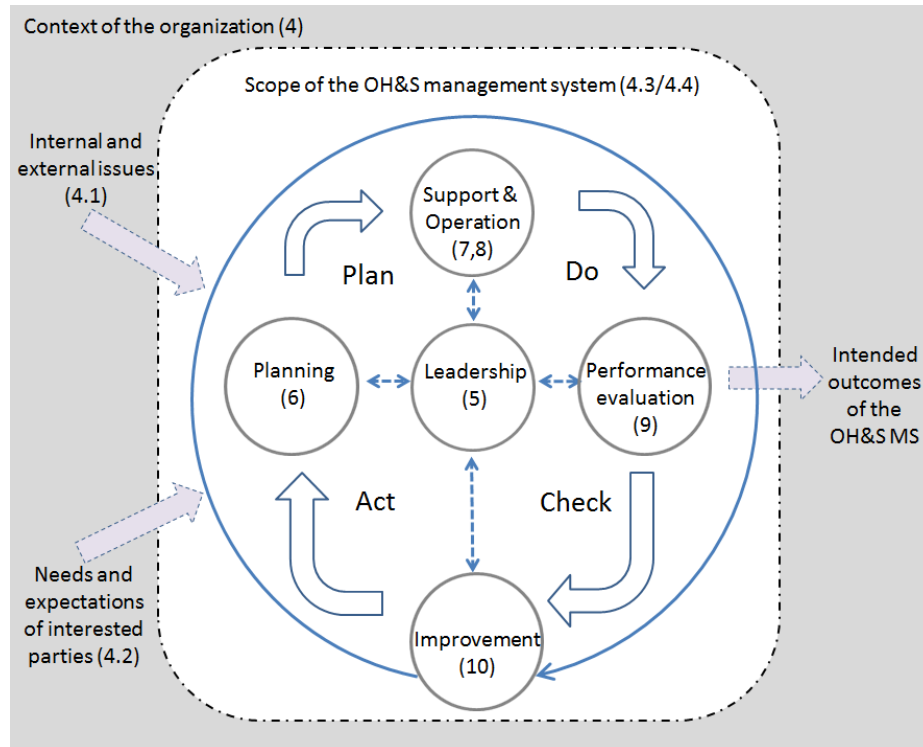
210 The PDCA model demonstrates an iterative process used by organizations to achieve continual improvement.
211 It can be applied to a management system and to each of its individual elements. It can be briefly described
212 as follows.

- 213 ▪ **Plan:** establish objectives and processes necessary to deliver results in accordance with the
214 organization's policy.
- 215 ▪ **Do:** implement the processes as planned.

216 ▪ **Check:** monitor and measure processes against the policy, including its commitments, objectives and
217 operational controls, and report the results.

218 ▪ **Act:** take actions to continually improve.

219 This International Standard incorporates the PDCA concept into a new framework, referred to as the "high
220 level structure" (HLS), as shown in Figure 1.



221

222 NOTE The numbers given in brackets refer to the clause numbers in this International Standard

223 **Figure 1 — OH&S management system model for this International Standard**

224 0.5 Contents of this edition

225 This International Standard conforms to ISO's requirements for management system standards.¹ These
226 requirements include the use of a "high level structure" (common clause sequence, common core text,
227 common terms and definitions) designed to benefit users implementing multiple ISO management system
228 standards.

229 This International Standard does not include requirements specific to other management systems, such as
230 those for quality, environmental, security, or financial management, though its elements can be aligned or
231 integrated with those of other management systems.

232 The body of this International Standard (Clauses 1 to 10) contains requirements that can be used to assess
233 conformity. Annex A provides informative explanations to prevent misinterpretation of those requirements.

234

¹ See the ISO/IEC Directives, Part 1, Consolidated ISO Supplement, Procedures specific to ISO, Fourth edition, 2013, Annex SL, Appendices 2 and 3.

235 Occupational health and safety management systems — 236 Requirements with guidance for use

237 1 Scope

238 This International Standard specifies requirements for an occupational health and safety (OH&S)
239 management system, with guidance for its use, to enable an organization to proactively improve its OH&S
240 performance in preventing injury and ill-health.

241 This International Standard is applicable to any organization that wishes to:

- 242 a) establish an OH&S management system to eliminate or minimize those OH&S risks associated with its
243 activities;
- 244 b) establish, implement, maintain and continually improve an OH&S management system and improve its
245 OH&S performance;
- 246 c) assure itself of its conformity with applicable legal requirements and other requirements to which it
247 subscribes;
- 248 d) demonstrate conformity with the requirements of this International Standard.

249 This International Standard is intended to be applicable to any organization regardless of its size, type and
250 nature. All the requirements in this International Standard are intended to be integrated into the organization's
251 management system and its business processes. The extent of the application will depend on factors such as
252 the context in which the organization operates and the requirements of its interested parties.

253 Depending on an organization's determined scope for its OH&S management system, this International
254 Standard requires:

- 255 — the organization to address, appropriately, the OH&S risks to persons working under its control (e.g.
256 directors, other executives, managers, supervisors, workers and contractors). For some situations, the
257 organization may also choose, or be required by applicable legal requirements, to address the needs of
258 other persons affected by the activities of the organization, but who are not engaged in "occupational"
259 activities for the organization (such as some types of visitors or customers, or passers-by), through its
260 OH&S management system;
- 261 — the organization to address the OH&S risks associated with all sites and work locations under its control,
262 and to consider and take appropriate preventive measures to address the OH&S risks associated with
263 workplaces that are not under its control (such as a customer's premises).

264 This International Standard enables an organization to choose to address other aspects of health and safety,
265 beyond "occupational" health and safety (e.g. employee wellness/ wellbeing) through its OH&S management
266 system. The organization can also be required by applicable legal requirements to address such issues.

267 This International Standard does not state specific criteria for OH&S performance, nor is it prescriptive about
268 the design of an OH&S management system.

269 This International Standard does not address issues such as product safety, property damage or
270 environmental impacts.

271 **2 Normative references**

272 There are no normative references.

273 **3 Terms and definitions**

274 *[Drafting Note – The final numbering and order of the terms will not be addressed until the Draft International*
275 *Standard (DIS) stage of the document. The terms will not be arranged alphabetically. They will be arranged*
276 *by concept in accordance with ISO's rules.]*

277 For the purposes of this document, the following terms and definitions apply.

278 **3.01**
279 **organization**

280 person or group of people that has its own functions with responsibilities, authorities and relationships to
281 achieve its *objectives* (3.08)

282 Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, company, corporation, firm,
283 enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public
284 or private.

285 **3.02**
286 **interested party**

287 person or *organization* (3.01) that can affect, be affected by, or perceive itself to be affected by a decision or
288 *activity* related to the *OH&S management system* (3.04A)

289 Note 1 to entry: An interested party can be internal or external to the organization. Interested parties include workers
290 and their representatives, worker organizations (e.g. unions), contractors and job applicants.

291 **3.02A**
292 **worker**

293 person performing work or work-related activities, regularly or temporarily, under the direct or indirect control
294 of the *organization* (3.01)

295 Note 1 to entry: The *OH&S management system* (3.04A) applies to workers both when they are in a *workplace*
296 (3.23A) and when they are performing work or work-related activities outside of a workplace.

297 **3.03**
298 **requirement**

299 need or expectation that is stated, generally implied or obligatory

300 Note 1 to entry: “Generally implied” means that it is custom or common practice for the *organization* (3.01) and
301 *interested parties* (3.02) that the need or expectation under consideration is implied.

302 Note 2 to entry: A specified requirement is one that is stated, for example in *documented information* (3.11).

303 **3.03A**
304 **legal requirement**

305 *requirement* (3.03), applicable to the *OH&S management system* (3.04a), established by a government entity
306 or otherwise given legal effect, including provisions of the *organization's* (3.01) collective agreements that
307 relate to the health and safety of *workers* (3.02A)

308 Note 1 to entry: A requirement is “given legal effect” when it is recognized as legally binding.

- 309 **3.04**
310 **management system**
- 311 set of interrelated or interacting elements of an *organization* (3.01) to establish *policies* (3.07) and *objectives*
312 (3.08) and *processes* (3.12) to achieve those objectives
- 313 Note 1 to entry: A management system can address a single discipline or several disciplines.
- 314 Note 2 to entry: The system elements include the organization's structure, roles and responsibilities, planning and
315 operation.
- 316 Note 3 to entry: The scope of a management system may include the whole of the organization, specific and identified
317 functions of the organization, specific and identified sections of the organization, or one or more functions across a group
318 of organizations.
- 319 **3.04A**
320 **OH&S management system**
- 321 part of a *management system* (3.04) used to achieve the *OH&S policy* (3.07A).
- 322 Note 1 to entry: The overall objective of the OH&S management system is to prevent injury or ill health arising out of,
323 linked with or occurring in the course of work.
- 324 **3.05**
325 **top management**
- 326 person or group of people who directs and controls an *organization* (3.01) at the highest level
- 327 Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.
- 328 Note 2 to entry: If the scope of the *management system* (3.04) covers only part of an organization, then top
329 management refers to those who direct and control that part of the organization.
- 330 **3.06**
331 **effectiveness**
- 332 extent to which planned activities are realized and planned results achieved
- 333 **3.07**
334 **policy**
- 335 intentions and direction of an *organization* (3.01), as formally expressed by its *top management* (3.05)
- 336 **3.07A**
337 **OH&S policy**
- 338 *policy* (3.07) to prevent work-related injury and ill health to *worker(s)* (3.02A) and to provide a safe and healthy
339 *workplace(s)* (3.23A)
- 340 Note 1 to entry: Occupational diseases are a type of ill health.
- 341 **3.08**
342 **objective**
- 343 result to be achieved
- 344 Note 1 to entry: An objective can be strategic, tactical, or operational.

345 Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental
346 goals) and can apply at different levels (such as strategic, organization-wide, project, product and *process* (3.12)).

347 Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational
348 criterion, as an OH&S objective, or by the use of other words with similar meaning (e.g. aim, goal, or target).

349 ~~Note 4 to entry: In the context of OH&S management systems, OH&S objectives are set by the organization,~~
350 ~~consistent with the OH&S policy, to achieve specific results.~~

351 **3.08A**
352 **OH&S objective**

353 *objective* (3.08) set by the *organization* (3.01) consistent with the *OH&S policy* (3.07A) to achieve specific
354 results

355 Note 1 to entry: OH&S objectives are set to enable the organization to achieve the intended outcomes of its OH&S
356 management system through the accomplishment of specific results.

357 **3.09**
358 **risk**

359 effect of uncertainty

360 Note 1 to entry: An effect is a deviation from the expected — positive or negative.

361 Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or
362 knowledge of, an event, its consequence, or likelihood.

363 Note 3 to entry: Risk is often characterized by reference to potential "events" (as defined in ISO Guide 73:2009,
364 3.5.1.3) and "consequences" (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

365 Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes
366 in circumstances) and the associated "likelihood" (as defined in ISO Guide 73:2009, 3.6.1.1) of occurrence.

367 **3.09A**
368 **OH&S risk**

369 combination of the likelihood of an occurrence of a work-related hazardous event or exposure(s), and the
370 severity of injury or ill health that can be caused by the event or exposures

371 **3.09B**
372 **hazard**

373 source, situation or act with a potential to cause human injury or ill health

374 **3.10**
375 **competence**

376 ability to apply knowledge and skills to achieve intended results

377 **3.11**
378 **documented information**

379 information required to be controlled and maintained by an *organization* (3.01) and the medium on which it is
380 contained

381 Note 1 to entry: Documented information can be in any format and media and from any source.

382 Note 2 to entry: Documented information can refer to:

383 – the *management system* (3.04), including related *processes* (3.12);

384 – information created in order for the organization to operate (documentation);

385 – evidence of results achieved (records).

386 **3.12**
387 **process**

388 set of interrelated or interacting activities which transforms inputs into outputs

389 **3.12A**
390 **procedure**

391 specified way to carry out an activity or a *process* (3.12)

392 Note 1 to entry: Procedures can be documented or not.

393 **3.13**
394 **performance**

395 measurable result

396 Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

397 Note 2 to entry: Performance can relate to the management of activities, *processes* (3.12), products (including
398 services), systems or *organizations* (3.01).

399 **3.13A**
400 **OH&S performance**

401 *Performance* (3.13) related to the *effectiveness* (3.06) of the prevention of injury and ill health to *workers*
402 (3.02A)

403 **3.14**
404 **outsource** (verb)

405 make an arrangement where an external *organization* (3.01) performs part of an organization's function or
406 *process* (3.12)

407 Note 1 to entry: An external organization is outside the scope of the *management system* (3.04), although the
408 outsourced function or process is within the scope.

409 **3.15**
410 **monitoring**

411 determining the status of a system, a *process* (3.12) or an activity

412 Note 1 to entry: To determine the status, there may be a need to check, supervise or critically observe.

413 Note 2 to entry: Monitoring is generally an on-going determination.

414 **3.16**
415 **measurement**

416 *process* (3.12) to determine a value

417	3.17
418	audit
419	systematic, independent and documented <i>process</i> (3.12) for obtaining audit evidence and evaluating it
420	objectively to determine the extent to which the audit criteria are fulfilled
421	Note 1 to entry: — An audit can be an internal audit (first party) or an external audit (second party or third party), and it
422	can be a combined audit (combining two or more disciplines).
423	Note 1 to entry: An internal audit is conducted by the <i>organization</i> (3.1) itself, or by an external party on its behalf.
424	Note 2 to entry: Independence can be demonstrated by non-accountability for the activity being audited or ensuring
425	that no conflict of interest exists.
426	Note 3 to entry: “Audit evidence” consists of records, statements of fact and other information relevant to the audit
427	criteria and verifiable and “audit criteria” are the set of policies, procedures or requirements used as a reference against
428	which audit evidence is compared, as defined in ISO 19011.
429	3.18
430	conformity
431	fulfilment of a <i>requirement</i> (3.03)
432	3.19
433	nonconformity
434	non-fulfilment of a <i>requirement</i> (3.03)
435	Note 1 to entry: Nonconformity relates to requirements in this International Standard and additional OH&S
436	management system requirements that an organization establishes for itself.
437	3.19A
438	incident
439	occurrence arising out of or in the course of work that could or does result in death, injury or ill health
440	Note 1 to entry: An incident where injury or ill health occurs is referred to by some as an “accident.”
441	Note 2 to entry: An incident where no injury or ill health occurs is referred to by some as a “near- miss”, “near-hit”,
442	“close call”, or “dangerous occurrence.”
443	3.21
444	corrective action
445	action to eliminate the cause of a <i>nonconformity</i> (3.19) or an incident (3.19A) and to prevent recurrence
446	3.22
447	continual improvement
448	recurring activity to enhance <i>performance</i> (3.13)
449	Note 1 to entry: Enhancing performance (3.13) relates to the use of the OH&S management system (3.04A) in order to
450	achieve improvement in overall OH&S performance (3.13A) consistent with the OH&S policy (3.07A) and OH&S objectives
451	(3.08A).
452	Note 2 to entry: The activity need not take place in all areas simultaneously.
453	3.23B
454	workplace

455 place under the direct or indirect control of the organization (3.01) where a person(s) needs to be or to go by
456 reason of their work

457 Note 1 to entry: The OH&S management system (3.04A) applies to persons performing work or work-related activities
458 in the workplace.

459 **4 Context of the organization**

460 **4.1 Understanding the organization and its context**

461 The organization shall determine external and internal issues that are relevant to its purpose and objectives
462 and that affect its ability to achieve the intended outcome(s) of its OH&S management system.

463
464 NOTE External and internal issues relate to the business environment in which the organisation seeks to achieve its
465 objectives (reference to “business” in this International Standard can be interpreted broadly to mean those activities that
466 are core to the purposes of the organization’s existence).

467 **4.2 Understanding the needs and expectations of interested parties**

468 The organization shall determine:

- 469
470 a) the interested parties that are relevant to the OH&S management system;
- 471 b) the relevant requirements of these interested parties, and which of these become applicable legal and
472 other requirements to which the organisation subscribes.

473 **4.3 Determining the scope of the OH&S management system**

474 The organization shall determine the boundaries and applicability of the OH&S management system to
475 establish its scope.

476
477 When determining this scope, the organization shall consider:

- 478
479 a) the external and internal issues referred to in 4.1;
- 480 b) the requirements referred to in 4.2;
- 481 c) the function(s) performed at the workplace(s).

482 The scope shall include all the activities, products or services within the organisation’s control or influence that
483 can impact on the organization’s OH&S performance.

484
485 The scope shall be available as documented information.

486 487 **4.4 OH&S management system**

488 The organization shall establish, implement, maintain and continually improve an OH&S management system,
489 including the processes needed and their interactions, in accordance with the requirements of this
490 International Standard to improve its OH&S performance.

491 **5 Leadership**

492 **5.1 Leadership and commitment**

493 Top management shall demonstrate leadership and commitment with respect to the OH&S management
494 system by:

- 495 a) ensuring that knowledge of the organisation's context as well as potential OH&S risks are considered
496 when establishing the OH&S management system;
- 497 b) ensuring that workplace hazards are systematically identified, risks evaluated and prioritized, and action
498 taken to improve OH&S performance where deemed necessary;
- 499 c) ensuring that the OH&S policy and related OH&S objectives are established and are compatible with the
500 strategic direction of the organization;
- 501 d) taking OH&S performance into account in strategic planning;
- 502 e) ensuring the integration of the OH&S management system requirements into the organization's business
503 processes;
- 504 f) ensuring that the appropriate financial, human and organizational resources needed for the OH&S
505 management system are available to establish, implement, maintain and continually improve;
- 506 g) ensuring that the organization establishes processes for consultation and active participation of workers
507 (and, as appropriate, worker representatives) in the establishment, implementation, maintenance, and
508 continual improvement of the OH&S management system, including protecting workers from reprisals;
- 509 h) communicating the importance of effective OH&S management and of conforming to the OH&S
510 management system requirements;
- 511 i) ensuring that the OH&S management system achieves its intended outcome(s);
- 512 j) directing and supporting persons to contribute to the effectiveness of the OH&S management system for
513 all functions;
- 514 k) promoting continual improvement;
- 515 l) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of
516 responsibility;
- 517 m) promoting and leading organisational culture with regard to the OH&S management system;
- 518 n) ensuring that persons working under the control of the organization are aware of their responsibilities
519 within the OH&S management system and the potential consequences of their actions or inactions on
520 others in the workplace.

521 NOTE Reference to "business" in this International Standard can be interpreted broadly to mean those activities that
522 are core to the purposes of the organization's existence.

523 5.2 Policy

524 Top management shall establish an OH&S policy that:

- 525 a) is appropriate to the purpose of the organization and to the nature of the organization's OH&S risks and
526 opportunities;
- 527 b) provides a framework for setting and achieving the organization's OH&S objectives;
- 528 c) includes a commitment to satisfy applicable legal and other requirements to which the organization
529 subscribes;
- 530 d) includes a commitment to the control of OH&S risks through a hierarchy of control;

531 e) includes a commitment to continual improvement of the OH&S management system to enhance the
532 organisation's OH&S performance;

533 f) includes a commitment to worker participation and consultation (including, as appropriate, worker
534 representation).

535 The OH&S policy shall:

536 — be available as documented information;

537 — be communicated within the organization to persons working under the control of the organization;

538 — be available to interested parties, as appropriate;

539 — be reviewed periodically to ensure that it remains relevant and appropriate.

540 **5.3 Organizational roles, responsibilities, accountabilities and authorities**

541 Top management shall identify one or more of its members to be accountable for the OH&S policy and OH&S
542 management system.

543 Top management shall ensure that the responsibilities, accountabilities and authorities for ~~relevant~~ roles
544 relevant to the OH&S management system are assigned and communicated at all levels within the
545 organization and retained as documented information.

546 Top management shall assign the responsibility and authority for:

547 a) ensuring that the OH&S management system conforms to the requirements of this International
548 Standard;

549 b) reporting on the performance of the OH&S management system to top management.
550

551 **6 Planning**

552 **6.1 Actions to address risks and opportunities**

553 **6.1.1 General**

554 When planning for the OH&S management system, the organization shall consider the issues referred to in
555 4.1 (context), the requirements referred to in 4.2 (interested parties) and 4.3 (the scope of its OH&S
556 management system) and determine the risks and opportunities that need to be addressed to:

557 a) give assurance that the OH&S management system can achieve its intended outcome(s);

558 b) prevent, or reduce, undesired effects;

559 c) achieve continual improvement.

560 When determining the risks and opportunities that need to be addressed, the organization shall also consider:

561 — risks and opportunities related to the operation of the OH&S management system that can affect the
562 achievement of the intended outcomes;

563 — OH&S risks related to the hazards identified in 6.1.2.

564 **6.1.2 Hazard identification**

565 The organization shall establish, implement and maintain a process for the on-going proactive identification of
566 hazards potentially affecting achievement of the intended outcome of the organization's OH&S management
567 system.

568 The process for hazard identification shall ensure that the organization gives consideration to:

- 569 a) routine, non-routine and emergency activities and situations;
- 570 b) all persons with access to the workplace (including contractors and visitors) and their activities;
- 571 c) situations not controlled by the organization and occurring outside the workplace that can cause injury or
572 ill health to persons in the workplace;
- 573 d) situations occurring in the vicinity of the workplace caused by work-related activities under the control of
574 the organization;
- 575 e) hazards to workers from work-related activities they perform at a workplace, which is not under direct
576 control of the organization;
- 577 f) infrastructure, equipment, materials, substances and the physical conditions of the workplace;
- 578 g) hazards that can arise during production, assembly, construction, service delivery or maintenance as a
579 result of product design;
- 580 h) actual or proposed changes in the organization, its operations, processes, activities and OH&S
581 management system;
- 582 i) the design of work areas, processes, installations, machinery/equipment, operating procedures and work
583 organization, including their adaptation to human capabilities;
- 584 j) capabilities and other human factors;
- 585 k) changes in knowledge and information on hazards;
- 586 l) past incidents, accidents and reports on ill-health.

587 **6.1.3 Determination of legal and other requirements**

588 The organization shall establish, implement and maintain a process to:

- 589 a) identify and have access to current legal requirements and other requirements to which the organization
590 subscribes related to its OH&S risks and OH&S management system;
- 591 b) determine how to apply and meet these requirements.

592 The organization shall maintain and retain documented information of:

- 593 — legal requirements and other requirements to which the organization subscribes, ensuring this
594 documented information is updated to reflect changes;
- 595 — how compliance with its legal requirements and other requirements to which the organization subscribes
596 will be achieved.

597 **6.1.4 Assessment of OH&S risks**

598 The organization shall establish, implement and maintain a process to:

599

- 600 a) assess and prioritize OH&S risk;
- 601 b) identify opportunities to lower OH&S risk;
- 602 c) determine controls, taking into account legal requirements and other requirements and considering the
603 hierarchy of controls as set out in 8.1.2;
- 604 d) maintain and keep current, documented information on its assessment of OH&S risks, methodology(ies)
605 used, outcomes of the assessment and controls identified.

606 The organization shall analyse the underlying causes of incidents and update its assessment of OH&S risks
607 as necessary.

608
609 The organization's methodology(ies) for assessment of risk shall be defined with respect to its scope, nature
610 and timing, to ensure it is proactive rather than reactive and used in a systematic way.

611

612 **6.1.5 Planning for changes**

613 The organization shall identify the hazards and assess the OH&S risks and opportunities associated with
614 changes in the organization, its processes, or the OH&S management system. In the case of planned
615 changes, permanent or temporary, this assessment shall be undertaken before the change is implemented.

616 The organization shall retain appropriate documented information on planned changes, including the
617 associated assessments of OH&S risk.

618 **6.1.6 Planning to take action**

619 The organization shall plan:

- 620 a) actions to address ~~these~~ the risks and opportunities (see 6.1.2 and 6.1.4);
- 621 b) actions to prepare for, and respond to, emergency situations;
- 622 c) how to integrate and implement the relevant actions, including the application of controls, into its OH&S
623 management system processes;
- 624 d) how to evaluate the effectiveness of these actions and respond accordingly.

625 The organization shall retain the outcome of these plans as documented information.

626

627 **6.2 OH&S objectives and planning to achieve them**

628 **6.2.1 OH&S objectives**

629 The organization shall establish OH&S objectives at relevant functions and levels to maintain and improve the
630 OH&S management system and to achieve continual improvement in OH&S performance (see Clause 10).

631 The OH&S objectives shall:

- 632 a) be consistent with the OH&S policy;
- 633 b) take into account applicable legal requirements and other requirements;
- 634 c) take into account the outcome of the assessment of risks and opportunities;
- 635 d) be measurable (if practicable);

- 636 e) be monitored;
- 637 f) be communicated (see 7.4);
- 638 g) be updated as appropriate.

639 When establishing its OH&S objectives the organization shall consider technological options, financial,
640 operational and business requirements.

641 The organization shall consider the participation of workers (and, as appropriate, their representatives) and
642 other interested parties (see 7.4.2).

643 6.2.2 Planning to achieve OH&S objectives

644 When planning how to achieve its OH&S objectives, the organization shall determine:

- 645 a) what will be done;
- 646 b) what resources will be required;
- 647 c) who will be responsible;
- 648 d) when it will be completed;
- 649 e) how it will be monitored;
- 650 f) how the results will be evaluated;
- 651 g) how it will be integrated into its business processes.

652 The organization shall retain documented information on the OH&S objectives and plans to achieve them.

653 7 Support

654 7.1 Resources

655 The organization shall determine and provide the resources needed for the establishment, implementation,
656 maintenance and continual improvement of the OH&S management system in order to enhance OH&S
657 performance.

658 7.2 Competence

659 The organization shall:

- 660 a) determine the necessary criteria for competence of person(s) doing work under its control that affects or
661 can affect its OH&S performance;
- 662 b) ensure that these persons are competent on the basis of appropriate education, training, qualification and
663 of experience;
- 664 c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of
665 the actions taken;
- 666 d) retain appropriate documented information as evidence of competence.

667 Actions taken to ensure competence, including training, shall take into account:

- 668 — the hazards identified and associated risks assessed by the organization;

- 669 — preventive and control measures resulting from the risk assessment process;
- 670 — assigned roles and responsibilities;
- 671 — individual capabilities, including language skills and literacy;
- 672 — the relevant updating of the competencies if necessary (context or work changes).

673 NOTE 1 Necessary competencies also include those prescribed by regulation.

674 NOTE 2 Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment
675 of currently employed persons; or the hiring or contracting of competent persons.

676 NOTE 3 Workers and worker representatives can assist in both identifying needs and assisting in building necessary
677 competencies.

678 7.3 Awareness

679 Persons doing work or work-related activities, regularly or temporarily, under the organization's direct and
680 indirect control shall be aware of:

- 681 a) the OH&S policy;
- 682 b) their contribution to the effectiveness of the OH&S management system, including the benefits of
683 improved OH&S performance;
- 684 c) the implications of not conforming with the OH&S management system requirements, including the
685 consequences, actual or potential, of their work activities;
- 686 d) information and lessons learned concerning relevant incidents.

687 7.4 Information, communication, participation and consultation

688 7.4.1 Information and communication

689 The organization shall determine the need for internal and external information and communications relevant
690 to the OH&S management system including decisions:

- 691 a) on what information to disseminate;
- 692 b) on what it will communicate;
- 693 c) when to communicate;
- 694 d) to or with whom to communicate:
 - 695 1) internally among the various levels and functions of the organization;
 - 696 2) with contractors and other visitors to the workplace;
 - 697 3) with external interested parties;
- 698 e) how to communicate;
- 699 f) how it will receive, maintain documented information on, and respond to relevant communications.

700 The organisation shall define the objectives to be reached by informing and communicating, and shall
701 evaluate whether the objectives have been met.

702

703

704 The organization shall take into account diversity aspects (e.g. language, culture, literacy), as appropriate,
705 when considering its information and communication needs.

706 **7.4.2 Participation, consultation and representation**

707 The organization shall establish a process to ensure effective participation in the OH&S management system
708 by its workers at all levels and functions of the organization by:

709 a) providing workers (and, as appropriate, their representatives) with the mechanisms, time and
710 resources necessary to participate in, at a minimum, the process of:

711 — policy (see 5.2);

712 — planning (see Clause 6);

713 — operation (implementation) (see Clause 8);

714 — performance evaluation and improvement (evaluation, corrective action, and preventive action)
715 (see Clauses 9 and 10);

716 b) providing workers (and, as appropriate, their representatives), with timely access to information
717 relevant to the OH&S management system;

718 c) identifying and removing obstacles or barriers to participation wherever possible;

719 d) encouraging timely reporting of work-related hazards, risks and incidents.

720 The organization shall ensure that, when appropriate, relevant external interested parties are consulted about
721 matters pertinent to the OH&S management system.

722 All members of the organization, at all levels, shall assume their assigned responsibilities for the OH&S
723 management system, including adherence to the organization's requirements established to prevent injury or
724 ill health.

725 NOTE 1 Obstacles or barriers include lack of response to employee input or suggestions, reprisals (supervisory and
726 peer), or any policy, practice or program that penalizes or discourages participation.

727 NOTE 2 Effective participation includes, as appropriate, engaging safety committees and worker representatives.

728 NOTE 3 Effective participation of workers (and, as appropriate, their representatives) includes consultation which
729 involves an exchange of relevant information and advice as part of the decision making process.

730 **7.5 Documented information**

731 **7.5.1 General**

732 The organization's OH&S management system shall include:

733 a) a description of the main elements of the OH&S management system and their interaction, and reference
734 to related documented information;

735 b) [documented information required by this International Standard](#);

736 c) [documented information determined by the organization as being necessary for the effectiveness of the](#)
737 [OH&S management system](#).

738 NOTE The extent of documented information for an OH&S management system can differ from one organization to
739 another due to:

740 — the size of organization and its type of activities, processes, products and services;

741 — the complexity of processes and their interactions;

742 — the competence of persons.

743 7.5.2 Creating and updating

744 When creating and updating documented information the organization shall ensure appropriate:

745 a) identification and description (e.g. a title, date, author, or reference number);

746 b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic);

747 c) review and approval for suitability and adequacy, to ensure that it can be understood by the users.

748 7.5.3 Control of documented Information

749 Documented information required by the OH&S management system and by this International Standard shall
750 be controlled to ensure:

751 a) it is available and suitable for use, where and when it is needed;

752 b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

753 For the control of documented information, the organization shall address the following activities, as
754 applicable:

755 — distribution, access, retrieval, traceability and use;

756 — storage and preservation, including preservation of legibility;

757 — control of changes (e.g. version control);

758 — retention and disposition;

759 — prevention of unintended use of obsolete documents;

760 — access for workers to records relevant to their working environment and health, while respecting the need
761 for confidentiality.

762 Documented information of external origin determined by the organization to be necessary for the planning
763 and operation of the OH&S management system shall be identified as appropriate, and controlled.

764 NOTE Access implies a decision regarding the permission to view the documented information only, or the permission and
765 authority to view and change the documented information.

766 8 Operations

767 8.1 Operational planning and control

768 8.1.1 General

769 The organization shall plan, implement and control processes as needed to meet OH&S management system
770 requirements, including prevention, and to implement the actions determined in 6.4 Clause 6, by:

- 771 a) determining processes that are associated with identified hazard(s) where the implementation of controls
772 including prevention is necessary to manage the OH&S risks;
- 773 b) **establishing criteria for processes** that need to be controlled;
- 774 c) **implementing the control of these processes in accordance with the established criteria**;
- 775 d) **keeping documented information** about the determined controls up-to-date **to the extent necessary to**
776 **have confidence that the processes have been carried out as planned**;
- 777 e) covering situations where the absence of documented information could lead to deviations from the
778 OH&S policy and the OH&S objectives.

779 The actions shall include enforcement and supervision, as necessary.

780 **8.1.2 Hierarchy of control**

782 The organization shall establish a process for achieving risk reduction based upon the following hierarchy:

- 783 a) eliminate the hazard;
- 784 b) substitute with less hazardous materials, processes, operations or equipment;
- 785 c) use engineering controls;
- 786 d) use safety signs, markings and warning devices and administrative controls;
- 787 e) use personal protective equipment.

788 The organization shall ensure that the OH&S risks and determined controls are taken into account when
789 establishing, implementing and maintaining its OH&S management system.

790 **8.2 Management of change**

791 The organization shall plan for (see 6.1.5) and manage changes to the OH&S management system, whether
792 the changes are temporary or permanent, to ensure they do not cause a deterioration in OH&S performance,
793 including:

- 794 a) the resolution of incidents and nonconformities;
- 795 b) new products, processes or services at the design stage or re-design stage as well as changes in
796 knowledge or information about hazards;
- 797 c) changes to work processes, procedures, equipment, organizational structure, staffing, products, services,
798 contractors or suppliers;
- 799 d) developments in knowledge and technology;
- 800 e) changes to legal or other requirements.

801 **The organization shall** establish a process for the implementation and **control** of **planned changes**. The
802 responsibilities and authorities for managing changes and their associated OH&S risks shall be identified.

803
804 The organization shall ~~and~~ **review the consequences of unintended changes, taking action to mitigate any**
805 **adverse effects, as necessary**.

806 **8.3 Outsourcing**

807 The organization shall ensure that outsourced processes affecting its OH&S management system are
808 controlled.

809 **8.4 Procurement**

810 The organization shall establish procurement controls for the purchase of products, raw materials, equipment,
811 goods and related services, in order to conform to OH&S management system requirements.

812 **8.5 Contractors**

813 The organization shall establish processes to identify hazards and evaluate and control OH&S risks to:

- 814 a) the organization's workers that are arising from the contractor's activities and operations, and
- 815 b) the contractors' workers that are arising from the organization's activities and operations.
- 816 c) other interested parties in the workplace.

817 The organization shall establish and maintain processes to ensure that relevant requirements of the
818 organization's OH&S management system are met by contractors and their workers.

819 NOTE On multi-employer worksites, usually the organization implements a process for coordinating the relevant
820 portions of the OH&S management system with other organizations as appropriate.

821 **8.6 Emergency preparedness and response**

822 The organization shall assess OH&S risks associated with emergency situations and establish, implement and
823 maintain a process to anticipate, prevent and minimize risks from potential emergencies, including:

- 824 a) to identify and plan for potential emergency situations;
- 825 b) to respond to such emergency situations;
- 826 c) to periodically test and exercise, where practicable;
- 827 d) to evaluate and revise its emergency preparedness as necessary, in particular, after the occurrence of
828 emergency situations;
- 829 e) to provide relevant information to all members of the organization, at all levels, on their duties and
830 responsibilities and provide training for emergency prevention, preparedness and response;
- 831 f) to communicate with contractors, visitors, relevant emergency response services, government authorities,
832 and the local community, as appropriate.

833 In all stages of the process the organization shall take account of the needs and capabilities of relevant
834 interested parties and ensure their involvement, as appropriate.

835 **9 Performance evaluation**

836 **9.1 Monitoring, measurement, analysis and evaluation**

837 **9.1.1 General**

838
839 The organization shall determine:
840

- 841 a) **what needs to be monitored and measured** to meet requirements of this International Standard, legal
842 requirements and requirements to which an organization subscribes;
- 843 b) the criteria against which the organization will evaluate its OH&S performance;
- 844 c) **the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;**
- 845 d) **when the monitoring and measuring shall be performed;**
- 846 e) **when the results from monitoring and measurement shall be analysed and evaluated.**

847 Where it is appropriate to use monitoring or measurement equipment, the organization shall ensure it is
848 calibrated or verified.

849 **The organization shall evaluate the OH&S performance, and the effectiveness of the OH&S management**
850 **system.** In particular the organization shall use the monitoring and measuring results during its evaluations.

851 **The organization shall retain appropriate documented information as evidence of the monitoring,**
852 **measurement, analysis and evaluation results.**

853 **9.1.2 Evaluation of compliance**

854 The organization shall implement and maintain a process for evaluating compliance with requirements of this
855 International Standard, legal requirements and requirements to which the organization subscribes (see 6.1.2).

856 Consistent with its commitment to compliance, the organization shall:

- 857 a) determine the frequency and method by which compliance will be evaluated;
- 858 b) evaluate compliance and take action if needed;
- 859 c) retain documented information as evidence of the results of its compliance evaluation(s).

860 **9.2 Internal audit**

861 **9.2.1 Internal audit objectives**

862 **The organization shall conduct internal audits at planned intervals to provide information on whether the**
863 **OH&S management system:**

- 864 a) **conforms to:**
- 865 — **the organization's own requirements for its OH&S management system;**
 - 866 — **the requirements of this International Standard;**
- 867 b) **is effectively implemented and maintained.**

868 **9.2.2 Internal audit process**

869 **The organization shall:**

- 870 a) **plan, establish, implement and maintain an internal audit programme(s) including the frequency, methods,**
871 **responsibilities, planning requirements and reporting, which shall take into consideration the importance**
872 **of the processes concerned to the OH&S management system, performance evaluation outcomes, and**
873 **the results of previous audits;**
- 874 b) **define the audit criteria and scope for each audit;**

- 875 c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- 876 d) ensure that the results of the audits are reported to relevant management and other persons;
- 877 e) retain documented information as evidence of the implementation of the audit programme and the audit
878 results.

879 **9.3 Management review**

880 Top management shall review the organization's OH&S management system at planned intervals to ensure
881 its continuing suitability, adequacy and effectiveness.

882 The management review shall include consideration of:

- 883 a) the status of actions from previous management reviews;
- 884 b) changes in external and internal issues that are relevant to the OH&S management system;
- 885 c) information on the OH&S performance, including status and trends in:
- 886 — incidents, nonconformities, continual improvement, investigation outcomes, and corrective actions;
 - 887 — relevant communication(s) with interested parties;
 - 888 — the results of worker participation and consultation;
 - 889 — monitoring and measurement results;
 - 890 — audit results;
 - 891 — fulfillment of its requirements of this International Standard, legal requirements and requirements to
892 which the organization subscribes;
 - 893 — OH&S risk and opportunities;
- 894 d) the extent to which OH&S policy and OH&S objectives have been met;
- 895 e) the adequacy of resources for maintaining an effective OH&S management system;
- 896 f) opportunities for continual improvement.

897 The outputs of the management review shall include decisions related to continual improvement opportunities
898 and any need for changes to the OH&S management system.

899
900 The organization shall retain documented information as evidence of the results of management reviews.

901 **10 Improvement**

902 **10.1 Incident, nonconformity and corrective action**

903 When an incident or a nonconformity occurs, the organization shall:

- 904 a) react in a timely manner to the incident or nonconformity, and, as applicable:
- 905 — take action to control and correct it;
 - 906 — deal with the consequences;

- 907 b) evaluate the need for corrective action to eliminate the causes of the incident or nonconformity, in order
908 that it does not recur or occur elsewhere, by
- 909 — reviewing the incident or nonconformity;
 - 910 — determining causes of the incident or nonconformity;
 - 911 — determining if similar incidents and nonconformities or causes exist, or could potentially occur;
- 912 c) implement any action needed including corrective action, in accordance with 8.2;
- 913 d) review the effectiveness of any corrective action taken;
- 914 e) consider the need to review the identification of hazards and the evaluation of risks as outlined in 6.1;
- 915 f) make changes to the OH&S management system, if necessary.

916 Corrective actions shall be appropriate to the effects or potential effects of the incidents or nonconformities
917 encountered.

918 The organization shall retain documented information as evidence of:

- 919 — the nature of the incidents or nonconformities and any subsequent actions taken;
- 920 — the results of any corrective action.

921 **10.2 Continual improvement**

922 The organization shall continually improve the suitability, adequacy and effectiveness of the OH&S
923 management system to:

- 924 a) prevent occurrence of potential incidents and nonconformities;
- 925 b) promote improvements in OH&S performance.

927 The organization shall establish, implement and maintain a continual improvement process(es) which takes
928 into account the outputs of the activities described in:

- 929 — Clause 4 'Context of the organization';
- 930 — Clause 6.1 'Actions to address risks and opportunities';
- 931 — Clause 6.2 'Objectives and plans to achieve them' ;
- 932 — Clause 7.4 'Information, communication participation and consultation';
- 933 — Clause 9.1 'Monitoring, measurement and evaluation';
- 934 — Clause 9.3 'Management review'.

935 The organization shall retain documented information as evidence of the results of continual improvement.

936 **Annex A**
937 (informative)

938 **Guidance on the use of this International Standard**
939

940 **A.1 Scope**

941 **A.1.1 Scope of this Annex**

942 This International Standard outlines the requirements of a robust, credible and reliable OH&S management
943 system. The additional text given in this Annex is strictly informative and is intended to prevent
944 misinterpretation of the requirements contained in this International Standard. While the information in this
945 Annex addresses and is consistent with these requirements, it is not intended to add to, subtract from, or in
946 any way modify them.

947 **A.1.2 Scope of this International Standard**

948 This Annex does not contain explanatory information on Clause 1.

949 **A.2 Normative references**

950 Since there are no normative references, this Annex does not contain explanatory information on Clause 2.

951 **A.3 Terms and definitions**

952 The terms set out in Clause 3 have a specialized technical meaning for their use in this International Standard.
953 This subclause provides further explanation of some of the other words commonly used in management
954 system standards to help the user understand their use and to help in translation.

- 955 a) *Plan* – detailed formulation of a programme to achieve an objective.
956 b) *Programme* – planned series of steps, projects or activities to be carried out.
957 c) *Design* – working out the form, fit or function of something.
958 d) *Purpose* – (intended or expected) outcome that is anticipated from planned actions.
959 e) *Determine* – establish or find out.
960 f) *Define* – state or describe exactly the nature, scope or meaning of that which is under consideration.
961 g) *Identify* – establish the identity of something.

962 To avoid misunderstanding, clarifications of selected concepts are provided below:

- 963 — 'NOTES' included in the various clauses of this International Standard are informative;
964 — '*Continual*' indicates duration that occurs over a period of time, but with intervals of interruption (unlike
965 '*continuous*' which indicates duration without interruption). '*Continual*' is therefore the appropriate word to
966 use in the context of improvement;
967 — The word '*consider*' means it is necessary to think about but can be rejected, whereas '*take into account*'
968 means it is necessary to think about but cannot be rejected;

- 969 — The words ‘*appropriate*’ and ‘*applicable*’ are not interchangeable. ‘*Appropriate*’ means suitable (for, to)
 970 and implies some degree of freedom, while ‘*applicable*’ means relevant or possible to apply and implies
 971 that if it can be done, it should be done;
- 972 — This International Standard uses the term ‘*interested party*’, the term ‘*stakeholder*’ is a synonym as it
 973 represents the same concept;
- 974 — The word ‘*ensure*’ means the responsibility can be delegated, but not the accountability to make sure that
 975 it is performed;
- 976 — ‘*Documented information*’ is used to include both documents and records. This International Standard
 977 uses the phrase ‘*retain documented information as evidence of...*’ to mean records, and ‘*shall be*
 978 *available as documented information*’ to mean documents, including procedures. The phrase ‘*to retain*
 979 *documented information as evidence of...*’ is not intended to require that the information retained must
 980 meet legal evidentiary requirements. Instead, it is intended to define the type of records that need to be
 981 retained.
- 982 Organizations can be subject to legal requirements related to the OH&S management system that mandate
 983 the use of certain terms or their meaning. In such cases, conformity to this International Standard still requires
 984 that its intent be fulfilled even when using such legally prescribed terms.

985 **A.4 Context of the organization**

986 **A.4.1 Understanding the context of the organization**

987 The intent of this clause is to provide a high-level understanding of the issues that can affect, either positively
 988 or negatively, the way the organization manages its responsibilities in relation to the OH&S management
 989 system for persons working under its control.

991 The issues of interest are those that affect the organization’s ability to achieve the intended outcome including
 992 the objectives it sets for its OH&S management system, which include meeting its OH&S policy commitments.
 993 Issues can include conditions, characteristics or changing circumstances that can affect the OH&S
 994 management system, for example:

996 a) external context issues, such as:

997 — the cultural, social, political, legal, financial, technological, economic and natural surroundings and
 998 market competition, whether international, national, regional or local;

999 — introduction of new competitors, new technologies, new laws and the emergence of new
 1000 occupations;

1001 — key drivers and trends relevant to the industry or sector having impact on the objectives of the
 1002 organization;

1003 — relationships with, and perceptions and values of, its external interested parties;

1004 — changes in relation to any of the above;

1005 b) internal context issues, such as:

1006 — governance, organizational structure, roles and accountabilities;

1007 — policies, objectives, and the strategies that are in place to achieve them;

1008 — the capabilities, understood in terms of resources and knowledge (e.g. capital, time, people,
 1009 processes, systems and technologies);

- 1010 — information systems, information flows and decision-making processes (both formal and informal);
- 1011 — introduction of new products and equipment;
- 1012 — relationships with, and perceptions and values of, internal interested parties;
- 1013 — the organization's culture;
- 1014 — standards, guidelines and models adopted by the organization;
- 1015 — form and extent of contractual relationships;
- 1016 — changes in relation to working time requirements and any of the above.

1017 The results of the context review should be used to assist the organization in understanding and determining
 1018 the scope of its OH&S management system, determining its risks and opportunities, developing or enhancing
 1019 its OH&S policy, setting its OH&S objectives and determining the effectiveness of its approach to maintaining
 1020 compliance with applicable legal requirements and other requirements to which the organization subscribes.
 1021

1022 **A.4.2 Understanding the needs and expectations of interested parties**

1023 Interested parties can be either internal or external to the organization. The organization should seek to
 1024 ensure that it is aware of all relevant interested parties that can affect the OH&S management system, or
 1025 which perceive themselves to be affected by it, in order to plan how to meet their needs and expectations,
 1026 when relevant.

1027 Interested parties to an OH&S management system can include:

- 1028 a) Workers and, as appropriate, workers' representatives;
- 1029 b) legal and regulatory authorities (local, regional, state/provincial, national or international);
- 1030 c) parent organizations;
- 1031 d) suppliers, co-contractors and subcontractors;
- 1032 e) owners, shareholders of the organization.

1033 Interested party needs and expectations are not necessarily compliant requirements of the organization. It is
 1034 important to distinguish between what these needs and expectations will lead to:

- 1035 — mandatory requirements: laws, regulations;
- 1036 — commitment requirements: voluntary commitments to interested parties to which the organization
 1037 voluntarily subscribes including commitments with the workers' representatives. It also includes rules,
 1038 guides and technical references;
- 1039 — other requirements to which the organization voluntarily subscribes that relate to the OH&S management
 1040 system.

1041 Needs and expectations from interested parties only become obligatory requirements for an organization if
 1042 that organization chooses to adopt them. Once the organization adopts them, then they become
 1043 organizational requirements and should be considered when planning the OH&S management system.

044 **A.4.3 Scope of the OH&S management system**

045 The scope of the OH&S management system is intended to clarify the spatial and organizational boundaries
046 to which the system will apply, especially if the organization is a part of a larger organization at a given
047 location. An organization has the freedom and flexibility to define its boundaries. It may choose to implement
048 this International Standard with respect to the entire organization, or to (a) specific part(s) of the organization,
049 as long as the top management of that part of the organization has authority for establishing an OH&S
050 management system.

051 In setting the scope, the credibility of the OH&S management system will depend upon the choice of
052 organizational boundaries. It should be noted that 4.3 requires that the organization should take into account
053 all its activities, products or services that are within its control or influence that can impact on OH&S
054 performance when defining the scope for its OH&S management system.

055 The scope should be factual and representative of the organization's operations included within its OH&S
056 management system boundaries so that it does not mislead interested parties.

057 Once the organization asserts it conforms to this International Standard, the scope should be documented and
058 where necessary made available to interested parties.

059 The scope of activities, products and services can extend beyond the immediate direct control of the
060 organization (see 8.3 regarding outsourcing and 8.5 for contractors). Supply and procurement policies should
061 address hazards and potential OH&S risks to persons in the organization and, as far as possible, impacts on
062 persons, outsourced or subcontracted, carrying out activities or producing products or services for the
063 organization.

064 **A.4.4 OH&S management system**

065 [Adapted from pre-DIS 14001]

066 The organization retains authority, accountability, and autonomy, to decide how it will fulfil the requirements of
067 this International Standard, including the level of detail and extent to which it will:

- 068 a) integrate requirements of the OH&S management system into its various business operations, such as
069 design & development, procurement, human resources, sales and marketing, etc.;
- 070 b) incorporate issues associated with its context (4.1) and interested party requirements (4.2) within its
071 OH&S management system.

072 If this International Standard is implemented for a specific part(s), of an organization, the policies and
073 processes developed by other parts of the organization can be used to meet the requirements of this
074 International Standard, provided that they are applicable to the specific part(s) that will be subject to them.

075 **A.5 Leadership**

076 **A.5.1 Leadership and commitment**

077 Commitment, responsiveness, active support and feedback from the organization's top management are
078 critical for the success of the OH&S management system and therefore they have specific responsibilities for
079 which they need to be personally involved or which they need to direct.

080 Top management should create and promote a positive organizational culture and provide a healthy and safe
081 working environment for the persons working under the control of the organization, through the
082 establishment and implementation of the OH&S management system, with the participation of workers and
083 with prevention as key priorities.

1084 An organization's culture is the product of individual and group values, attitudes, perceptions, competencies
1085 and patterns of behaviour that determine the commitment to, and the style and proficiency of, its OH&S
1086 management. An organization with a positive culture is characterized by communications founded on mutual
1087 trust, by shared perceptions of the importance of the OH&S management system and by confidence in the
1088 efficacy of preventive measures.

1089 **A.5.2 Policy**

1090 [Adapted from pre-DIS 14001]

1091 The OH&S policy is a set of principles stated as commitments in which top management outlines the long-
1092 term direction of the organization to support and continually improve its OH&S performance. The OH&S policy
1093 sets the framework for the organization to set its objectives and take actions to achieve the intended
1094 outcomes of the OH&S management system.

1095 Clause 5.2 specifies three basic commitments for the OH&S policy: to provide a healthy and safe working
1096 environment, to satisfy applicable legal requirements and other requirements to which the organization
1097 subscribes, and to continually improve its OH&S performance. These commitments are then addressed in
1098 specific requirements in other clauses to establish, implement, maintain and continually improve a robust,
1099 credible and reliable OH&S management system.

1100 It is important to understand that the organization needs to have an appreciation for the relationship between
1101 the policy commitments and the requirements that are specified in other clauses.

1102 While all the commitments are important, some interested parties are especially concerned with the
1103 organization's commitment to satisfy its applicable legal requirements and other requirements to which it
1104 subscribes. In this respect it is important to acknowledge that this International Standard specifies a number of
1105 interconnected requirements related to this commitment. This includes the need to identify the legal and other
1106 requirements, to ensure operations are carried out in accordance with these legal and other requirements and
1107 to evaluate conformity with the legal and other requirements.

1108 **A.5.3 Organizational roles, responsibilities, accountabilities and authorities**

1109 The successful implementation of an OH&S management system calls for a commitment from all persons
1110 working under the control or influence of the organization. This commitment should begin at the highest levels
1111 of management.

1112 The organization should communicate and promote that it is the responsibility of all persons working under
1113 the organization's control or influence to prevent injuries and ill health, not just the responsibility of those with
1114 defined OH&S management system responsibilities. In fulfilling their responsibilities, all persons in the
1115 workplace need to consider not only their own health and safety but also the health and safety of others.

1116
1117 Accountability means ultimate responsibility and relates to the person who is held to account if something is
1118 not done, does not work, or fails to achieve its objective.

1119 To ensure the successful establishment, implementation and maintenance of an OH&S management system,
1120 top management should define and assign responsibilities, accountability and authority within the
1121 organization.

1122 The top management should assign (a) representative(s) or function(s) with sufficient authority, awareness,
1123 competence and resources to

1124 a) ensure the establishment, implementation and the maintenance of the OH&S management system at all
1125 applicable levels of the organization, and

1126 b) report to the top management on OH&S management system performance and its opportunities for
1127 improvement.

128 The responsibility for managing the OH&S management system can be combined with other functions.

129 The organization should define and communicate the responsibilities, accountability and authorities of all
130 persons whose work relates to its OH&S management system. OH&S management system responsibilities
131 should be assigned in appropriate areas of the organization, such as operational management (e.g. design,
132 maintenance, manufacturing) or other staff functions (e.g. middle management and supervisors). The
133 resources provided by the top management should enable the fulfilment of the responsibilities assigned. The
134 responsibilities, accountabilities and authorities should be reviewed when a change in structure of the
135 organization occurs.

136 The persons assigned these roles should be competent and have sufficient access to, and encouragement
137 from, top management authority and resources in order to keep top management informed of the status and
138 performance of the OH&S management system and whether the OH&S management system conforms with
139 the requirements of this International Standard. The persons assigned these roles should be entitled to report
140 to supervisors or other managers about dangerous situations so that corrective and preventive action can be
141 taken and to report concerns to responsible authorities as required without the threat of dismissal, discipline or
142 other such reprisals. Such roles can be assigned to an individual, sometimes referred to as the 'management
143 representative', shared by several individuals, or assigned to a member of top management.

144 In order to properly exercise the right of workers to remove themselves from imminent and serious danger, it
145 is essential that workers are provided sufficient training on hazards and risks associated with their work. Top
146 management, other managers, and workers should have common understanding on what situations constitute
147 conditions to be considered to pose imminent and serious dangers with concrete examples. Guidance and
148 examples can be sought from the competent national authorities in this connection.

149 **A.6 Planning**

150 **A.6.1 Actions to address risks and opportunities**

151 **A.6.1.1 General**

152 When planning the organisation's OH&S management system, the context (4.1) in which it will operate, the
153 views of its interested parties (4.2) and its scope (4.3) are considered to ensure the system can identify its
154 risks and opportunities.

155 Planning is not a single event but an on-going process, anticipating changing circumstances and continually
156 identifying opportunities to support the achievement of the organization's strategic OH&S objectives.

157 An initial review may be conducted when planning for the OH&S management system. The output from this
158 review can be used in the planning process.

159 This clause of the standard calls for actions to identify hazards (6.1.2) and legal requirements and other
160 requirements to which the organization subscribes (6.1.3) and to assess OH&S risks (6.1.4) and changes
161 (6.1.5). This information is then used to determine how the risks and opportunities should be managed
162 (6.1.6).

163 The purpose of planning in the OH&S management system is to prevent undesired effects such as injury or ill
164 health by anticipating hazardous events and their likelihood and consequences in order to achieve the
165 intended outcomes of the OH&S management system. It also identifies opportunities that can offer a potential
166 advantage or beneficial outcome such as improved OH&S performance.

167 Examples of OH&S opportunities are:

- 168 a) comparing the organization's OH&S performance with that of other organizations, e.g. benchmarking;
- 169 b) encouraging worker suggestions for preventing injuries and ill health;

- 1170 c) establishing top management safety tours of the workplace;
- 1171 d) participating in safety forums;
- 1172 e) using new technologies to improve OH&S performance;
- 1173 f) improving OH&S performance during planned changes such as facilities relocation or process re-design;
- 1174 g) extending training beyond requirements.

1175 Planning also includes determining how to incorporate the actions deemed necessary or beneficial into the
 1176 OH&S management system through objective setting (see 6.2), operational control (see 8.1) or other specific
 1177 clauses of the OH&S management system, for example, resource provisions (see 7.1) and competence (see
 1178 7.2). The mechanism for evaluating the effectiveness of the preventive action taken is also planned and can
 1179 include monitoring and measurement techniques (see 9.1), internal audit (see 9.2) or management review
 1180 (see 9.3).

1181

1182 **A.6.1.2 Hazard identification**

1183 **A.6.1.2.1** Hazard identification should be on-going to reflect current, changing and future activities. This can
 1184 include inputs from the review of data and reports of past incidents and ill-health from both inside and outside
 1185 the organization.

1186 The hazard identification process should ensure that the organization recognizes and understands hazards
 1187 that might arise in the course of its activities, and the potential impacts of those hazards in order that the risks
 1188 arising can be assessed, prioritized and eliminated, or reduced to as low as reasonably practicable.

1189 Hazard identification should proactively identify any source, situation or act (or combination of these), arising
 1190 from an organization's activities, with a potential for injury, ill health or death.

1191 Examples include:

- 1192 a) sources - powered machinery, toxic substances, radiation;
- 1193 b) situations - working at heights, working in confined spaces, working alone;
- 1194 c) acts – aggressive behaviour, harassment.

1195 Hazards can be categorised in many ways including: physical, chemical, biological, psychosocial,
 1196 physiological; or mechanical and electrical or based on movement and energy. A hazard can also belong to
 1197 more than one of these categories. Hazard identification should include consideration of routine (day to day
 1198 activities such as operating a machine), non-routine (reasonably foreseeable situation such as extended work
 1199 hours, or an oil leak that affects the machine operator) and emergency circumstances (unplanned or
 1200 unscheduled situations, such as a machine catching fire).

1201 **A.6.1.2.2** When implementing the process for hazard identification the organization should consider factors
 1202 listed in 6.1.2 and take into account:

- 1203 a) all planned and potential workplace situations, including short/long-term or occasional activities such as
 1204 construction and other projects, periodic and breakdown maintenance/repair, disruption to utility services,
 1205 water, gas, electricity, sewage;
- 1206 b) multi-organization worksites where the activities of any one of the organizations on the work site could
 1207 cause injury or ill health of persons doing work for another organisation on the work site;
- 1208 c) hazards caused through a design process which could negatively impact those persons manufacturing,
 1209 assembling or constructing the designed item;
- 1210 d) changes in the quality or quantity of resources available to the organization; e.g. reduced numbers of
 1211 people in the organization, or an increase of unskilled trainees; unfamiliar or ageing equipment;
 1212 temporary loss of facilities due to routine maintenance or emergency repair;

- 213 e) new materials, technologies or processes which can introduce hazards including those previously
214 unrecognized or unanticipated;
- 215 f) human factors including skill levels and training needs, differing levels of literacy or language fluency,
216 familiarity with the site or activity, fatigue, individual actual or potential behaviours;
- 217 g) potential hazards beyond the control of the organization such as severe weather events, public protests
218 or emergency situations (fire, flood, etc.) in the vicinity of the workplace;
- 219 h) characteristics of the location at which the activity occurs including ambient temperature, humidity,
220 surrounding noise, proximity to other workers, lighting, work surfaces, rest periods.

221 Hazard identification should be on-going to reflect new activities, changes in current activities and new
222 information, for example gained from previous incidents.

223 **A.6.1.3 Determination of legal requirements and other requirements**

224 **A.6.1.3.1** The legal requirements and other requirements with which an organization needs to comply can
225 include those based on the hazards and risks related to its activities.

226 Legal requirements can take many forms, such as:

- 227 a) legislation, including statutes, regulations and codes of practice;
- 228 b) decrees and directives;
- 229 c) orders issued by regulators;
- 230 d) permits, licences or other forms of authorization;
- 231 e) judgements of courts or administrative tribunals;
- 232 f) treaties, conventions, protocols.

233 **A.6.1.3.2** Other requirements can include:

- 234 a) contractual conditions;
- 235 b) agreements with employees;
- 236 c) agreements with interested parties;
- 237 d) agreements with health authorities;
- 238 e) non-regulatory standards and guidelines;
- 239 f) voluntary principles, codes of practice, technical specifications, charters;
- 240 g) public commitments of the organization or its parent organization;
- 241 h) corporate/company requirements.

242 **A.6.1.4 Assessment of OH&S risks**

243 The purpose of the organization's OH&S management system should be to achieve safe and healthy working
244 conditions with a level of residual risk which is as low as reasonably practicable. Residual risk is the risk
245 remaining after appropriate preventive actions have been taken and controls implemented.

1246 An organization may use different methods to assess risk as part of its overall strategy for addressing different
1247 hazards or activities. Each method should be appropriate to the type of risk being considered. The complexity
1248 of assessment does not depend on the size of the organization but on the hazards associated with activities of
1249 the organization.

1250 The assessment(s) determines the levels of risk and enables the organization to identify appropriate controls
1251 and actions.

1252 **A.6.1.5 Planning for changes**

1253 Changes can present a risk to the OH&S management system. They need to be carefully planned and
1254 controlled before being implemented. Clause 6.1.5 is about the planning for changes, and clause 8.2 is about
1255 managing the implementation of planned changes.

1256 **A.6.1.6 Planning to take action**

1257
1258 The actions planned to address the risks and opportunities identified may be managed through the OH&S
1259 management system, or through other organizational processes such as business continuity, risk, financial or
1260 human resource management, or a combination of these. Equally, the effectiveness of the actions taken may
1261 be measured through the OH&S management system or through other organizational processes.

1262 When the assessment of risk has identified the need for controls, the planning activity determines how these
1263 are implemented in operation (see Clause 8); for example, determining whether to incorporate these controls
1264 into work instructions or into training. Other controls can take the form of measuring or monitoring (see Clause
1265 9).

1266 **A.6.2 OH&S objectives and planning to achieve them**

1267 **A.6.2.1 OH&S objectives**

1268 Objectives are established to improve OH&S performance. This includes reducing hazards, improving health,
1269 or improving the management system processes. Objectives may also be set to improve well-being of workers
1270 if this is in scope for the organization's OH&S management system.

1271 The objectives should be linked to risks and opportunities which the organization has identified as having the
1272 highest priority for the achievement of the intended outcomes of the OH&S management system. Once a level
1273 of performance has been achieved and no further improvement is practicable, an objective may be set to
1274 maintain that level of performance.

1275 OH&S objectives can be integrated with other business objectives and should be set at relevant functions and
1276 levels. Objectives can be both strategic and operational and are set to achieve the intended outcomes of the
1277 organization. Strategic objectives are set to improve the overall performance of the management system, for
1278 example improving the health and safety culture of the organization. Operational objectives are set at the
1279 project or process level, for example noise reduction. The measurement of OH&S objectives can be
1280 qualitative or quantitative. The organization is not required to establish OH&S objectives for each risk it
1281 determines.

1282 **A.6.2.2 Planning to achieve objectives**

1283 The organization can plan to achieve objectives individually or collectively.

1284 The organization might need to develop more formal project plans for complex objectives with multiple tasks.
1285 In considering the means necessary for such planning, the organization should examine the resources
1286 required (financial, human, infrastructure) for the tasks to be performed. The organization should assign
1287 responsibility and completion dates for individual tasks to ensure that the objective can be accomplished
1288 within the overall timeframe.

289 **A.7 Support**

290 **A.7.1 Resources**

291 [Adapted from pre-DIS 14001]

292 Resources include human resources, natural resources, infrastructure, technology, and financial resources.

293 Human resources include specialized skills and knowledge.

294 In considering the need for resources the organization should determine the need for protective measures
295 (such as PPE) and the provision of training as part of a job requirement.

296 Infrastructure includes the organization's buildings, plant, equipment, utilities, information technology and
297 communications systems, emergency containment systems, etc.

298 **A.7.2 Competence**

299 All persons working under the control of the organization need to be competent to take into account hazards
300 and OH&S risks in their work.

301 The competence requirements are not limited to those doing work that have or can be exposed to OH&S risks
302 but also those who manage a function or undertake a role which is critical to achieving the intended outcomes
303 of the OH&S management system.

304 In determining the criteria of the competence for each role an organisation should take into account such
305 things as:

- 306 a) the education, training, qualification and experience necessary to undertake the role;
- 307 b) the work environment in which they will be working;
- 308 c) the hazards identified and associated OH&S risks;
- 309 d) the preventive and control measures resulting from the risk assessment process;
- 310 e) requirements applicable to the OH&S management system;
- 311 f) rights and responsibilities of persons based upon legal requirements and other requirements;
- 312 g) the importance of compliance with the OH&S policy, applicable procedures, legal requirements, and other
313 requirements to which the organization subscribes;
- 314 h) the potential consequences of compliance and noncompliance, including the impact on OH&S
315 performance;
- 316 i) the value of their participation in the OH&S management system (including, as appropriate, their
317 representative(s)).

318 The persons undertaking such a role should be evaluated to ensure that they meet the necessary competence
319 criteria and where appropriate gaps in their competence should be filled by providing additional education,
320 training, and experiences.

321 The competence of all persons should be evaluated periodically to ensure that they have the required
322 competence. An evaluation of their competence should also be carried out whenever there have been
323 changes that can impact upon the activities undertaken in this role.

1324 As appropriate, worker representatives should receive the training required to enable them to carry out their
1325 representative functions effectively.

1326 An organization should ensure that training is conducted by competent personnel.

1327 As appropriate, the authority for overseeing or conducting training can be placed in safety committees.

1328 **A.7.3 Awareness**

1329 [Adapted from 18002]

1330 To ensure they work or act safely, the organization should make persons working under its control sufficiently
1331 knowledgeable of:

1332 a) emergency processes;

1333 b) the consequences of their actions and behaviour in relation to OH&S risks;

1334 c) the benefits of improved OH&S performance;

1335 d) the potential consequences of departing from requirements of the OH&S management system;

1336 e) the need to conform to OH&S policies and good working practices;

1337 f) any other issues that might impact on OH&S performance.

1338 Awareness programmes should be provided for contractors, temporary workers and visitors, etc., according to
1339 the OH&S risks to which they are exposed.

1340 **A.7.4 Information, communication, participation and consultation**

1341 **A.7.4.1 Information and communication**

1342 [Para 1, adapted from 18002, as the text did not address internal communications]

1343 The communication processes established by the organization should provide for the flow of information
1344 upwards, downwards and across the organization. It should provide for both the gathering and the
1345 dissemination of information. It should ensure that pertinent information is provided, received and understood
1346 by all relevant persons.

1347 When determining the need for communication with external interested parties the organization should
1348 consider both its normal operations and potential emergency situations; often external communication
1349 processes include the identification of designated contact individuals and contact numbers. This allows for
1350 appropriate information to be communicated in a consistent manner and can be especially important in
1351 emergency situations where regular updates are requested and a wide range of questions need to be
1352 answered.

1353 Emergency personnel can require access to updated pertinent information such as:

1354 a) emergency evacuation plans, procedures and implementation;

1355 b) audit of hazardous materials and relevant information on site;

1356 c) the organization's personnel potentially at risk;

1357 d) potentially hazardous equipment or debris, including explosion or combustible dust hazards.

358 **A.7.4.2 Participation, consultation and representation**

359 The top management of the organization should encourage the participation of workers in the development,
360 implementation and maintenance of the OH&S management system, including suggestions for the
361 improvement of the system which would lead to improvements in the organizations OH&S performance, such
362 that they should feel safe from the threat of dismissal, discipline or other such reprisals.

363 Consultation is a two-way communication process. For example, workers nearest to OH&S risks (and, as
364 appropriate, their representatives) can be asked about decisions to be taken to control those OH&S risks so
365 they can give their opinion about it.

366 Participation of workers is a process of cooperation which includes consultation between managers and
367 workers (and, as appropriate, their representatives) in order to contribute to decision-making processes on
368 OH&S policy, measures and proposed changes. This cooperation includes workers (and, as appropriate, their
369 representatives) being given adequate information, protection from dismissal and other prejudicial measures
370 from exercising their functions in the OH&S management system, and access to all parts of the workplace for
371 communication with other workers on OH&S issues.

372 Barriers to worker participation in the OH&S management system can include:

- 373 a) lack of information regarding the scope and objectives, of the OH&S management system;
- 374 b) lack of operational information, including knowledge of identified hazards, hazard elimination and control
375 strategies, and residual risk assessments;
- 376 c) unawareness of hazards and OH&S risks due to lack of competency;
- 377 d) lack of provision for adequate time and resources to accomplish all of the above;
- 378 e) lack of organizational mechanisms which foster, promote and enable effective participation. As
379 appropriate, these may include safety committees, and provision for selection of worker representatives
380 (through worker or union organizations);
- 381 f) lack of protection from reprisals, including disciplinary or other diverse measures, for reporting, or
382 removing themselves from, situations of serious danger or imminent harm.

383 Removing barriers to participation is essential if the OH&S management system is to be effective. Fostering a
384 positive OH&S organizational culture requires the elimination of any reprisals, or fear of reprisal, for worker
385 participation, such as identification and reporting of hazards, incidents, recommending control measures,
386 consultation with other members of the organization, and reporting OH&S issues to responsible authorities as
387 required.

388 **A.7.5 Documented information**

389 [The following text is from a comment on the WD]

390 It is important to keep the level of complexity of the documented information at the minimum level possible to
391 assure effectiveness, efficiency and simplicity at the same time.

392 **A.8 Operation**

393 **A.8.1 Operational planning and control**

394 **A.8.1.1 General**

395 Operational controls should be established and implemented as necessary to manage the OH&S risks to an
396 acceptable level, for operational areas and activities.

1397 When planning and developing operational controls, priority should be given to control options with higher
1398 reliability in preventing injury or ill health, consistent with the hierarchy of controls (see 8.1.2).

1399 Operational controls can use a variety of different methods, e.g. physical devices (such as barriers, access
1400 control procedures, work instructions, pictograms, alarms and signal).

1401 **A.8.1.2 Hierarchy**

1402 The hierarchy provides a systematic way to determine the most effective feasible method to reduce risk
1403 associated with a hazard. When controlling a hazard the organization should first consider methods to
1404 eliminate the hazard or substitute a less hazardous method or process. This can be accomplished initially in
1405 the concept and design phases of any project.

1406 Controls include oversight/supervision, training, job planning, rotating and scheduling, changes to work
1407 procedures, implementation of work area protection and similar measures.

1408 **A.8.2 Management of change**

1409 Depending on the nature of an expected change, the organization should use an appropriate
1410 methodology(ies) for assessing the risk of the change.

1411 The organization should plan how to implement the change in a manner that does not increase the risk or
1412 introduce new (unforeseen) hazards (see 6.1.5).

1413 The organization should ensure that adequate resources are made available for the implementation of the
1414 change.

1415 The organization should review the results of the change after it has been implemented, to determine if the
1416 risk has been increased or new hazards introduced and take mitigating action as appropriate.

1417 **A.8.3 Outsourcing**

1418 This Annex does not contain explanatory information on 8.3.

1419 **A.8.4 Procurement**

1420 This Annex does not contain explanatory information on 8.4.

1421 **A.8.5 Contractors**

1422 This Annex does not contain explanatory information on 8.5.

1423 **A.8.6 Emergency preparedness and response**

1424 The organization should identify foreseeable emergencies, both natural and man-made, applicable to their
1425 operations. Identified emergencies should be assessed based on OH&S risk and focus should be given to
1426 prevention and response actions.

1427 **A.9 Performance evaluation**

1428 **A.9.1 Monitoring, measurement, analysis and evaluation**

1429 **A.9.1.1 General**

1430 **A.9.1.1.1** Examples of what could be monitored and measured to meet:

1431 a) **the requirements of this International Standard** are:

- 432 1) tracking progress on meeting policy commitments, achieving objectives and targets, and continual
433 improvement;
- 434 2) monitoring exposures to determine whether applicable legal and other requirements to which the
435 organization subscribes have been met;
- 436 3) monitoring incidents, injuries and ill health, including status and trends:
- 437 4) providing data to evaluate the effectiveness of operational controls, or to evaluate the need to modify
438 or introduce new controls (see 8.1);
- 439 5) providing data to proactively and reactively measure the organization's OH&S performance;
- 440 6) providing data to evaluate the performance of the OH&S management system;
- 441 7) providing data for the evaluation of competence.
- 442 b) **legal requirements** are:
- 443 1) an up to date list of legal requirements;
- 444 2) a listing of identified gaps in compliance.
- 445 c) **requirements to which an organization subscribes** can include, but are not limited to:
- 446 1) union agreements;
- 447 2) standards and codes;
- 448 3) corporate and other organizational policies including rules and regulation;
- 449 4) insurance requirements.

450 **A.9.1.1.2 Criteria** are what the organization should compare its performance against.

451 Examples are benchmarks against:

- 452 a) other organizations;
- 453 b) standards and codes;
- 454 c) the organization's own codes and objectives.

455 The organization should use the criteria to set its internal targets for monitoring and measurement.

456 **A.9.1.1.3 Frequency** of monitoring and measurement should be appropriate to the size and nature of the
457 organization and its OH&S performance.

458 **A.9.1.1.4 Methods:**

- 459 a) **Monitoring** can involve continual checking, supervising, critically observing or determining the status in
460 order to identify change from the performance level required or expected. Monitoring can be applied to
461 OH&S management system framework, process or controls. Examples include the use of interviews,
462 documentation review and observations of work being performed;
- 463 b) **Measurement** generally involves the assignment of numbers to objects or events. It is the basis for
464 quantitative data and is generally associated with the evaluation of safety programmes and health

1465 surveillance. Examples include the use of calibrated or verified equipment to measure exposure to a
1466 hazardous substance or the counting of required safe distance from a hazard;

1467 c) **Analysis** is the process of examining data to reveal relationships, patterns and trends. This can mean the
1468 use of statistical operations or comparing your information to other like organizations to help draw
1469 conclusions from the data. This process is most often associated with measurement activities;

1470 d) **Evaluation** is an activity undertaken to determine the suitability, adequacy and effectiveness of the
1471 subject matter to achieve established objectives of the OH&S management system. This activity is most
1472 often associated with monitoring activities.

1473 Health surveillance of workers and work environment monitoring are important elements to be looked at,
1474 where appropriate, by suitable medical monitoring or follow-up of workers for early detection of signs and
1475 symptoms of harm to health in order to determine effectiveness of prevention and control measures.

1476 An organization may use one or a combination of the methods above depending on the nature of the hazards
1477 inherent to the organization and the scope of their OH&S management system.

1478 **A.9.1.1.5 When monitoring and measuring is performed**, it should be appropriate to the size and nature of
1479 the organization and its OH&S performance.

1480 The organization should ensure that frequencies of monitoring and measurement are in alignment with
1481 analysis and evaluation.

1482 **A.9.1.2 Evaluation of compliance**

1483 The organization should prioritize its action plan based on the identified compliance gaps.

1484 **A.9.2 Internal audit**

1485 **A.9.2.1 Internal audit objectives**

1486 Refer to ISO 19011 for further guidance on carrying out an audit.

1487 An organization's own requirements for its OH&S management system can include its own policies,
1488 objectives, requirements, standards, risk assessment outcomes and previous audit result corrective actions.

1489 Small and medium enterprises (SMEs) may establish objectivity and independence for the internal auditor by
1490 creating processes that separate their role as an internal auditor from their normal assigned duties.

1491 An SME may also ensure all results are reviewed and validated by a joint party to support impartiality where
1492 the internal auditor, in their normal duties, is directly involved in the process or activity being audited (joint
1493 parties can be a combination of those directly involved in the operation or activity, those performing the audit
1494 and those using the audit results).

1495 **A.9.2.2 Internal audit process**

1496 When planning its internal audits the organization should take into consideration the importance of the
1497 processes concerned to the OH&S management system. This can include items such as the impact the
1498 processes have on risk assessment outcomes.

1499 The extent of the audit programme should be based on the size and nature of the organization, as well as the
1500 complexity and level of maturity of the OH&S management system.

1501 Other persons may be internal interested parties.

1502 **A.9.3 Management review**

1503 Clarifying the terms used in relation to management review:

- 504 a) **Suitability:** The extent to which the management system fits and is right for the organization's purpose,
505 operations, culture and business systems;
- 506 b) **Adequacy:** The extent to which the management system is sufficient in meeting the applicable
507 requirements;
- 508 c) **Effectiveness:** The extent to which planned activities are realised and planned results achieved.

509 The management review topics listed in 9.3 a) to f) need not be addressed all at once. The organization
510 should determine when and how the management review topics are addressed.

511 **A.10 Improvement**

512 **A.10.1 Incident, nonconformity and corrective action**

513 Separate processes may exist for incident investigations and non-conformities dependent on organizational
514 requirements.

515 Examples of incidents, nonconformities and corrective actions include but are not limited to:

- 516 a) **Incidents:** occupational related near-miss events, injuries, ill health, vehicle accidents, property damage
517 where it can lead to OH&S risk and fatalities;
- 518 b) **Non-conformities:** protective equipment not functioning properly, non-compliance to legal requirements
519 or prescribed procedures not being followed;
- 520 c) **Corrective actions:** elimination of hazards, substitution to safe materials, design or modification to
521 equipment or tools, development of procedures, training to affected workers, changes in frequency of
522 use, or use of personal protective equipment.

523 Root cause analysis refers to the practice of exploring all the possible factors associated with an incident by
524 asking what happened and why it happened, to provide the input for what can be done to prevent it from
525 happening again.

526 There are many structured approaches to this analysis but all are focused on prevention and not blame or
527 punishment. The focus is on the OH&S management system level failures and often identifies multiple factors
528 such as communication, training, fatigue, equipment or policies.

529 The scope of the root cause analysis should be appropriate to the nature of the incident or the nonconformity
530 being analysed.

531 Effectiveness is the extent to which the implemented corrective actions adequately control the cause(s).

532 Timeliness of actions should be based on the nature of the incident or nonconformity.

533 Corrective actions should be appropriate to the nature of the incident or nonconformity.

534 **A.10.2 Continual improvement**

535 Continual improvement is meant to be a step by step approach over time and is focused on future activities.

536 Opportunities are ones that can arise other than from the items listed in 10.2.

537 Examples of issues to be reviewed to identify opportunities include, but are not limited to:

- 538 — new technology;

- 1539 — good practices of other organizations;
- 1540 — suggestions from interested parties;
- 1541 — knowledge and understanding of health related issues.
- 1542