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Organisation internationale de normalisation  
International Organization for Standardization  
Международная Организация по Стандартизации



Our ref. TMB / NWIP

**TO THE ISO MEMBER BODIES**

Date 2013-03-12

**New work item proposal – *Occupational health and safety management systems - Requirements***

Dear Sir or Madam,

Please find attached a new work item proposal submitted by BSI (UK) on *Occupational health and safety management systems - Requirements*. It should be noted that, if the NWIP is approved, the work is proposed to be carried out in a Project Committee.

In addition to the NWIP and corresponding information received from BSI, you will find attached a letter from Rob Steele, ISO Secretary General, addressing the right and ability of ISO and its members to deal with the subject area, as well as a letter from the International Labour Organization (ILO) on this proposal.

You are kindly invited to complete the ballot form ([Form 05](#)) which can be downloaded at [www.iso.org/forms](http://www.iso.org/forms) and send it, preferably in Word format, to the Secretariat of the ISO Technical Management Board at [tmb@iso.org](mailto:tmb@iso.org) before **11 June 2013**.

Yours faithfully,

A handwritten signature in black ink, appearing to read "Sophie Clivio", written over a horizontal line.

Sophie Clivio  
Secretary to the Technical Management Board

Encl: Letter from Rob Steele (ISO Secretary General)  
Letter from the ILO  
Letter from BSI  
NWIP (Form 04)  
OHSAS Justification Study  
2011 OHSAS Standards and Certificates Survey results data (see separate Excel file)  
OHSAS 18001  
OHSAS 18001 - Proof of concept draft

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**Rob Steele**

Secretary-General

Your ref.  
Our ref. TMB/NWIP

Date 2013-03-122

**TO THE ISO MEMBER BODIES****New work item proposal – *Occupational health and safety management systems - Requirements***

Dear Sir or Madam,

A New Work Item Proposal (NWIP) from BSI on "*Occupational Health and Safety (OH&S) Management Systems – Requirements*" has been circulated today to ISO members for vote (see attached).

This letter does not express any view on the merits of the NWIP, instead I would like to address the right and ability of ISO and its members to deal with the subject area. The idea of an ISO standard on this subject is not new. However, it is being proposed again as BSI feel the landscape for OH&S standards has evolved over the last few years. For example, ISO has since successfully developed ISO 26000 : 2010 "Guidance on social responsibility", there have been a number of national developments on OH&S standards, and ISO has now adopted a common framework for management system standards. Given high stakeholder interest in the subject, you will no doubt be contacted by parties that oppose and those that support the proposal. That is good and what the ISO process is all about.

Attached you will find a letter from the International Labour Organization (ILO) dated 26 February 2013 expressing its concern with the proposal. Their comments are included to support greater collaboration with the ILO, and to inform ISO members about the ILO's views. However these are ILO's opinions only, and it's important to clarify a number of issues related to the role of ISO in this field, specifically:

***Is ISO "undermining the role of governments" by developing such a standard?***

Put another way, is ISO compromising the role of governments by developing standards in areas that are the subject of national regulation, such as health and safety of workers? Only governments can decide on regulations. This includes whether a voluntary ISO standard is referenced or used as a basis for regulations. ISO has no role or intent to develop standards that confuse or compromise regulations or public policy. This objective is clearly stated in Annex SO of ISO's Directives on "Principles for developing ISO and IEC Standards related to or supporting public policy initiatives". ISO has already successfully developed International Standards in highly regulated areas (e.g., food safety, medical devices) and experience has shown that the ISO standard has added value to the role of governments and their regulations, rather than having been a hindrance.

***Does ISO have the competence to address labour and social issues?***

The ILO is a specialized agency of the United Nations that brings together representatives of governments, employers and workers to jointly develop standards, policies and programmes promoting decent work for all. The ILO's international labour standards (ILS) are a means of achieving its objectives, including through ratification in its member States. One of ISO's strengths is the ability of its members to mobilize national stakeholders with expertise and interest in the standards that it develops, and to connect with the most relevant international organizations on a subject. In addition, ISO's audience is not States, but rather organizations. As new fields are proposed, ISO's network is triggered to ensure that the right individuals are engaged in its projects. ISO's competence is assured through its development procedures and its network of national members that involve the required expertise and stakeholder interests. A recent example is the successful development of ISO 26000 involving 6 categories of stakeholders including but not limited to industry, labour and government.

***Can ISO decide to pursue work if ILO disagrees?***

In 2007, the ILO Governing Body (the organization's Board) requested that ISO refrain from developing an International Standard on occupational health and safety management systems. In 2011, the ILO expressed concern and disappointment about ISO's decision to proceed with the field of human resources. In 2013, in reply to the attached BSI NWIP, ILO suggests again that this field is not within the competence of ISO. It's important to note that ISO is an independent international organization with its own structures and accountabilities. Therefore it is only ISO members that can decide to pursue a new field of activity. It would also go against ISO's own processes to prevent the circulation of new work on the basis of an external organization's disagreement.

I'm hoping that the justification in the NWIP, along with ILO's letter and this letter, help to clarify the issues as you consult stakeholders on this proposal. I encourage you to listen and engage with all relevant interests in your country, to challenge any unfounded claims for or against the proposal and to develop your position accordingly.

Yours truly,

A handwritten signature in blue ink, appearing to read "Rob Steele".

Rob Steele



International Labour Office  
Bureau International du Travail  
Oficina Internacional del Trabajo

Mr. Kevin McKinley  
Deputy Director-General  
International Organization for  
Standardization  
1, ch. de la Voie-Creuse  
P.O. Box 56  
1211 Geneva 20

A/45

Réf. BIT/ILO

Votre réf.

Geneva, 26 February 2013

Dear Kevin,

I refer to your email of 12 February 2013, requesting ILO feedback before the New Work Item Proposal (NWIP) on OSH-MS Requirements is sent out for vote by ISO Members. I have been asked to reply on behalf of the International Labour Office.

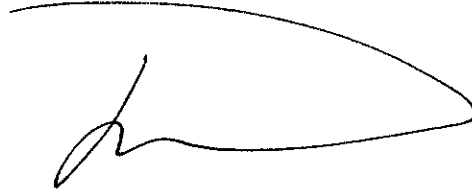
In March 2007, the ILO Governing Body decided to ask ISO to refrain from developing an international standard on occupational safety and health management systems (OSH-MS), and reaffirmed ILO's mandate in the field of occupational safety and health; the ILO Director General communicated this decision to ISO by letter. Subsequently, following a survey of its Members, the ISO Technical Management Board (TMB) concluded that there was little support in ISO for any standards activity on the subject. No further Governing Body discussion of the subject has occurred since then.

More recently in March 2011, the ILO Governing Body expressed concern and disappointment at ISO's decision to proceed with activity in the field of human resource management, and requested the Director-General to respond to any ISO request for cooperation on the matter by underlining the need for a clear and shared understanding of the respective competences of the ILO and of ISO as the precondition for any such cooperation. An initial draft agreement exchanged between secretariats included certain principles recognizing the primacy of international labour standards among the sources of reference for ISO's work, as agreed in the 2005 ILO-ISO Memorandum of Understanding in the field of social responsibility. Following the latest response of ISO, the status of those discussions is under review. This topic will be discussed at the meeting to be held March 8 between the ILO Deputy Director General for Policy and the ISO Director General.

Thus, in recalling the Governing Body's decision to ask ISO to refrain from action in the field of OSH-MS, and its further position on the need for a clear and shared understanding of the ILO's and ISO's respective competences, the International Labour Office

affirms the need to reach such an understanding in order to resolve the issues raised by ISO's renewed inquiry in the field of OSH-MS. If ISO nonetheless proceeds with a new work item vote on OSH-MS before such an understanding is reached between the two organizations, ILO would request that ISO inform its Members of this communication in response to the request of the ISO Secretariat by annexing the text to the NWIP circulated for ballot vote.

Yours faithfully

A handwritten signature in black ink, consisting of a large, sweeping loop followed by a smaller, more intricate flourish.

Janelle Diller  
Deputy Legal Adviser

6 February 2013

Mr. Rob Steele  
ISO Secretary General

Dear Rob

### **New work item proposal on Occupational health and safety management**

On behalf of BSI, and with the support of both the national stakeholders and the OHSAS Project Group, I am delighted to submit this new work item proposal for the development of an International Standard on 'Occupational health and safety management systems – Requirements'.

The need for organizations worldwide to improve their OH&S performance cannot be underestimated; the statistics for health and safety incidents, accidents and their related costs (to the individual, to organizations and to society) continue to be horrific.

Good health and safety management enables an organization to achieve effective management of its business and OH&S risks; the protection of those doing work under its control (direct employees as well as contractors); the protection of those affected by its activities (visitors, neighbours, people passing the organization's work sites); and the ability to respond to the challenges of the global environment.

There is a clearly documented market need for standardization in this field. Guidelines in the field of Occupational health and safety are not suitable to be used for demonstration of conformity. This has led to a number of national and consortia standards being developed to meet this need, and has resulted in their use internationally. The OHSAS "Standards and Certificates Survey" has shown a rapid rise in the rate of use of OHSAS 18001 and equivalent standards over the past 10 years. More importantly, it has shown that the standards are now being used in **127 countries** around the world, which strongly suggests that there would be value to seeking to harmonize OH&S management practices into International Standards, and to share best practices. Using the common structure, this new International standard will be easily integrated into the existing series of ISO Management System Standards thereby significantly facilitating its implementation.

If the proposal is approved, BSI would like to offer to host the first meeting in September 2013 in order to progress this very important area.

Yours sincerely

Amanda Richardson,  
Head of International Policy, BSI



NEW WORK ITEM PROPOSAL	
Closing date for voting <b>2013-06-11</b>	Reference number (to be given by the Secretariat)
Date of circulation <b>2013-03-12</b>	<b>ISO/TC      / SC      N</b>
Secretariat	<b>X</b> Proposal for new PC

A proposal for a new work item within the scope of an existing committee shall be submitted to the secretariat of that committee with a copy to the Central Secretariat and, in the case of a subcommittee, a copy to the secretariat of the parent technical committee. Proposals not within the scope of an existing committee shall be submitted to the secretariat of the ISO Technical Management Board.

The proposer of a new work item may be a member body of ISO, the secretariat itself, another technical committee or subcommittee, or organization in liaison, the Technical Management Board or one of the advisory groups, or the Secretary-General.

The proposal will be circulated to the P-members of the technical committee or subcommittee for voting, and to the O-members for information.

**IMPORTANT NOTE: Proposals without adequate justification risk rejection or referral to originator.**

Guidelines for proposing and justifying a new work item are contained in Annex C of the ISO/IEC Directives, Part 1.

**Proposal** (to be completed by the proposer)

<b>Title of the proposed deliverable.</b> <i>(in the case of an amendment, revision or a new part of an existing document, show the reference number and current title)</i>	
English title	<b>Occupational health and safety management systems - Requirements</b>
French title (if available)	<b>Systèmes de management de la santé et de la sécurité au travail — Exigences</b>
<b>Scope of the proposed deliverable.</b> <p>This International Standard specifies requirements for an occupational health and safety (OH&amp;S) management system, to enable an organization to control its OH&amp;S risks and improve its OH&amp;S performance. It does not state specific OH&amp;S performance criteria, nor does it give detailed specifications for the design of a management system.</p> <p>This International Standard is applicable to any organization that wishes to:</p> <ul style="list-style-type: none"> <li>a) establish an OH&amp;S management system to eliminate or minimize risks to personnel and other interested parties who could be exposed to OH&amp;S hazards associated with its activities;</li> <li>b) implement, maintain and continually improve an OH&amp;S management system;</li> <li>c) assure itself of its conformity with its stated OH&amp;S policy;</li> <li>d) demonstrate conformity with this International Standard.</li> </ul> <p>All the requirements in this International Standard are intended to be incorporated into any OH&amp;S management system. The extent of the application will depend on such factors as the OH&amp;S policy of the organization, the nature of its activities and the risks and complexity of its operations.</p> <p>This International Standard is intended to address occupational health and safety management systems, and is not intended to address other health and safety areas such as employee wellbeing/wellness programmes, product safety, property damage or environmental impacts.</p>	

<p><b>Purpose and justification of the proposal.</b></p> <p>Please refer to the supporting Justification Study (provided in accordance with Annex SL to the ISO/IEC Directives, Procedures Specific to ISO)</p>
<p><b>If a draft is attached to this proposal,:</b></p> <p>Please select from one of the following options (note that if no option is selected, the default will be the first option):</p> <p><input checked="" type="checkbox"/> Draft document will be registered as new project in the committee's work programme (stage 20.00)</p> <p><input type="checkbox"/> Draft document can be registered as a Working Draft (WD – stage 20.20)</p> <p><input type="checkbox"/> Draft document can be registered as a Committee Draft (CD – stage 30.00)</p> <p><input type="checkbox"/> Draft document can be registered as a Draft International Standard (DIS – stage 40.00)</p>
<p><b>Is this a Management Systems Standard (MSS)?</b></p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p><b>Indication(s) of the preferred type or types of deliverable(s) to be produced under the proposal.</b></p> <p><input checked="" type="checkbox"/> International Standard <input type="checkbox"/> Technical Specification <input type="checkbox"/> Publicly Available Specification <input type="checkbox"/> Technical Report</p>
<p><b>Proposed development track</b> <input type="checkbox"/> 1 (24 months) <input checked="" type="checkbox"/> 2 (36 months - default) <input type="checkbox"/> 3 (48 months)</p>
<p><b>Known patented items (see ISO/IEC Directives, Part 1 for important guidance)</b></p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes", provide full information as annex</p>



**A statement from the proposer as to how the proposed work may relate to or impact on existing work, especially existing ISO and IEC deliverables. The proposer should explain how the work differs from apparently similar work, or explain how duplication and conflict will be minimized.**

There are currently no generic ISO or IEC deliverables specifically on occupational health and safety management systems (although some items could be considered related, e.g. ISO 30000:2009 Ships and marine technology -- Ship recycling management systems -- Specifications for management systems for safe and environmentally sound ship recycling facilities; or ISO/TR 12885:2008 Nanotechnologies -- Health and safety practices in occupational settings relevant to nanotechnologies, ISO\_DIS 21101 Adventure Tourism - Safety management systems - Requirements)

There is reference to occupational health and safety management systems in publications such as the ISO handbook "Guide to the Integrated Use of Management System Standards"

One of the key factors that often leads to the development of a standard is the issue of "safety". This issue is addressed in many product standards and guidelines for the safe handling and operation of materials, equipment or processes. Consequently there may need to be wide interaction between the proposed PC and many existing other ISO TCs (for example ISO/TC 21 Equipment for fire protection and fire fighting; ISO/TC 92 Fire Safety; ISO/TC 94 Personal safety -- Protective clothing and equipment; ISO/TC 145 Graphical symbols; ISO/TC 199 Safety of machinery). However, the emphasis of the proposed PC's work should be on the achievement of good management practices within organizations and not on the individual technologies addressed in these other committees (A listing of some further examples of TCs and related standards is given below)

In addition, as the development of a management system standard is being proposed, there will need to be interaction with other ISO MSS committees and with the ISO/TMB/TAG13-JTCG, to ensure that the proposed ISO management system standards are aligned.

There is particularly a need for co-ordination with ISO/TC 207, as the function of health and safety is often combined with the function for environmental management within organizations.

Additionally, there is a need for co-ordination with ISO/TC 176, as often organizations seek to combine their quality, health and safety, and environmental management systems into an "integrated" management system.

Outside of ISO and the IEC the key document in this field is the ILO-OSH "Guidelines on occupational safety and health management systems". As these are written as guidelines, and not aligned with the other ISO MSS, it has been found that this presents a barrier to their use by organizations trying to demonstrate that they have adopted good OH&S practices. Additionally, a number of organizations follow the Safety Checklist Contractor (SCC) scheme (also known as the Safety Certificate Contractor scheme), which recognizes standards such as ISO 9001 and ISO 14001, but does not require the implementation of a full OH&S management system

By working in liaison with the various ISO committees, the ILO and the SCC, it is expected that duplication and conflict will be minimized.

A listing of some pertinent TCs and their standards relating to safety includes:

TC 139/SC9 ISO 4413:2010 Hydraulic fluid power -- General rules and safety requirements for systems and their components

TC 199 ISO 12100:2010 Safety of machinery -- General principles for design -- Risk assessment and risk reduction

TC 72/SC8 ISO 11111-4:2005 Textile machinery -- Safety requirements -- Part 4: Yarn processing, cordage and rope manufacturing machinery

TC145/SC2 ISO 16069:2004 Graphical symbols -- Safety signs -- Safety way guidance systems (SWGS)

TC20/SC14 ISO 14620-3:2005 Space systems -- Safety requirements -- Part 3: Flight safety systems

TC67/SC6 ISO 10418:2003 Petroleum and natural gas industries -- Offshore production installations -- Analysis, design, installation and testing of basic surface process safety systems

TC85/SC5 ISO 14943:2004 Nuclear fuel technology -- Administrative criteria related to nuclear criticality safety

TC44/SC9 ISO 15012-1:2004 Health and safety in welding and allied processes -- Requirements testing and marking of equipment for air filtration -- Part 1: Testing of the separation efficiency for welding fume

**A listing of relevant existing documents at the international, regional and national levels.**

The key documents to be considered include:

The ISO/IEC Directives, Procedures Specific to ISO, Annex SL

OHSAS 18001 Occupational health and safety management systems – Requirements

OHSAS 18002 Occupational health and safety management systems – Guidelines for the implementation of OHSAS 18001:2007

GB/T28001 Occupational health and safety management systems - Requirements

AS/NZ 4801 Occupational health and safety management systems - Specification with guidance for use

ANSI Z10 Occupational health and safety management systems

ISO 31000 Risk management

ILO-OSH Guidelines on occupational safety and health management systems

In addition to the above documents, a number of other health and safety standards and regulations are listed in the "OHSAS Standards and Certificates Survey" and will need to be considered during the development of the proposed standard

**A simple and concise statement identifying and describing relevant affected stakeholder categories (including small and medium sized enterprises) and how they will each benefit from or be impacted by the proposed deliverable(s)**

Health and safety management guidelines and practices are usually agreed under a tripartite system involving representation by governments/regulators, industry and labour organizations.

It would be extremely helpful to the development of the proposed standards if a similar tripartite representation could be achieved amongst the experts participating on the PC, and particularly if representatives from labour organizations could be encouraged to participate.

In looking at the benefits that each group of stakeholders might achieve:

1) **Governments and regulators** would have access to international standards that they could require their national industries to follow, in lieu of creating new legislation in this field. In comparison to the development process for such legislation, the development of a standard can be a quicker and more effective process, and can be updated on a more regular basis. In addition governments and regulators would have the knowledge that their industries would not be at a competitive disadvantage when compared to those in other countries when applying such international standards. Further, they could benefit by seeing improved compliance with regulations by organizations, and reductions in OH&S incidents and accidents.

2) **Industry** would benefit by knowing that it was working to the most up to date agreed set of international practices for health and safety management and that national differences would no longer represent a barrier to trade. In addition, as globalization is moving more towards showing concern for issues on social responsibility and sustainability, industry would be able to take comfort in knowing that its supply chains around the world were working to an internationally agreed set of criteria, thus giving their brands a degree of additional protection. Further, the availability of an aligned OH&S MSS would facilitate the "integration" of OH&S into organizations' management systems

3) **Labour** would benefit by knowing that organizations using the standards were being proactive in their approach to health and safety management in order to safeguard their workforces, or other persons under the organizations' control.

4) **Visitors, neighbours and people passing the organization's sites** would benefit by knowing that the organization had considered their health and safety, and should not be putting them at risk.

5) **For SMEs:** As with other ISO MSS the proposed initial standards would be generic and applicable to all types and sizes of organization; consequently a small or medium sized enterprise may be able to employ a simpler OH&S management system than the more complex systems that larger organizations may need to use, as applicable to their needs.

The issue of health and safety in small organizations is known to be a problem that is common to many countries, with a disproportionate number of incidents and accidents occurring in such organizations. The promotion of an agreed international standard to such organizations, along with the supporting infrastructure of training courses etc. to support it, may create a level of awareness of health and safety issues in such organizations that other programmes have not yet managed to achieve. While this proposal is for a full OH&S ISO MSS, ISO could look in the future at producing deliverables specifically for smaller organizations.

<b>Liaisons:</b> <b>A listing of relevant external international organizations or internal parties (other ISO and/or IEC committees) to be engaged as liaisons in the development of the deliverable(s).</b> <b>ISO/TMB/TAG13- JTCG</b> <b>ISO/TC 207/SC 1</b> <b>ISO/TC 176/SC 2</b> <b>ISO/TC 260</b> <b>International Labour Organization</b> <b>World Health Organization</b> <b>Safety Contractor Certificate</b>	<b>Joint/parallel work:</b> <b>Possible joint/parallel work with:</b> <input type="checkbox"/> IEC (please specify committee ID) <input type="checkbox"/> CEN (please specify committee ID) <input type="checkbox"/> Other (please specify)
<b>A listing of relevant countries which are not already P-members of the committee.</b> N/A	
<b>Preparatory work</b> (at a minimum an outline should be included with the proposal) <input checked="" type="checkbox"/> A draft is attached <input type="checkbox"/> An outline is attached <input type="checkbox"/> An existing document to serve as initial basis The proposer or the proposer's organization is prepared to undertake the preparatory work required <input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Proposed Project Leader</b> (name and e-mail address) <b>Mr Kristian Glaesel</b> <a href="mailto:kristian@glaesel-hseq.dk">kristian@glaesel-hseq.dk</a>  <b>Note:</b> Given the scope of this work, we expect there will be a need to appoint a PC Chairman and Secretary and to establish a Working Group with the Project Leader as the Convener, a Deputy Convener, a Working Group Secretary (and potentially a Twinned Working Group Secretary).	<b>Name of the Proposer</b> (include contact information) <b>Amanda Richardson, BSI</b> <a href="mailto:Amanda.Richardson@bsigroup.com">Amanda.Richardson@bsigroup.com</a>
<b>Supplementary information relating to the proposal</b> <input checked="" type="checkbox"/> This proposal relates to a new ISO document; <input type="checkbox"/> This proposal relates to the amendment of existing ISO document <input type="checkbox"/> This proposal is for the revision of an existing ISO document; <input type="checkbox"/> This proposal relates to the adoption as an active project of an item currently registered as a Preliminary Work Item; <input type="checkbox"/> This proposal relates to the re-establishment of a cancelled project as an active project. Other:	

**Annex(es) are included with this proposal** (give details)

- 1 Justification study (in accordance with Annex SL)
- 2 2011 OHSAS Standards and Certificates Survey results data



**Justification Study  
for an ISO International Standard on**

**Occupational health and safety (OH&S)  
management systems - Requirements**

February 2013

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# 1. Overview, Purpose and Scope of the MSS

## 1.1. Purpose and scope

*What is the proposed purpose and scope of the MSS? Is the document supposed to be a guidance document or a document with requirements?*

The proposed OH&S ISO MSS would be an International Standard specifying requirements (a “Type A” ISO MSS)

The International Standard is intended to provide organizations with the elements of an effective occupational health and safety (OH&S) management system that can be integrated with other management requirements and help organizations achieve OH&S and economic objectives. This standard, like other International Standards, is not intended to be used to create non-tariff trade barriers or to increase or change an organization’s legal obligations. The overall aim of the International Standard is to support and promote good OH&S practices, in balance with socio-economic needs.

The International Standard would specify requirements for an OH&S management system to enable an organization to: develop and implement a policy and objectives which take into account legal requirements and information about OH&S risk, establish processes to achieve the policy commitments, take action as needed to improve its performance, and demonstrate the conformity of the system to the requirements. It is intended to apply to all types and sizes of organizations and to accommodate diverse geographical, cultural and social conditions.

Proposed Scope statement:

This International Standard specifies requirements for an occupational health and safety (OH&S) management system, to enable an organization to control its OH&S risks and improve its OH&S performance. It does not state specific OH&S performance criteria, nor does it give detailed specifications for the design of a management system.

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

- a) establish an OH&S management system to eliminate or minimize risks to personnel and other interested parties who could be exposed to OH&S hazards associated with its activities;
- b) implement, maintain and continually improve an OH&S management system;
- c) assure itself of its conformity with its stated OH&S policy;
- d) demonstrate conformity with this International Standard.

All the requirements in this International Standard are intended to be incorporated into any OH&S management system. The extent of the application will depend on such factors as the OH&S policy of the organization, the nature of its activities and the risks and complexity of its operations.

This International Standard is intended to address occupational health and safety management systems, and is not intended to address other health and safety areas such as employee wellbeing/wellness programmes, product safety, property damage or environmental impacts.

## **1.2. Type of product to be produced**

*Would the proposed MSS work item result in an International Standard (IS), an ISO(/IEC) Guide, a Technical Specification (TS), a Technical Report (TR), a Publicly Available Specification (PAS), or an International Workshop Agreement (IWA)?*

The proposal would result in an International Standard specifying requirements for an OH&S management system (a “Type A” ISO MSS).

## **1.3. Inclusion of product specifications, test methods etc**

*Does the proposed purpose or scope include product (including service) specifications, product test methods, product performance levels, or other forms of guidance or requirements directly related to products produced or provided by the implementing organization?*

The proposed purpose or scope of the International Standard does not include any type of guidance or requirements for products or services produced or provided by an implementing organization.

## **1.4. Responsibility for the proposed MSS**

*Is there one or more existing ISO committee or non-ISO organization that could logically have responsibility for the proposed MSS? If so, identify.*

There are no existing ISO committees that could logically have responsibility for the proposed OH&S ISO MSS.

There is the possibility that either the International Labour Organization (ILO), or the OHSAS Project Group, could be given such responsibility as non-ISO organizations, though a new ISO Project Committee dealing with this subject matter is the preferred option.

## **1.5. Identification of relevant reference materials**

*Have relevant reference materials been identified, such as existing guidelines or established practices?*

Relevant materials have been identified. These include:

- The ISO/IEC Directives, Procedures Specific to ISO, 2012, Annex SL
- OHSAS 18001:2007, *Occupational health and safety management systems — Requirements*
- OHSAS 18002:2008, *Occupational health and safety management systems — Guidelines for the implementation of OHSAS 18001*
- GB/T28001, *Occupational health and safety management systems - Requirements*
- AS/NZ 4801 *Occupational health and safety management systems - Specification with guidance for use*
- ANSI Z10 *Occupational health and safety management systems*
- ISO/IEC Guide 73 *Risk management - Vocabulary*
- ISO 31000 *Risk management*
- International Labour Organization:2001, *Guidelines on Occupational Safety and Health Management Systems (OSH-MS)*
- ISO 9001 *Quality management systems - Requirements*



- ISO 14001 *Environmental management systems - Requirements with guidance for use*

In addition there are many national OH&S management system standards, regulations and guidelines available.

#### **1.6. Availability of technical experts to support the standardization work, and their representation**

*Are there technical experts available to support the standardization work? Are the technical experts direct representatives of the affected parties from the different geographical regions?*

During the development of the OHSAS standards, the OHSAS Project Group received direct input from delegates representing approximately 20 different countries, from many different geographic regions, with many more contributing through commenting on the drafts (all continents were represented).

The proposed standards are generic and could affect all geographic regions.

A critical issue is the need to have representation from governmental interests, industrial interests, and particularly those representing labour organizations' interests, in order to replicate the tripartite system under which many OH&S regulations are developed.

We consider that there would be more than sufficient experts, from all the affected parties, from all the different geographic regions, available to support the standardization work.

#### **1.7. Efforts required to develop the document/s**

*What efforts are anticipated as being necessary to develop the document in terms of experts needed and number/duration of meetings?*

We estimate that a working group of approximately 30 experts (from government, industry and labour) would be needed to develop the document.

We anticipate that the development of the standard would follow the default 3 year track, and would require 5 face-to-face meetings for the working group, each of 5 days duration, with additional inter-meeting working by webinars, conference calls and e-mail

This work needs to be closely aligned with the revisions of ISO 9001 and ISO 14001, and may be subject to delays if those activities encounter any difficulties. Consequently, close co-ordination will be needed with ISO/TC 176 and with ISO/TC 207.

#### **1.8. Anticipated completion date**

*What is the anticipated completion date?*

Three years of effort is estimated to be required from the time of approval of the project

Given the ISO/IEC Directives, Procedures Specific to ISO, Annex SL for developing MSS are relatively new (in 2012), we have already developed a Preliminary "Proof of Concept" Draft (provided with this Justification Study) showing how the requirements of OHSAS 18001 can be migrated into the Annex SL structure, and how they align with the recent ISO/WD2 14001

### **1.9. What sort of document?**

*Is the MSS intended to be a guidance document, contractual specification or regulatory specification for an organization?*

It is intended to be a (Type A) "Requirements" specification

## 2. Principle 1 - Market Relevance

### 2.1. Identification of all the affected parties

*Have all the affected parties been identified? For example:*

- a) organizations (of various types and sizes): the decision-makers within an organization who approve work to implement and achieve conformance to the MSS;*
- b) customers/end-users, i.e. individuals or parties that pay for or use a product (including service) from an organization;*
- c) supplier organizations, e.g. producer, distributor, retailer or vendor of a product, or a provider of a service or information;*
- d) MSS service provider, e.g. MSS certification bodies, accreditation bodies or consultants;*
- e) regulatory bodies;*
- f) non-governmental organizations.*

All affected parties have been identified as follows:

1) **Organizations of various types and sizes:** the decision-makers within an organization who use standards to improve business processes and accountability. The decision-makers will be people in the organization who approve work to implement an OH&S management system and achieve conformance to the future OH&S ISO MSS. Depending on the size and complexity of the organization, and the scope of their OH&S management system implementation, this may include the CEO or equivalent, people with responsibility for corporate governance, risk management, company/corporate secretary, or any manager responsible for the general management of an organization or for its specific functions or programmes.

2) **People under the control of the organization,** i.e. direct employees and contractors. Direct employees and contractors will benefit by having a safer working environment and by being able to participate in the setting of, and influence, the OH&S policies and practices in the organization

3) **Visitors, neighbours and people passing near the organization's sites.** Visitors, neighbours and people passing near the organization's sites will have assurance that their health and safety has been taken into consideration and is not going to be put at risk

4) **Customers/end-users,** i.e. individuals or parties that pay for or use a product or service from an organization. Customers of organizations that implement the proposed OH&S ISO MSS will benefit from effective governance, accountability, responsiveness, and efficient operations demonstrated by that organization.

5) **Supplier organizations.** Suppliers that have implemented an OH&S management system in accordance with the proposed OH&S ISO MSS will be able to demonstrate effective and accountable business processes and sustainable services to their customers. This assists in trade and supplier/customer relations. Suppliers may be the producer, distributor, retailer or vendor of a product, or a provider of a service.

6) **OH&S management system service providers.** These providers would include national standards bodies and independent certification bodies providing 3<sup>rd</sup> party audit or assessment services; consultants with responsibility for implementing an OH&S management system for organizations or providing in-house assessment; and training organizations offering training (accredited or otherwise) in implementing an OH&S

management system. The providers will benefit by being able to focus their activities on a single OH&S standard, rather than needing to share resources across a range of them.

7) **Governments and regulators** would have access to international standards that they could require their national industries to follow, in lieu of creating new legislation in this field. In comparison to the development process for such legislation, the development of a standard can be a quicker and more effective process, and can be updated on a more regular basis. In addition governments and regulators would have the knowledge that their industries would not be at a competitive disadvantage when compared to those in other countries when applying such international standards. Further, they could benefit by seeing improved compliance with regulations by organizations, and reductions in OH&S incidents and accidents.

8) **Non-governmental organizations.** The private sector and the non-profit sector could use the proposed OH&S ISO MSS to implement an effective OH&S management system, thereby:

- reducing their OH&S incidents and accidents,
- reducing disruptions to their operations,
- lowering their insurance premiums
- providing assurance to their workers, contractors, visitors, neighbours, and people passing their sites, that their activities are being managed in a safe manner
- ensuring their legal compliance
- being able to demonstrate to stakeholders that they are applying good OH&S practices (through independent external assessments against the OH&S ISO MSS).

## 2.2. Need for an MSS

*What is the need for this MSS? Does the need exist at a local, national, regional or global level? Does the need apply to developing countries? Does it apply to developed countries? What is the added value of having an ISO document (e.g. facilitating communication between organizations in different countries)?*

The OHSAS Standards and Certificates survey has shown that there are a growing number of OH&S management system standards in different countries (many based on the adoption or adaption of OHSAS 18001). In addition it shows that such standards are being used in **127 countries**.

The need for an OH&S ISO MSS can be identified at a local, national, regional and global level, and that it applies to both developing and developed countries.

In order to protect their brands, organizations are increasingly demanding information from their suppliers in global supply chains about their OH&S practices. In turn the supplier organizations are looking for an internationally recognized and independent mechanism to demonstrate that they adhere to good OH&S practices. An OH&S ISO MSS would facilitate this.

The proposed OH&S ISO MSS is also needed to support a new area of management systems practice and enable increased compatibility and interoperability of management systems governance and implementation within an organization.

## 2.3. Need across sectors

*Does the need exist for a number of sectors and is thus generic? If so, which ones? Does the need exist for small, medium or large organizations?*

The need for the proposed OH&S ISO MSS is generic. It is needed at global, regional, national and local levels, by all sectors, and in all organizations, of all sizes.

An organization can implement an OH&S management system to varying levels of complexity, according to its business requirements (i.e. a small or medium sized enterprise may be able to employ a simpler OH&S management system than the more complex systems that larger organizations may need to use).

The issue of OH&S in small organizations is known to be a problem that is common to many countries, with a disproportionate number of incidents and accidents occurring in such organizations. The promotion of an agreed international standard to such organizations, along with the supporting infrastructure of training courses etc. to support it, may create a level of awareness of health and safety issues in such organizations that other programmes have not yet managed to achieve.

## **2.4. Importance of the need**

*Is the need important? Will the need continue? If yes, will the target date of completion for the proposed MSS satisfy this need? Are viable alternatives identified?*

The statistics for health and safety incidents and accidents and their related costs continue to be horrific. For example the UK's Health and Safety Executive has the following data for 2010/11:

- **1.2 million** working people were suffering from a work related illness
- **175** workers killed at work
- **115000** injuries were reported (under RIDDOR)
- **200000** reportable injuries (over 3 day absence) occurred
- **26.4 million** working days were lost due to work related illness and workplace injury
- Workplace injuries and ill health (excluding cancer) cost society an estimated **£14 billion** (in 2009/10)

Similarly, the figures from the 2005 statistics released at the 17th World Congress on Safety and Health at Work showed that 2.2 million workers were fatally injured as the result of a work-related accident, which was an increase of 10 % from three years previously. The figures equate to around 6,000 cases per day.

The need for organizations worldwide to improve their OH&S performance is immediate, and will definitely continue into the future. Any tool, such as an OH&S management system, that can help diminish these figures should be supported.

As globalization increases, more consumers (and consequently more customers) are demanding that organizations operate in ethically acceptable ways, including the manner in which they treat their employees. There have been a number of instances where organizations' malpractices have been exposed, leading to significant impact on their brands and loss of business confidence in those organizations.

The need is important to enable organizations to demonstrate that they have adopted good OH&S practices, and that this is able to be verified by independent assessments.

The need will continue, as there is evidence (from the OHSAS Standards and Certificates survey) of a rapidly growing number of organizations establishing formal OH&S management systems, and as those which have already established such systems pursue the cycle of continuous improvement.

The alignment of the OH&S ISO MSS with other ISO MSS (through the use of the Annex SL structure and text) may also encourage organizations to adopt it as part of their overall integrated management system.

There will also be continuing and increasing demand for standards and related guidelines in the OH&S domain as organizations are required to respond to regulatory changes and business requirements for evidence and accountability.

## **2.5. Determination of the importance of the need**

*Describe how the need and importance were determined. List the affected parties consulted and the major geographical or economical regions in which they are located.*

The need and importance have been voiced since the early 1990s by parties from all geographical and economic regions; however the 1996 ISO OH&S Workshop concluded that there was insufficient support at that time to initiate projects in this field. Since then the advent of the likes of OHSAS 18001, AS/NZ 4801, GBT 28001 have seen a growing number of standards being developed outside of ISO and yet being used internationally.

The extent of the demand is evidenced by the various OHSAS Project Group "Standards and Certificates" surveys that have been conducted in more recent years, of which the 2011 results are provided for information.

## **2.6. Known or expected support for the proposed MSS**

*Is there known or expected support for the proposed MSS? List those bodies that have indicated support. Is there known or expected opposition to the proposed MSS? List those bodies that have indicated opposition.*

Even before the 1996 ISO workshop on OH&S there were growing demands for a "Requirements" standard on OH&S management systems, to enable organizations to demonstrate that they had adopted good OH&S practices.

The OHSAS "Standards and Certificates Survey" has shown a rapid rise in the rate of use of OHSAS 18001 and equivalent standards over the past 10 years. More importantly, it has shown that the standards are now being used in **127 countries** around the world, which strongly suggests that there would be value to seeking to harmonize OH&S management system requirements into an International Standard, and to share best practices.

It has been noted that there has been consistent opposition to the development of OH&S management system standards both in ISO and in CEN since the early 1990s. The main reason being cited is that each country has its own OH&S regulations, and that is sufficient. In contrast, a key requirement of OHSAS 18001 is that organizations should demonstrate legal compliance, which would support such national or regional (e.g. the EU's SEVESO III) regulations. Additionally, while the regulations may differ from country to country, the OH&S problems, and their potential solutions, remain the same.

The other issue that has consistently been raised in opposition to the development of such standards is that the actual balance of participants in the drafting process does not follow the tripartite approach and would not be adequate. ISO has demonstrated through the development of deliverables such as ISO 26000 that it is willing to facilitate new approaches in its drafting processes, and this issue should no longer be considered as a valid barrier.

(The OHSAS survey has shown that there is significant levels of use of OHSAS 18001 occurring even in those states that have previously expressed such opposition)

A copy of the OHSAS "Standards and Certificates Survey" for data up to the end of 2011 is provided in order to support this proposal.

## **2.7. Expected benefits and costs to organizations**

*What are the expected benefits and costs to organizations, differentiated for small, medium and large organizations if applicable? Describe how the benefits and the costs were determined. Provide available information on geographic or economic focus, industry sector and size of the organization. Provide information on the sources consulted and their basis (e.g. proven practices), premises, assumptions and conditions (e.g. speculative or theoretical), and other pertinent information.*

Health and safety management enables an organization to achieve effective management of its business and OH&S risks; the protection of those doing work under its control (direct employees as well as contractors); the protection of those affected by its activities (visitors, neighbours, people passing the organization's work sites); and the ability to respond to the challenges of the global environment.

To this end, the benefits of implementing an OH&S management system for small, medium and large organizations in any sector include:

- Common governance, policy and practice benchmarks across geographical boundaries, including different countries, cultures and jurisdictions
- Ability to meet regulatory requirements, including accountability, ethical and corporate governance requirements; regulatory compliance; and practice audits
- Enables compliance with national and international legislation and codes of conduct
- Support of risk management, including emergency planning, and implementation
- Shows a commitment to improved OH&S performance
- Ability to set and assess performance measures for the use of contract service providers, and for inclusion in commercial contracts
- Significant reductions in the number of OH&S incidents and accidents, including a reduction in the costs associated with such incidents or accidents
- Significant reductions in the cost of disruptions to operations
- Reduced insurance premiums
- Use of an OH&S MSS that integrates with, and supports other commonly used MSS, such as ISO 14001 or ISO 9001
- Enables a coordinated, consistent and integrated approach to establishing policy, objectives, targets and implementation techniques across an organisation; thereby minimizing duplication, redundancy, and incompatible processes

- Use of an OH&S management system standard for measuring conformity shows commitment to the wellbeing of workers, neighbours and visitors, as well as to organisational governance, accountability and integrity
- Scalable use of an internationally accepted system to meet business needs, resource availability and risk
- Facilitation of communication between different countries on shared issues, and a forum for articulating common principles, minimum and best practice.

The cost is commensurate with the scope of implementation within each organization and is determined by business need and an assessment of risk.

The cost of implementing an OH&S management system can provide both a short-term and a long-term, positive return on investment. Cost containment can be achieved through integrated implementation of an OH&S management system with other MSS adopted by an organization.

Information on benefits was derived from:

- Those sources identified in 2.5 above.
- Anecdotal information from discussions in meetings of the OHSAS Project Group
- An ad hoc survey by BSI of users of BS OHSAS 18001

## **2.8. Benefits and costs to other affected parties**

*What are the expected benefits and costs to other affected parties (including developing countries)? Describe how the benefits and the costs were determined. Provide any information regarding the affected parties indicated.*

Affected parties would benefit through:

- the establishment of a worldwide body of knowledge on OH&S management systems
- the sharing of best practice
- the establishment of peer review and other monitoring systems to ensure that the provision of training, certification and accreditation services are of a reasonable standard and are universally applied (through the work of organizations such as the IAF or the IPC)
- the establishment of formal complaints handling processes by the certification and accreditation bodies (through the use of ISO/IEC 17021)

The costs that other affected parties experience would be lower using an OH&S ISO MSS than they would be in developing and implementing their own standards, which would add additional development, implementation and training costs in addition to the costs their industries would pay for not complying with an international OH&S management standard.

## **2.9. Expected value to society**

*What will be the expected value to society?*

Ultimately the widespread use of effective OH&S management systems will benefit society

- by reducing the number of incidents and accidents;
- by reducing disruptions to operational processes



- by reducing the need for emergency medical care provision (both at the workplace and at hospitals)
- by reducing the need for long term care for those unable to return to work following an accident
- by preventing the removal of people from the workforce
- by reducing the costs of incidents and accidents or of disruptions.

The OH&S ISO MSS should deliver significant value and performance improvements to users, including better risk management, transparency, consistency and sustainability.

It should be recognised as a useful tool by regulators to clarify expectations and improve consensus on requirements for good governance and the optimal way forward in the face of conflicting requirements (such as short term versus long term goals, cost control, service delivery and risk management).

For organizations operating in high risk OH&S environments, a joined-up, optimized and sustainable management system is essential as a means of assuring both internal and external stakeholders that they are managing their risks appropriately, safely and efficiently. This is an increasingly important requirement in the current climate of investment concerns, long term sustainability/ environmental pressures, resource constraints, fast changing technologies and societal or customer demands.

## **2.10. Other Risks**

*Have any other risks been identified (e.g. timeliness or unintended consequences to a specific business)?*

No other risks have been identified or are anticipated.

## 3. Principle 2 - Compatibility

### 3.1. Overlap with other ISO or non-ISO standards

*Is there potential overlap or conflict with other existing or planned ISO or non-ISO international standards, or those at the national or regional level? Are there other public or private actions, guidance, requirements and regulations that seek to address the identified need, such as technical papers, proven practices, academic or professional studies, or any other body of knowledge?*

There would be overlap between the proposed OH&S ISO MSS and many existing international or national standards (e.g. OHSAS 18001, AS/NZ 4801, GB T28001, ANSI Z10), but no conflicts with them.

There are many other public or private actions, guidance, requirements and regulations that seek to address the identified need, such as technical papers, proven practices, academic or professional studies, or any other body of knowledge (e.g. the ILO's OSH Guidelines document).

The purpose of the OH&S ISO MSS would be to harmonize such documents and activities etc. and to share best practices.

### 3.2. Compatibility with other ISO or non-ISO standards

*Is the MSS or the related conformity assessment activities (e.g. audits, certifications) likely to add to, replace all or parts of, harmonize and simplify, duplicate or repeat, conflict with, or detract from the existing activities identified above? What steps are being considered to ensure compatibility, resolve conflict or avoid duplication?*

The proposed OH&S ISO MSS is likely to harmonize, add to, replace, duplicate or repeat (parts of) the existing activities identified in 3.1 above, but would not conflict or detract from them.

It is expected that the proposed OH&S ISO MSS would supersede many of the existing activities, so removing the initial duplication or repetition of them.

Similarly, the related conformity assessment activities would be expected to replace those against the identified existing activities.

The proposed OH&S ISO MSS would be compatible with, and support, the requirements of other ISO MSS such as ISO 9000 or ISO 14000 (particularly through the use of the Annex SL "High Level Structure" and text). It could be implemented as part of an organization's overall management system, and/or could be implemented in conjunction with any one or more other ISO MSS.

Compatibility would be ensured through a process of validation and verification against the existing MSS's during the development of the OH&S ISO MSS, and through active liaison with relevant internal (e.g. ISO/TC 176, ISO/TC 207, ISO/CASCO, the JTCG) and external parties. This should prevent any conflict and avoid duplication.

### 3.3. Proliferation of MSS

*Is the proposed MSS likely to promote or stem proliferation of MSS at the national or regional level, or by industry sectors?*

It is likely that the proposed OH&S ISO MSS would stem proliferation of MSS's at the national or regional level, or by industry sectors.

The proposed OH&S ISO MSS is likely to be adopted as an identical standard (allowing for translation differences) in national jurisdictions.

There is no reason for, or advantage to be gained by different jurisdictions or sectors developing a different OH&S management system standard, although supporting products could be developed at a regional or national level to aid implementation and to advise on regional or national regulations.

## 4. Principle 3 – Topic coverage

### 4.1. Application of the MSS for a single specific sector

*Is the MSS for a single specific sector?*

The proposed OH&S ISO MSS is not intended for any single specific sector. It would be applicable to all sectors.

### 4.2. Referencing or incorporating existing ISO MSS

*Will the MSS reference or incorporate an existing, non-industry-specific ISO MSS (e.g. from the ISO 9000 series of quality management standards)? If yes, will the development of the MSS conform to the ISO/IEC Sector Policy (see 6.8.2 of ISO/IEC Directives, Part 2), and any other relevant policy and guidance procedures (e.g. those that may be made available by a relevant ISO committee)?*

The proposed OH&S ISO MSS is likely to reference (in its Bibliography):

- ISO/IEC Directives, Part 1, Procedures Specific to ISO, 2012, *Annex SL*
- ISO 14001 *Environmental management systems*
- ISO 9001 *Quality management systems*
- ISO/IEC Guide 73 *Risk management - Vocabulary*
- ISO 31000 *Risk management.- Principles and guidelines*
- ISO 19011:2011 *Guidelines for auditing management systems*

The development of the proposed OH&S ISO MSS would conform to the ISO/IEC Sector Policy (see 6.8.2 of ISO/IEC Directives, Part 2, 2001), and any other relevant policy and guidance procedures such as those provided by a relevant ISO technical committee.

### 4.3. The need for particular sector-specific deviations from a generic MSS

*What steps have been taken to remove or minimize the need for particular sector-specific deviations from a generic MSS?*

The scope of the proposed OH&S ISO MSS is unlikely to require sector-specific deviations from the generic MSS. However, the ISO PC that is given responsibility for this project should work through liaison with other internal and external parties to achieve this goal.

Annex SL, Appendix 2 of the *Supplement to ISO Directives Part 1* (High level structure, identical core text and common terms and core definitions for use in Management Systems Standards) should be used in the development of the proposed OH&S ISO MSS (which is reflected in the supporting preliminary draft).

## 5. Principle 4 – Flexibility

*Will the MSS allow an organization competitively to add to, differentiate or encourage innovation of its management system beyond the standard?*

The proposed OH&S ISO MSS would enable an organization to implement an OH&S management system in a scalable way according to: its regulatory context; its size and complexity; the nature of its activities, products and services; its assessment of its risks; or its organizational culture. This may be the case in particular for small and medium-sized enterprises.

An organization can choose to go beyond a minimum level of conformance, and reach a higher level of capability which would improve overall organizational effectiveness and demonstrate continuous improvement. Implementation can include innovation through:

- the use of less hazardous materials, products or processes
- improved design of work processes
- other techniques that result in improved OH&S performance.

The drive for higher conformance and/ or innovation can be for competitive advantage, market differentiation, or excellence in service delivery – depending on the sector in which the organization operates.

There are also opportunities for an organization to incorporate contractors, suppliers, customers or trading partners within the scope of its OH&S management system, thereby improving supply chain performance, business performance, or customer engagement – any of which may result in competitive advantage.

## **6. Principle 5 - Free Trade**

### **6.1. How the MSS facilitates or impacts global trade**

*How would the MSS facilitate or impact global trade? Could the MSS create or prevent a technical barrier to trade?*

By reducing the number of different national OH&S management system programmes, the proposed OH&S ISO MSS could facilitate global trade, and could remove existing barriers to trade.

### **6.2. Possible technical barrier to trade for small, medium or large organizations**

*Could the MSS create or prevent a technical barrier to trade for small, medium or large organizations?*

The proposed OH&S ISO MSS could facilitate trade for organizations of all sizes by providing:

- the implementation benchmark for global or local certification against the OH&S ISO MSS
- a qualification framework for tendering, or qualification for preferred provider status.

The proposed OH&S ISO MSS would not create a technical barrier to trade for small, medium or large organizations.

### **6.3. Possible technical barrier to trade for developing or developed countries**

*Could the MSS create or prevent a technical barrier to trade for developing or developed countries?*

The proposed OH&S ISO MSS could facilitate trade for developed or developing countries in the same way as indicated in 6.1 and 6.2 above.

### **6.4. Use of the proposed MSS in government regulations**

*If the proposed MSS is intended to be used in government regulations, is it likely to add to, duplicate, replace, enhance or support existing governmental regulations?*

The proposed OH&S ISO MSS is likely to support existing governmental regulations, as many such regulations now require organizations to establish formal OH&S management systems. Consequently it could help organizations comply with, and demonstrate their compliance to, such governmental regulations.

While national legislation for OH&S management usually establishes the requirements and the body responsible for oversight; the proposed OH&S ISO MSS could provide the basis for an organization's OH&S policy, principles and implementation techniques.

## 7. Principle 6 - Applicability of Conformity

### 7.1. Methods of demonstrating conformance

*If the intended use is for contractual or regulatory purposes, what are the potential methods to demonstrate conformance (e.g. first party, second party or third party)? Does the MSS enable organizations to be flexible in choosing the method of demonstrating conformance, and to accommodate for changes in its operations, management, physical locations and equipment?*

The proposed OH&S ISO MSS:

- could be used for contractual or regulatory purposes in some jurisdictions within some countries
- would allow for first, second, or third party methods to demonstrate conformance
- would enable organizations to be flexible in choosing the method of demonstrating conformance, and to accommodate for changes in their operations, management, physical locations and equipment

### 7.2. Benefits and costs of registration/certification

*If third-party registration/certification is a potential option, what are the anticipated benefits and costs to the organization? Will the MSS facilitate joint audits with other management system standards or promote parallel assessments?*

For the proposed OH&S ISO MSS the primary benefits of third party certification include:

- Increased customer and other stakeholders' confidence in organizations OH&S practices, due to the independence of the certification audits
- improved communications on OH&S management to customers, contractors, suppliers and regulators, as more organizations become familiar with the OH&S ISO MSS
- improved efficiency as the global OH&S ISO MSS infrastructure expands, e.g. through the provision of standardized auditor training courses, the availability of knowledgeable and experienced consultants, a diversity of certification bodies etc.

The costs of third-party registration/certification include:

- employee training
- audit preparation costs
- audit costs
- registration fees.

The liaison arrangements between the OH&S PC and other ISO and IEC technical committees or other external organizations, and the use of the Annex SL "High Level Structure" and text, will ensure that the proposed OH&S ISO MSS is fully aligned with as many other MSS as possible (and particularly ISO 14001), to enable joint audits wherever possible.

## **8. Principle 7 - Exclusions**

*Does the proposed purpose or scope include product (including service) specifications, product test methods, product performance levels, or other forms of guidance or requirements directly related to products produced or provided by the implementing organization?*

The proposed purpose or scope of the OH&S ISO MSS does not include any type of guidance or requirements for products or services produced or provided by an implementing organization.

## **9. Principle 8 - Ease of Use**

*No questions directly refer to the principle 8 "ease of use", but it should guide the development of the deliverable*

Most technical standards require a degree of technical competence in their field to understand them, whereas anyone may be appointed as a manager and have to deal with a formal management system; consequently it is essential that the proposed OH&S ISO MSS be written in a style that is generally understandable to anyone in such a role, and that it can be translated without loss of any of the concepts underlying its requirements. The ISO PC given responsibility for this project would need to plan how to achieve the required "ease of use" for the proposed OH&S ISO MSS.



### **Withdrawn certificates**

<b>Item</b>	<b>Reason</b>	<b>Number of withdrawn certificates</b>
<b>5.3.1</b>	<b>Organization failed re-certification audit</b>	89
<b>5.3.2.</b>	<b>Organization decided to discontinue certification because:</b>	
	5.3.2.1 Return on investment was insufficient	40
	5.3.2.2 No business advantage resulted	42
	5.3.2.3 Other reasons	2483
<b>Total</b>		2654

**OCCUPATIONAL HEALTH AND SAFETY ASSESSMENT SERIES**

# **Occupational health and safety management systems – Requirements**

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## **Summary of pages**

This document comprises a front cover, an inside front cover, pages i to viii, pages 1 to 22, an inside back cover and a back cover.

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TÜV Rheinland Cert GmbH – TÜV Rheinland Group  
Standards Association of Zimbabwe (SAZ)

We would also like to recognize the invaluable contribution made by those many organizations who took the time to review the working drafts of OHSAS 18001, and who submitted comments for consideration. This helped us greatly in improving the standard, and is much appreciated.

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<sup>1)</sup> As the regulatory authority responsible for health and safety in Great Britain, the Health and Safety Executive would wish to make it clear that reliance on the OHSAS Standard by organizations will not absolve them from compliance with any of their legal health and safety obligations under the laws of England & Wales, and Scotland.

# Foreword

This Occupational Health and Safety Assessment Series (OHSAS) Standard and the accompanying OHSAS 18002, *Guidelines for the implementation of OHSAS 18001*, have been developed in response to customer demand for a recognizable occupational health and safety management system standard against which their management systems can be assessed and certified.

OHSAS 18001 has been developed to be compatible with the ISO 9001:2000 (Quality) and ISO 14001:2004 (Environmental) management systems standards, in order to facilitate the integration of quality, environmental and occupational health and safety management systems by organizations, should they wish to do so.

This OHSAS Standard will be reviewed or amended when considered appropriate. Reviews will be conducted when new editions of either ISO 9001 or ISO 14001 are published, to ensure continuing compatibility.

This OHSAS Standard will be withdrawn on publication of its contents in, or as, an International Standard.

This OHSAS Standard has been drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

This second edition cancels and replaces the first edition (OHSAS 18001:1999), which has been technically revised.

The principal changes with respect to the previous edition are as follows.

- The importance of “health” has now been given greater emphasis.
- OHSAS 18001 now refers to itself as a standard, not a specification, or document, as in the earlier edition. This reflects the increasing adoption of OHSAS 18001 as the basis for national standards on occupational health and safety management systems.
- The “Plan-Do-Check-Act” model diagram is only given in the Introduction, in its entirety, and not also as sectional diagrams at the start of each major clause.
- Reference publications in Clause **2** have been limited to purely international documents.
- New definitions have been added, and existing definitions revised.
- Significant improvement in alignment with ISO 14001:2004 throughout the standard, and improved compatibility with ISO 9001:2000.
- The term “tolerable risk” has been replaced by the term “acceptable risk” (see **3.1**).
- The term “accident” is now included in the term “incident” (see **3.9**).
- The definition of the term “hazard” no longer refers to “damage to property or damage to the workplace environment” (see **3.6**).

It is now considered that such “damage” is not directly related to occupational health and safety management, which is the purpose of this OHSAS Standard, and that it is included in the field of asset management. Instead, the risk of such “damage” having an effect on occupational health and safety should be identified through the organization’s risk assessment process, and be controlled through the application of appropriate risk controls.

- Sub-clauses **4.3.3** and **4.3.4** have been merged, in line with ISO 14001:2004.
- A new requirement has been introduced for the consideration of the hierarchy of controls as part of OH&S planning (see **4.3.1**).
- Management of change is now more explicitly addressed (see **4.3.1** and **4.4.6**).
- A new clause on the “Evaluation of compliance” (see **4.5.2**) has been introduced.
- New requirements have been introduced for participation and consultation (see **4.4.3.2**).
- New requirements have been introduced for the investigation of incidents (see **4.5.3.1**).

This publication does not purport to include all necessary provisions of a contract. Users are responsible for its correct application.

**Compliance with this Occupational Health and Safety Assessment Series (OHSAS) Standard cannot confer immunity from legal obligations.**

# Introduction

Organizations of all kinds are increasingly concerned with achieving and demonstrating sound occupational health and safety (OH&S) performance by controlling their OH&S risks, consistent with their OH&S policy and objectives. They do so in the context of increasingly stringent legislation, the development of economic policies and other measures that foster good OH&S practices, and increased concern expressed by interested parties about OH&S issues.

Many organizations have undertaken OH&S “reviews” or “audits” to assess their OH&S performance. On their own, however, these “reviews” and “audits” may not be sufficient to provide an organization with the assurance that its performance not only meets, but will continue to meet, its legal and policy requirements. To be effective, they need to be conducted within a structured management system that is integrated within the organization.

The OHSAS Standards covering OH&S management are intended to provide organizations with the elements of an effective OH&S management system that can be integrated with other management requirements and help organizations achieve OH&S and economic objectives. These standards, like other International Standards, are not intended to be used to create non-tariff trade barriers or to increase or change an organization’s legal obligations.

This OHSAS Standard specifies requirements for an OH&S management system to enable an organization to develop and implement a policy and objectives which take into account legal requirements and information about OH&S risks. It is intended to apply to all types and sizes of organizations and to accommodate diverse geographical, cultural and social conditions. The basis of the approach is shown in Figure 1. The success of the system depends on commitment from all levels and functions of the organization, and especially from top management. A system of this kind enables an organization to develop an OH&S policy, establish objectives and processes to achieve the policy commitments, take action as needed to improve its performance and demonstrate the conformity of the system to the requirements of this OHSAS Standard. The overall aim of this OHSAS Standard is to support and promote good OH&S practices, in balance with socio-economic needs. It should be noted that many of the requirements can be addressed concurrently or revisited at any time.

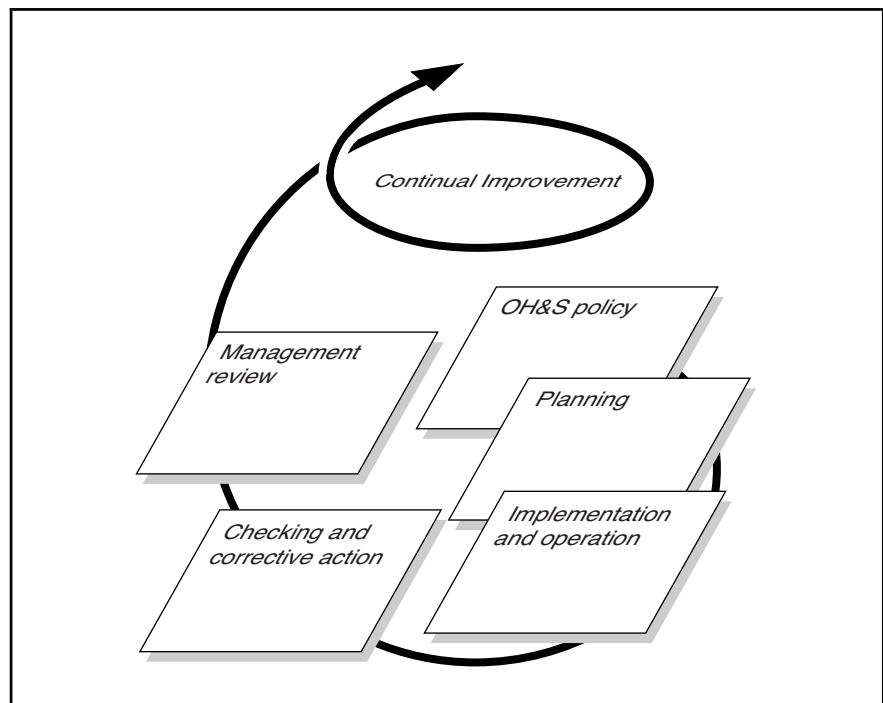
The second edition of this OHSAS Standard is focused on clarification of the first edition, and has taken due consideration of the provisions of ISO 9001, ISO14001, ILO-OSH, and other OH&S management system standards or publications to enhance the compatibility of these standards for the benefit of the user community.



There is an important distinction between this OHSAS Standard, which describes the requirements for an organization's OH&S management system and can be used for certification/registration and/or self-declaration of an organization's OH&S management system, and a non-certifiable guideline intended to provide generic assistance to an organization for establishing, implementing or improving an OH&S management system. OH&S management encompasses a full range of issues, including those with strategic and competitive implications. Demonstration of successful implementation of this OHSAS Standard can be used by an organization to assure interested parties that an appropriate OH&S management system is in place.

Those organizations requiring more general guidance on a broad range of OH&S management system issues are referred to OHSAS 18002. Any reference to other International Standards is for information only.

Figure 1 OH&S management system model for this OHSAS Standard



*NOTE* This OHSAS Standard is based on the methodology known as Plan-Do-Check-Act (PDCA). PDCA can be briefly described as follows.

- **Plan:** establish the objectives and processes necessary to deliver results in accordance with the organization's OH&S policy.
- **Do:** implement the processes.
- **Check:** monitor and measure processes against OH&S policy, objectives, legal and other requirements, and report the results.
- **Act:** take actions to continually improve OH&S performance.

Many organizations manage their operations via the application of a system of processes and their interactions, which can be referred to as the "process approach". ISO 9001 promotes the use of the process approach. Since PDCA can be applied to all processes, the two methodologies are considered to be compatible.

This OHSAS Standard contains requirements that can be objectively audited; however it does not establish absolute requirements for OH&S performance beyond the commitments, in the OH&S policy, to comply with applicable legal requirements and with other requirements to which the organization subscribes, to the prevention of injury and ill health and to continual improvement. Thus, two organizations carrying out similar operations but having different OH&S performance can both conform to its requirements.

This OH&S Standard does not include requirements specific to other management systems, such as those for quality, environmental, security, or financial management, though its elements can be aligned or integrated with those of other management systems. It is possible for an organization to adapt its existing management system(s) in order to establish an OH&S management system that conforms to the requirements of this OHSAS Standard. It is pointed out, however, that the application of various elements of the management system might differ depending on the intended purpose and the interested parties involved.

The level of detail and complexity of the OH&S management system, the extent of documentation and the resources devoted to it depend on a number of factors, such as the scope of the system, the size of an organization and the nature of its activities, products and services, and the organizational culture. This may be the case in particular for small and medium-sized enterprises.



# Occupational health and safety management systems – Requirements

## 1 Scope

This Occupational Health and Safety Assessment Series (OHSAS) Standard specifies requirements for an occupational health and safety (OH&S) management system, to enable an organization to control its OH&S risks and improve its OH&S performance. It does not state specific OH&S performance criteria, nor does it give detailed specifications for the design of a management system.

This OHSAS Standard is applicable to any organization that wishes to:

- a) establish an OH&S management system to eliminate or minimize risks to personnel and other interested parties who could be exposed to OH&S hazards associated with its activities;
- b) implement, maintain and continually improve an OH&S management system;
- c) assure itself of its conformity with its stated OH&S policy;
- d) demonstrate conformity with this OHSAS Standard by:
  - 1) making a self-determination and self-declaration, or
  - 2) seeking confirmation of its conformance by parties having an interest in the organization, such as customers, or
  - 3) seeking confirmation of its self-declaration by a party external to the organization, or
  - 4) seeking certification/registration of its OH&S management system by an external organization.

All the requirements in this OHSAS Standard are intended to be incorporated into any OH&S management system. The extent of the application will depend on such factors as the OH&S policy of the organization, the nature of its activities and the risks and complexity of its operations.

This OHSAS Standard is intended to address occupational health and safety, and is not intended to address other health and safety areas such as employee wellbeing/wellness programmes, product safety, property damage or environmental impacts.

## 2 Reference publications

Other publications that provide information or guidance are listed in the bibliography. It is advisable that the latest editions of such publications be consulted. Specifically, reference should be made to:

OHSAS 18002, *Occupational health and safety management systems – Guidelines for the implementation of OHSAS 18001*

International Labour Organization:2001, *Guidelines on Occupational Health and Safety Management Systems (OSH-MS)*

## 3 Terms and definitions

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

### 3.1 acceptable risk

risk that has been reduced to a level that can be tolerated by the organization having regard to its legal obligations and its own **OH&S policy (3.16)**

### 3.2 audit

systematic, independent and documented process for obtaining “audit evidence” and evaluating it objectively to determine the extent to which “audit criteria” are fulfilled

[ISO 9000:2005, **3.9.1**]

*NOTE 1 Independent does not necessarily mean external to the organization. In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited.*

*NOTE 2 For further guidance on “audit evidence” and “audit criteria”, see ISO 19011.*

### 3.3 continual improvement

recurring process of enhancing the **OH&S management system (3.13)** in order to achieve improvements in overall **OH&S performance (3.15)** consistent with the **organization’s (3.17) OH&S policy (3.16)**

*NOTE 1 The process need not take place in all areas of activity simultaneously.*

*NOTE 2 Adapted from ISO 14001:2004, 3.2.*

### 3.4 corrective action

action to eliminate the cause of a detected **nonconformity (3.11)** or other undesirable situation

*NOTE 1 There can be more than one cause for a nonconformity.*

*NOTE 2 Corrective action is taken to prevent recurrence whereas **preventive action (3.18)** is taken to prevent occurrence.*

[ISO 9000:2005, **3.6.5**]

### 3.5 document

information and its supporting medium

*NOTE The medium can be paper, magnetic, electronic or optical computer disc, photograph or master sample, or a combination thereof.*

[ISO 14001:2004, **3.4**]

### 3.6 hazard

source, situation, or act with a potential for harm in terms of human injury or **ill health (3.8)**, or a combination of these

### 3.7 hazard identification

process of recognizing that a **hazard (3.6)** exists and defining its characteristics

**3.8 ill health**

identifiable, adverse physical or mental condition arising from and/or made worse by a work activity and/or work-related situation

**3.9 incident**

work-related event(s) in which an injury or **ill health (3.8)** (regardless of severity) or fatality occurred, or could have occurred

*NOTE 1 An accident is an incident which has given rise to injury, ill health or fatality.*

*NOTE 2 An incident where no injury, ill health, or fatality occurs may also be referred to as a “near-miss”, “near-hit”, “close call” or “dangerous occurrence”.*

*NOTE 3 An emergency situation (see 4.4.7) is a particular type of incident.*

**3.10 interested party**

person or group, inside or outside the **workplace (3.23)**, concerned with or affected by the **OH&S performance (3.15)** of an **organization (3.17)**

**3.11 nonconformity**

non-fulfilment of a requirement

[ISO 9000:2005, 3.6.2; ISO 14001, 3.15]

*NOTE A nonconformity can be any deviation from:*

- *relevant work standards, practices, procedures, legal requirements, etc.*
- **OH&S management system (3.13) requirements.**

**3.12 occupational health and safety (OH&S)**

conditions and factors that affect, or could affect, the health and safety of employees or other workers (including temporary workers and contractor personnel), visitors, or any other person in the **workplace (3.23)**

*NOTE Organizations can be subject to legal requirements for the health and safety of persons beyond the immediate workplace, or who are exposed to the workplace activities.*

**3.13 OH&S management system**

part of an **organization's (3.17)** management system used to develop and implement its **OH&S policy (3.16)** and manage its **OH&S risks (3.21)**

*NOTE 1 A management system is a set of interrelated elements used to establish policy and objectives and to achieve those objectives.*

*NOTE 2 A management system includes organizational structure, planning activities (including, for example, risk assessment and the setting of objectives), responsibilities, practices, **procedures (3.19)**, processes and resources.*

*NOTE 3 Adapted from ISO 14001:2004, 3.8.*

**3.14 OH&S objective**

OH&S goal, in terms of **OH&S performance (3.15)**, that an **organization (3.17)** sets itself to achieve

*NOTE 1 Objectives should be quantified wherever practicable.*

*NOTE 2 4.3.3 requires that OH&S objectives are consistent with the OH&S policy (3.16).*

**3.15 OH&S performance**

measurable results of an **organization's (3.17)** management of its **OH&S risks (3.21)**

*NOTE 1 OH&S performance measurement includes measuring the effectiveness of the organization's controls.*

*NOTE 2 In the context of OH&S management systems (3.13), results can also be measured against the organization's (3.17) OH&S policy (3.16), OH&S objectives (3.14), and other OH&S performance requirements.*

**3.16 OH&S policy**

overall intentions and direction of an **organization (3.17)** related to its **OH&S performance (3.15)** as formally expressed by top management

*NOTE 1 The OH&S policy provides a framework for action and for the setting of OH&S objectives (3.14)*

*NOTE 2 Adapted from ISO 14001:2004, 3.11.*

**3.17 organization**

company, corporation, firm, enterprise, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions and administration

*NOTE For organizations with more than one operating unit, a single operating unit may be defined as an organization.*

[ISO 14001:2004, 3.16]

**3.18 preventive action**

action to eliminate the cause of a potential **nonconformity (3.11)** or other undesirable potential situation

*NOTE 1 There can be more than one cause for a potential nonconformity.*

*NOTE 2 Preventive action is taken to prevent occurrence whereas corrective action (3.4) is taken to prevent recurrence.*

[ISO 9000:2005, 3.6.4]

**3.19 procedure**

specified way to carry out an activity or a process

*NOTE Procedures can be documented or not.*

[ISO 9000:2005, 3.4.5]

**3.20 record**

**document (3.5)** stating results achieved or providing evidence of activities performed

[ISO 14001:2004, 3.20]

**3.21 risk**

combination of the likelihood of an occurrence of a hazardous event or exposure(s) and the severity of injury or **ill health (3.8)** that can be caused by the event or exposure(s)

**3.22 risk assessment**

process of evaluating the **risk(s)** (3.21) arising from a hazard(s), taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable

**3.23 workplace**

any physical location in which work related activities are performed under the control of the organization

*NOTE When giving consideration to what constitutes a workplace, the **organization** (3.17) should take into account the OH&S effects on personnel who are, for example, travelling or in transit (e.g. driving, flying, on boats or trains), working at the premises of a client or customer, or working at home.*

## **4 OH&S management system requirements**

**4.1 General requirements**

The organization shall establish, document, implement, maintain and continually improve an OH&S management system in accordance with the requirements of this OHSAS Standard and determine how it will fulfil these requirements.

The organization shall define and document the scope of its OH&S management system.

**4.2 OH&S policy**

Top management shall define and authorize the organization's OH&S policy and ensure that within the defined scope of its OH&S management system it:

- a) is appropriate to the nature and scale of the organization's OH&S risks;
- b) includes a commitment to prevention of injury and ill health and continual improvement in OH&S management and OH&S performance;
- c) includes a commitment to at least comply with applicable legal requirements and with other requirements to which the organization subscribes that relate to its OH&S hazards;
- d) provides the framework for setting and reviewing OH&S objectives;
- e) is documented, implemented and maintained;
- f) is communicated to all persons working under the control of the organization with the intent that they are made aware of their individual OH&S obligations;
- g) is available to interested parties; and
- h) is reviewed periodically to ensure that it remains relevant and appropriate to the organization.



### 4.3 Planning

#### 4.3.1 Hazard identification, risk assessment and determining controls

The organization shall establish, implement and maintain a procedure(s) for the ongoing hazard identification, risk assessment, and determination of necessary controls.

The procedure(s) for hazard identification and risk assessment shall take into account:

- a) routine and non-routine activities;
- b) activities of all persons having access to the workplace (including contractors and visitors);
- c) human behaviour, capabilities and other human factors;
- d) identified hazards originating outside the workplace capable of adversely affecting the health and safety of persons under the control of the organization within the workplace;
- e) hazards created in the vicinity of the workplace by work-related activities under the control of the organization;

*NOTE 1 It may be more appropriate for such hazards to be assessed as an environmental aspect.*

- f) infrastructure, equipment and materials at the workplace, whether provided by the organization or others;
- g) changes or proposed changes in the organization, its activities, or materials;
- h) modifications to the OH&S management system, including temporary changes, and their impacts on operations, processes, and activities;
- i) any applicable legal obligations relating to risk assessment and implementation of necessary controls (see also the NOTE to 3.12);
- j) the design of work areas, processes, installations, machinery/equipment, operating procedures and work organization, including their adaptation to human capabilities.

The organization's methodology for hazard identification and risk assessment shall:

- a) be defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive; and
- b) provide for the identification, prioritization and documentation of risks, and the application of controls, as appropriate.

For the management of change, the organization shall identify the OH&S hazards and OH&S risks associated with changes in the organization, the OH&S management system, or its activities, prior to the introduction of such changes.

The organization shall ensure that the results of these assessments are considered when determining controls.

When determining controls, or considering changes to existing controls, consideration shall be given to reducing the risks according to the following hierarchy:

- a) elimination;
- b) substitution;
- c) engineering controls;
- d) signage/warnings and/or administrative controls;
- e) personal protective equipment.

The organization shall document and keep the results of identification of hazards, risk assessments and determined controls up-to-date.

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

*NOTE 2 For further guidance on hazard identification, risk assessment and determining controls, see OHSAS 18002.*

#### **4.3.2 Legal and other requirements**

The organization shall establish, implement and maintain a procedure(s) for identifying and accessing the legal and other OH&S requirements that are applicable to it.

The organization shall ensure that these applicable legal requirements and other requirements to which the organization subscribes are taken into account in establishing, implementing and maintaining its OH&S management system.

The organization shall keep this information up-to-date.

The organization shall communicate relevant information on legal and other requirements to persons working under the control of the organization, and other relevant interested parties.

#### **4.3.3 Objectives and programme(s)**

The organization shall establish, implement and maintain documented OH&S objectives, at relevant functions and levels within the organization.

The objectives shall be measurable, where practicable, and consistent with the OH&S policy, including the commitments to the prevention of injury and ill health, to compliance with applicable legal requirements and with other requirements to which the organization subscribes, and to continual improvement.

When establishing and reviewing its objectives, an organization shall take into account the legal requirements and other requirements to which the organization subscribes, and its OH&S risks. It shall also consider its technological options, its financial, operational and business requirements, and the views of relevant interested parties.

The organization shall establish, implement and maintain a programme(s) for achieving its objectives. Programme(s) shall include as a minimum:

- a) designation of responsibility and authority for achieving objectives at relevant functions and levels of the organization; and
- b) the means and time-frame by which the objectives are to be achieved.

The programme(s) shall be reviewed at regular and planned intervals, and adjusted as necessary, to ensure that the objectives are achieved.

## **4.4 Implementation and operation**

### **4.4.1 Resources, roles, responsibility, accountability and authority**

Top management shall take ultimate responsibility for OH&S and the OH&S management system.

Top management shall demonstrate its commitment by:

- a) ensuring the availability of resources essential to establish, implement, maintain and improve the OH&S management system;

*NOTE 1 Resources include human resources and specialized skills, organizational infrastructure, technology and financial resources.*

- b) defining roles, allocating responsibilities and accountabilities, and delegating authorities, to facilitate effective OH&S management; roles, responsibilities, accountabilities, and authorities shall be documented and communicated.

The organization shall appoint a member(s) of top management with specific responsibility for OH&S, irrespective of other responsibilities, and with defined roles and authority for:

- a) ensuring that the OH&S management system is established, implemented and maintained in accordance with this OHSAS Standard;
- b) ensuring that reports on the performance of the OH&S management system are presented to top management for review and used as a basis for improvement of the OH&S management system.

*NOTE 2 The top management appointee (e.g. in a large organization, a Board or executive committee member) may delegate some of their duties to a subordinate management representative(s) while still retaining accountability.*

The identity of the top management appointee shall be made available to all persons working under the control of the organization.

All those with management responsibility shall demonstrate their commitment to the continual improvement of OH&S performance.

The organization shall ensure that persons in the workplace take responsibility for aspects of OH&S over which they have control, including adherence to the organization's applicable OH&S requirements.

#### **4.4.2 Competence, training and awareness**

The organization shall ensure that any person(s) under its control performing tasks that can impact on OH&S is (are) competent on the basis of appropriate education, training or experience, and shall retain associated records.

The organization shall identify training needs associated with its OH&S risks and its OH&S management system. It shall provide training or take other action to meet these needs, evaluate the effectiveness of the training or action taken, and retain associated records.

The organization shall establish, implement and maintain a procedure(s) to make persons working under its control aware of:

- a) the OH&S consequences, actual or potential, of their work activities, their behaviour, and the OH&S benefits of improved personal performance;
- b) their roles and responsibilities and importance in achieving conformity to the OH&S policy and procedures and to the requirements of the OH&S management system, including emergency preparedness and response requirements (see **4.4.7**);
- c) the potential consequences of departure from specified procedures.

Training procedures shall take into account differing levels of:

- a) responsibility, ability, language skills and literacy; and
- b) risk.

#### **4.4.3 Communication, participation and consultation**

##### **4.4.3.1 Communication**

With regard to its OH&S hazards and OH&S management system, the organization shall establish, implement and maintain a procedure(s) for:

- a) internal communication among the various levels and functions of the organization;
- b) communication with contractors and other visitors to the workplace;
- c) receiving, documenting and responding to relevant communications from external interested parties.

##### **4.4.3.2 Participation and consultation**

The organization shall establish, implement and maintain a procedure(s) for:

- a) the participation of workers by their:
  - appropriate involvement in hazard identification, risk assessments and determination of controls;
  - appropriate involvement in incident investigation;
  - involvement in the development and review of OH&S policies and objectives;

- consultation where there are any changes that affect their OH&S;
- representation on OH&S matters.

Workers shall be informed about their participation arrangements, including who is their representative(s) on OH&S matters.

- b) consultation with contractors where there are changes that affect their OH&S.

The organization shall ensure that, when appropriate, relevant external interested parties are consulted about pertinent OH&S matters.

#### **4.4.4 Documentation**

The OH&S management system documentation shall include:

- a) the OH&S policy and objectives;
- b) description of the scope of the OH&S management system;
- c) description of the main elements of the OH&S management system and their interaction, and reference to related documents;
- d) documents, including records, required by this OHSAS Standard; and
- e) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to the management of its OH&S risks.

*NOTE It is important that documentation is proportional to the level of complexity, hazards and risks concerned and is kept to the minimum required for effectiveness and efficiency.*

#### **4.4.5 Control of documents**

Documents required by the OH&S management system and by this OHSAS Standard shall be controlled. Records are a special type of document and shall be controlled in accordance with the requirements given in 4.5.4.

The organization shall establish, implement and maintain a procedure(s) to:

- a) approve documents for adequacy prior to issue;
- b) review and update as necessary and re-approve documents;
- c) ensure that changes and the current revision status of documents are identified;
- d) ensure that relevant versions of applicable documents are available at points of use;
- e) ensure that documents remain legible and readily identifiable;
- f) ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the OH&S management system are identified and their distribution controlled; and
- g) prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose.

#### **4.4.6 Operational control**

The organization shall determine those operations and activities that are associated with the identified hazard(s) where the implementation of controls is necessary to manage the OH&S risk(s). This shall include the management of change (see 4.3.1).

For those operations and activities, the organization shall implement and maintain:

- a) operational controls, as applicable to the organization and its activities; the organization shall integrate those operational controls into its overall OH&S management system;
- b) controls related to purchased goods, equipment and services;
- c) controls related to contractors and other visitors to the workplace;
- d) documented procedures, to cover situations where their absence could lead to deviations from the OH&S policy and the objectives;
- e) stipulated operating criteria where their absence could lead to deviations from the OH&S policy and objectives.

#### **4.4.7 Emergency preparedness and response**

The organization shall establish, implement and maintain a procedure(s):

- a) to identify the potential for emergency situations;
- b) to respond to such emergency situations.

The organization shall respond to actual emergency situations and prevent or mitigate associated adverse OH&S consequences.

In planning its emergency response the organization shall take account of the needs of relevant interested parties, e.g. emergency services and neighbours.

The organization shall also periodically test its procedure(s) to respond to emergency situations, where practicable, involving relevant interested parties as appropriate.

The organization shall periodically review and, where necessary, revise its emergency preparedness and response procedure(s), in particular, after periodical testing and after the occurrence of emergency situations (see 4.5.3).

### **4.5 Checking**

#### **4.5.1 Performance measurement and monitoring**

The organization shall establish, implement and maintain a procedure(s) to monitor and measure OH&S performance on a regular basis. This procedure(s) shall provide for:

- a) both qualitative and quantitative measures, appropriate to the needs of the organization;
- b) monitoring of the extent to which the organization's OH&S objectives are met;
- c) monitoring the effectiveness of controls (for health as well as for safety);

- d) proactive measures of performance that monitor conformance with the OH&S programme(s), controls and operational criteria;
- e) reactive measures of performance that monitor ill health, incidents (including accidents, near-misses, etc.), and other historical evidence of deficient OH&S performance;
- f) recording of data and results of monitoring and measurement sufficient to facilitate subsequent corrective action and preventive action analysis.

If equipment is required to monitor or measure performance, the organization shall establish and maintain procedures for the calibration and maintenance of such equipment, as appropriate. Records of calibration and maintenance activities and results shall be retained.

## 4.5.2 Evaluation of compliance

**4.5.2.1** Consistent with its commitment to compliance [see 4.2c)], the organization shall establish, implement and maintain a procedure(s) for periodically evaluating compliance with applicable legal requirements (see 4.3.2).

The organization shall keep records of the results of the periodic evaluations.

*NOTE The frequency of periodic evaluation may vary for differing legal requirements.*

**4.5.2.2** The organization shall evaluate compliance with other requirements to which it subscribes (see 4.3.2). The organization may wish to combine this evaluation with the evaluation of legal compliance referred to in 4.5.2.1 or to establish a separate procedure(s).

The organization shall keep records of the results of the periodic evaluations.

*NOTE The frequency of periodic evaluation may vary for differing other requirements to which the organization subscribes.*

## 4.5.3 Incident investigation, nonconformity, corrective action and preventive action

### 4.5.3.1 Incident investigation

The organization shall establish, implement and maintain a procedure(s) to record, investigate and analyse incidents in order to:

- a) determine underlying OH&S deficiencies and other factors that might be causing or contributing to the occurrence of incidents;
- b) identify the need for corrective action;
- c) identify opportunities for preventive action;
- d) identify opportunities for continual improvement;
- e) communicate the results of such investigations.

The investigations shall be performed in a timely manner.

Any identified need for corrective action or opportunities for preventive action shall be dealt with in accordance with the relevant parts of 4.5.3.2.



The results of incident investigations shall be documented and maintained.

#### **4.5.3.2 Nonconformity, corrective action and preventive action**

The organization shall establish, implement and maintain a procedure(s) for dealing with actual and potential nonconformity(ies) and for taking corrective action and preventive action. The procedure(s) shall define requirements for:

- a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate their OH&S consequences;
- b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence;
- c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence;
- d) recording and communicating the results of corrective action(s) and preventive action(s) taken; and
- e) reviewing the effectiveness of corrective action(s) and preventive action(s) taken.

Where the corrective action and preventive action identifies new or changed hazards or the need for new or changed controls, the procedure shall require that the proposed actions shall be taken through a risk assessment prior to implementation.

Any corrective action or preventive action taken to eliminate the causes of actual and potential nonconformity(ies) shall be appropriate to the magnitude of problems and commensurate with the OH&S risk(s) encountered.

The organization shall ensure that any necessary changes arising from corrective action and preventive action are made to the OH&S management system documentation.

#### **4.5.4 Control of records**

The organization shall establish and maintain records as necessary to demonstrate conformity to the requirements of its OH&S management system and of this OHSAS Standard, and the results achieved.

The organization shall establish, implement and maintain a procedure(s) for the identification, storage, protection, retrieval, retention and disposal of records.

Records shall be and remain legible, identifiable and traceable.

#### **4.5.5 Internal audit**

The organization shall ensure that internal audits of the OH&S management system are conducted at planned intervals to:

- a) determine whether the OH&S management system:
  - 1) conforms to planned arrangements for OH&S management, including the requirements of this OHSAS Standard; and
  - 2) has been properly implemented and is maintained; and
  - 3) is effective in meeting the organization's policy and objectives;



- b) provide information on the results of audits to management.

Audit programme(s) shall be planned, established, implemented and maintained by the organization, based on the results of risk assessments of the organization's activities, and the results of previous audits.

Audit procedure(s) shall be established, implemented and maintained that address:

- a) the responsibilities, competencies, and requirements for planning and conducting audits, reporting results and retaining associated records; and
- b) the determination of audit criteria, scope, frequency and methods.

Selection of auditors and conduct of audits shall ensure objectivity and the impartiality of the audit process.

## **4.6 Management review**

Top management shall review the organization's OH&S management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. Reviews shall include assessing opportunities for improvement and the need for changes to the OH&S management system, including the OH&S policy and OH&S objectives. Records of the management reviews shall be retained.

Input to management reviews shall include:

- a) results of internal audits and evaluations of compliance with applicable legal requirements and with other requirements to which the organization subscribes;
- b) the results of participation and consultation (see **4.4.3**);
- c) relevant communication(s) from external interested parties, including complaints;
- d) the OH&S performance of the organization;
- e) the extent to which objectives have been met;
- f) status of incident investigations, corrective actions and preventive actions;
- g) follow-up actions from previous management reviews;
- h) changing circumstances, including developments in legal and other requirements related to OH&S; and
- i) recommendations for improvement.

The outputs from management reviews shall be consistent with the organization's commitment to continual improvement and shall include any decisions and actions related to possible changes to:

- a) OH&S performance;
- b) OH&S policy and objectives;
- c) resources; and
- d) other elements of the OH&S management system.

Relevant outputs from management review shall be made available for communication and consultation (see **4.4.3**).

## Annex A (informative)

# Correspondence between OHSAS 18001:2007, ISO 14001:2004 and ISO 9001:2000

Table A.1 Correspondence between OHSAS 18001:2007, ISO 14001:2004 and ISO 9001:2000

OHSAS 18001:2007		ISO 14001:2004		ISO 9001:2000	
—	Introduction	—	Introduction	<b>0</b> <b>0.1</b> <b>0.2</b> <b>0.3</b> <b>0.4</b>	Introduction General Process approach Relationship with ISO 9004 Compatibility with other management systems
<b>1</b>	Scope	<b>1</b>	Scope	<b>1</b> <b>1.1</b> <b>1.2</b>	Scope General Application
<b>2</b>	Normative references	<b>2</b>	Normative references	<b>2</b>	Normative reference
<b>3</b>	Terms and definitions	<b>3</b>	Terms and definitions	<b>3</b>	Terms and definitions
<b>4</b>	OH&S management system elements (title only)	<b>4</b>	Environmental management system requirements (title only)	<b>4</b>	Quality management system (title only)
<b>4.1</b>	General requirements	<b>4.1</b>	General requirements	<b>4.1</b> <b>5.5</b> <b>5.5.1</b>	General requirements Responsibility, authority and communication Responsibility and authority
<b>4.2</b>	OH&S policy	<b>4.2</b>	Environmental policy	<b>5.1</b> <b>5.3</b> <b>8.5.1</b>	Management commitment Quality policy Continual improvement
<b>4.3</b>	Planning (title only)	<b>4.3</b>	Planning (title only)	<b>5.4</b>	Planning (title only)
<b>4.3.1</b>	Hazard identification, risk assessment and determining controls	<b>4.3.1</b>	Environmental aspects	<b>5.2</b> <b>7.2.1</b> <b>7.2.2</b>	Customer focus Determination of requirements related to the product Review of requirements related to the product
<b>4.3.2</b>	Legal and other requirements	<b>4.3.2</b>	Legal and other requirements	<b>5.2</b> <b>7.2.1</b>	Customer focus Determination of requirements related to the product
<b>4.3.3</b>	Objectives and programme(s)	<b>4.3.3</b>	Objectives, targets and programme(s)	<b>5.4.1</b> <b>5.4.2</b> <b>8.5.1</b>	Quality objectives Quality management system planning Continual improvement
<b>4.4</b>	Implementation and operation (title only)	<b>4.4</b>	Implementation and operation (title only)	<b>7</b>	Product realization (title only)

Table A.1 **Correspondence between OHSAS 18001:2007, ISO 14001:2004 and ISO 9001:2000** (*continued*)

<b>OHSAS 18001:2007</b>		<b>ISO 14001:2004</b>		<b>ISO 9001:2000</b>	
<b>4.4.1</b>	Resources, roles, responsibility, accountability and authority	<b>4.4.1</b>	Resources, roles, responsibility and authority	<b>5.1</b> <b>5.5.1</b> <b>5.5.2</b> <b>6.1</b> <b>6.3</b>	Management commitment Responsibility and authority Management representative Provision of resources Infrastructure
<b>4.4.2</b>	Competence, training and awareness	<b>4.4.2</b>	Competence, training and awareness	<b>6.2.1</b> <b>6.2.2</b>	(Human resources) General Competence, awareness and training
<b>4.4.3</b>	Communication, participation and consultation	<b>4.4.3</b>	Communication	<b>5.5.3</b> <b>7.2.3</b>	Internal communication Customer communication
<b>4.4.4</b>	Documentation	<b>4.4.4</b>	Documentation	<b>4.2.1</b>	(Documentation requirements) General
<b>4.4.5</b>	Control of documents	<b>4.4.5</b>	Control of documents	<b>4.2.3</b>	Control of documents
<b>4.4.6</b>	Operational control	<b>4.4.6</b>	Operational control	<b>7.1</b> <b>7.2</b> <b>7.2.1</b> <b>7.2.2</b> <b>7.3.1</b> <b>7.3.2</b> <b>7.3.3</b> <b>7.3.4</b> <b>7.3.5</b> <b>7.3.6</b> <b>7.3.7</b> <b>7.4.1</b> <b>7.4.2</b> <b>7.4.3</b> <b>7.5</b> <b>7.5.1</b> <b>7.5.2</b> <b>7.5.5</b>	Planning of product realization Customer-related processes Determination of requirements related to the product Review of requirements related to the product Design and development planning Design and development inputs Design and development outputs Design and development review Design and development verification Design and development validation Control of design and development changes Purchasing process Purchasing information Verification of purchased product Production and service provision Control of production and service provision Validation of processes for production and service provision Preservation of product

Table A.1 Correspondence between OHSAS 18001:2007, ISO 14001:2004 and ISO 9001:2000 (*continued*)

OHSAS 18001:2007		ISO 14001:2004		ISO 9001:2000	
<b>4.4.7</b>	Emergency preparedness and response	<b>4.4.7</b>	Emergency preparedness and response	<b>8.3</b>	Control of nonconforming product
<b>4.5</b>	Checking (title only)	<b>4.5</b>	Checking (title only)	<b>8</b>	Measurement, analysis and improvement (title only)
<b>4.5.1</b>	Performance measurement and monitoring	<b>4.5.1</b>	Monitoring and measurement	<b>7.6</b> <b>8.1</b> <b>8.2.3</b> <b>8.2.4</b> <b>8.4</b>	Control of monitoring and measuring devices (Measurement, analysis and improvement) General Monitoring and measurement of processes Monitoring and measurement of product Analysis of data
<b>4.5.2</b>	Evaluation of compliance	<b>4.5.2</b>	Evaluation of compliance	<b>8.2.3</b> <b>8.2.4</b>	Monitoring and measurement of processes Monitoring and measurement of product
<b>4.5.3</b>	Incident investigation, nonconformity, corrective action and preventive action (title only)	—	—	—	—
<b>4.5.3.1</b>	Incident investigation	—	—	—	—
<b>4.5.3.2</b>	Nonconformity, corrective and preventive action	<b>4.5.3</b>	Nonconformity, corrective action and preventive action	<b>8.3</b> <b>8.4</b> <b>8.5.2</b> <b>8.5.3</b>	Control of nonconforming product Analysis of data Corrective action Preventive action
<b>4.5.4</b>	Control of records	<b>4.5.4</b>	Control of records	<b>4.2.4</b>	Control of records
<b>4.5.5</b>	Internal audit	<b>4.5.5</b>	Internal audit	<b>8.2.2</b>	Internal audit
<b>4.6</b>	Management review	<b>4.6</b>	Management review	<b>5.1</b> <b>5.6</b> <b>5.6.1</b> <b>5.6.2</b> <b>5.6.3</b> <b>8.5.1</b>	Management commitment Management review (title only) General Review input Review output Continual improvement

**Annex B (informative)**

# **Correspondence between OHSAS 18001, OHSAS 18002, and the ILO-OSH:2001 *Guidelines on occupational safety and health management systems***

## **B.1 Introduction**

This annex identifies the key differences between the International Labour Organization's ILO-OSH Guidelines and the OHSAS documents, and provides a comparative assessment of their differing requirements.

It should be noted that ***no areas of significant difference have been identified.***

Consequently, those organizations that have implemented an OH&S management system that is compliant with OHSAS 18001 may be reassured that their OH&S management system will also be compatible with the recommendations of the ILO-OSH Guidelines.

A correspondence table between the individual clauses of the OHSAS documents and those of the ILO-OSH Guidelines is given in **B.4**.

## **B.2 Overview**

The two prime objectives of the ILO-OSH Guidelines are:

- a) to assist countries in the establishment of a national framework for occupational health and safety management systems; and
- b) to provide guidance to individual organizations regarding the integration of OH&S elements into their overall policy and management arrangements.

OHSAS 18001 specifies requirements for OH&S management systems, to enable organizations to control risks and to improve their OH&S performance. OHSAS 18002 gives guidance on the implementation of OHSAS 18001. The OHSAS documents are therefore comparable with Section 3 of the ILO-OSH Guidelines "*The occupational safety and health management system in the organization*".

## **B.3 Detailed analysis of Section 3 of the ILO-OSH Guidelines against the OHSAS documents**

### **B.3.1 Scope**

The focus of the ILO-OSH Guidelines is on workers. The focus of the OHSAS Standards, towards persons under the control of the organization and other interested parties, is broader.

### **B.3.2 OH&S management system models**

The models picturing the main elements of an OH&S management system are directly equivalent between the ILO-OSH Guidelines and the OHSAS documents.

**B.3.3 ILO-OSH Section 3.2, Worker participation**

In the ILO-OSH *Guidelines*, subsection **3.2.4** recommends that: *“The employer should ensure as appropriate, the establishment and efficient functioning of a health and safety committee and the recognition of workers health and safety representatives in accordance with national laws and practice”*.

OHSAS 18001, **4.4.3**, requires the organization to establish a procedure for communication, participation and consultation, and to involve a wider spectrum of interested parties (due to the broader scope of application of the document).

**B.3.4 ILO-OSH Section 3.3, Responsibility and accountability**

The ILO-OSH *Guidelines* recommend in **3.3.1(h)** the establishment of prevention and health promotion programmes. There is no requirement in the OHSAS Standards for this.

**B.3.5 ILO-OSH Section 3.4, Competence and training**

The recommendation of the ILO-OSH *Guidelines* subsection **3.4.4**: *“Training should be provided to all participants at no cost and should take place during working hours if possible”*, is not a requirement of the OHSAS documents.

**B.3.6 ILO-OSH Section 3.10.4, Procurement**

The ILO-OSH *Guidelines* emphasize that safety and health requirements of the organization should be incorporated into purchasing and leasing specifications.

The OHSAS Standards address procurement by their requirements for risk assessment, identification of legal requirements and the establishment of operational controls.

**B.3.7 ILO-OSH Section 3.10.5, Contracting**

The ILO-OSH *Guidelines* define the steps to be taken to ensure that the organization's safety and health requirements are applied to contractors (they also provide a summary of the actions needed to ensure that they are). This is implicit in OHSAS.

**B.3.8 ILO-OSH Section 3.12, Investigation of work related injuries, ill health, diseases and incidents, and their impact on safety and health performance**

The ILO-OSH *Guidelines* do not require corrective actions or preventive actions to be reviewed through the risk assessment process prior to implementation, as they are in OHSAS 18001, **4.5.3.2**.

**B.3.9 ILO-OSH Section 3.13, Audit**

The ILO-OSH *Guidelines* recommend consultation on the selection of auditors. In contrast, the OHSAS documents require audit personnel to be impartial and objective.

**B.3.10 ILO-OSH Section 3.16, Continual improvement**

This is a separate subclause in the ILO-OSH Guidelines. It details arrangements that should be taken into account for the achievement of continual improvement. Similar arrangements are detailed throughout the OHSAS documents, which consequently do not have a corresponding clause.

## **B.4 Correspondence between the clauses of the OHSAS documents and the clauses of the ILO-OSH Guidelines**

Table B.1 **Correspondence between the clauses of the OHSAS documents and the clauses of the ILO-OSH Guidelines**

Clause	OHSAS	Clause	ILO-OSH Guidelines
	Introduction	— <b>3.0</b>	Introduction The occupational safety and health management system in the organization
	Foreword	—	The International Labour Organization
<b>1</b>	Scope	<b>1.0</b>	Objectives
<b>2</b>	Reference publications	—	Bibliography
<b>3</b>	Terms and definitions	—	Glossary
<b>4</b>	OH&S management system elements (title only)	—	—
<b>4.1</b>	General requirements	<b>3.0</b>	The occupational safety and health management system in the organization
<b>4.2</b>	OH&S policy	<b>3.1</b> <b>3.16</b>	Occupational safety and health policy Continual improvement
<b>4.3</b>	Planning (title only)	—	Planning and implementation (title only)
<b>4.3.1</b>	Hazard identification, risk assessment and determining controls	<b>3.7</b> <b>3.8</b> <b>3.10</b> <b>3.10.1</b> <b>3.10.2</b> <b>3.10.5</b>	Initial review System planning, development and implementation Hazard prevention Prevention and control measures Management of change Contracting
<b>4.3.2</b>	Legal and other requirements	<b>3.7.2</b> <b>3.10.1.2</b>	(Initial review) (Prevention and control measures)
<b>4.3.3</b>	Objectives and programme(s)	<b>3.8</b> <b>3.9</b> <b>3.16</b>	System planning, development and implementation Occupational safety and health objectives Continual improvement
<b>4.4</b>	Implementation and operation (title only)	—	—
<b>4.4.1</b>	Resources, roles, responsibility, accountability and authority	<b>3.3</b> <b>3.8</b> <b>3.16</b>	Responsibility and accountability System planning, development and implementation Continual improvement

Table B.1 Correspondence between the clauses of the OHSAS documents and the clauses of the ILO-OSH Guidelines (*continued*)

Clause	OHSAS	Clause	ILO-OSH Guidelines
4.4.2	Competence, training and awareness	3.4	Competence and training
4.4.3	Communication, participation and consultation	3.2 3.6	Worker participation Communication
4.4.4	Documentation	3.5	Occupational safety and health management system documentation
4.4.5	Control of documents	3.5	Occupational safety and health management system documentation
4.4.6	Operational control	3.10.2 3.10.4 3.10.5	Management of change Procurement Contracting
4.4.7	Emergency preparedness and response	3.10.3	Emergency prevention, preparedness and response
4.5	Checking (title only)	—	Evaluation (title only)
4.5.1	Performance measurement and monitoring	3.11	Performance monitoring and measurement
4.5.2	Evaluation of compliance	—	—
4.5.3	Incident investigation, nonconformity, corrective action and preventive action (title only)	—	—
4.5.3.1	Incident investigation	3.12 3.16	Investigation of work related injuries, ill health, diseases and incidents and their impact on safety and health performance Continual improvement
4.5.3.2	Nonconformity, corrective and preventive action	3.15	Preventive and corrective action
4.5.4	Control of records	3.5	Occupational safety and health management system documentation
4.5.5	Internal audit	3.13	Audit
4.6	Management review	3.14 3.16	Management review Continual improvement



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- [2] ISO 9001:2000, *Quality management systems – Requirements*
- [3] ISO 14001:2004, *Environmental management systems – Requirements with guidance for use*
- [4] ISO 19011:2002, *Guidelines for quality and/or environmental management systems auditing*



## OHSAS Project Group

The OHSAS Project Group is an international association of national standards bodies, certification, accreditation bodies, occupational health and safety institutes, industry associations, consulting organizations and government agencies.

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### Revisions

OHSAS Standards are updated by amendment or revision. Users of OHSAS Standards should make sure that they possess the latest amendments or editions.

It is the constant aim of the OHSAS Project Group to improve the quality of our products and services. We would be grateful if anyone finding an inaccuracy or ambiguity while using this OHSAS Standard would inform the Secretariat.

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# OHSAS 18001 - *Proof of concept draft*

This uses the ISO “Annex SL” structure and text, and examines alignment to a draft of the current revision to ISO 14001

Annex SL	ISO/TC 207/SC1/WG5/N45 ISO/WD2 14001	OHSAS 18001 integrated into Annex SL	Commentary
	<b>Key</b> Normal black text: Annex SL text <i>Blue text is proposed integrated text for ISO 14001:201X</i> <i>Red italics text is text from ISO 14001:2004 that has not yet been discussed by the working group.</i>	Key  Blue text is Annex SL  Black text is OHSAS migration into Annex SL	
<b>Introduction</b>	<b>Introduction</b> <i>Organizations of all kinds are increasingly concerned with achieving and demonstrating sound environmental performance by controlling the impacts of their activities, products and services on the environment, consistent with their environmental policy and objectives. They do so in the context of increasingly stringent legislation, the development of economic policies and other measures that foster environmental protection, and increased concern expressed by interested parties about environmental matters and sustainable development.</i>	<b>Introduction</b> Organizations of all kinds are increasingly concerned with achieving and demonstrating sound occupational health and safety (OH&S) performance by controlling their OH&S risks, consistent with their OH&S policy and objectives. They do so in the context of increasingly stringent legislation, the development of economic policies and other measures that foster good OH&S practices, and increased concern expressed by interested parties about OH&S issues.  Many organizations have undertaken	The Introduction is too long and should be shortened to be of more value to users

	<p><i>Many organizations have undertaken environmental “reviews” or “audits” to assess their environmental performance. On their own, however, these “reviews” and “audits” may not be sufficient to provide an organization with the assurance that its performance not only meets, but will continue to meet, its legal and policy requirements. To be effective, they need to be conducted within a structured management system that is integrated within the organization.</i></p> <p><i>International Standards covering environmental management are intended to provide organizations with the elements of an effective environmental management system (EMS) that can be integrated with other management requirements and help organizations achieve environmental and economic goals. These standards, like other International Standards, are not intended to be used to create nontariff trade barriers or to increase or change an organization's legal obligations.</i></p> <p><i>This International Standard specifies requirements for an environmental management system to enable an organization to develop and implement a policy and objectives which take into account legal requirements and information about significant environmental aspects. It is intended to apply to all types and sizes of organization and to accommodate diverse geographical, cultural and social</i></p>	<p>OH&amp;S “reviews” or “audits” to assess their OH&amp;S performance. On their own, however, these “reviews” and “audits” may not be sufficient to provide an organization with the assurance that its performance not only meets, but will continue to meet, its legal and policy requirements. To be effective, they need to be conducted within a structured management system that is integrated within the organization.</p> <p>The International Standards covering OH&amp;S management are intended to provide organizations with the elements of an effective OH&amp;S management system that can be integrated with other management requirements and help organizations achieve OH&amp;S and economic objectives. These standards, like other International Standards, are not intended to be used to create non-tariff trade barriers or to increase or change an organization's legal obligations.</p> <p>This International Standard specifies requirements for an OH&amp;S management system to enable an organization to develop and implement a policy and objectives which take into account legal requirements and information about OH&amp;S risks. It is intended to apply to all types and sizes of organizations and to accommodate diverse geographical, cultural and social conditions. The basis of the approach is shown in Figure 1. The success of the system depends on commitment from all levels and</p>	
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	<p><i>conditions. The basis of the approach is shown in Figure 1. The success of the system depends on commitment from all levels and functions of the organization, and especially from top management. A system of this kind enables an organization to develop an environmental policy, establish objectives and processes to achieve the policy commitments, take action as needed to improve its performance and demonstrate the conformity of the system to the requirements of this International Standard. The overall aim of this International Standard is to support environmental protection and prevention of pollution in balance with socio-economic needs. It should be noted that many of the requirements can be addressed concurrently or revisited at any time.</i></p> <p><i>The second edition of this International Standard is focused on clarification of the first edition, and has taken due consideration of the provisions of ISO 9001 to enhance the compatibility of the two standards for the benefit of the user community.</i></p> <p><i>For ease of use, the subclause numbers in Clause 4 of the body of this International Standard and in Annex A have been related. For example, 4.3.3 and A.3.3 both deal with objectives, targets and programme(s), and 4.5.5 and A.5.5 both deal with internal audit. In addition, Annex B identifies broad technical correspondences between ISO</i></p>	<p>functions of the organization, and especially from top management. A system of this kind enables an organization to develop an OH&amp;S policy, establish objectives and processes to achieve the policy commitments, take action as needed to improve its performance and demonstrate the conformity of the system to the requirements of this International Standard.</p> <p>The overall aim of this International Standard is to support and promote good OH&amp;S practices, in balance with socio-economic needs. It should be noted that many of the requirements can be addressed concurrently or revisited at any time.</p> <p>This International Standard has taken due consideration of the provisions of ISO 9001, ISO14001, ILO-OSH, and other OH&amp;S management system standards or publications to enhance the compatibility of these standards for the benefit of the user community.</p> <p>There is an important distinction between this International Standard, which describes the requirements for an organization's OH&amp;S management system and can be used for demonstration of conformity, and a non-certifiable guideline intended to provide generic assistance to an organization for establishing, implementing or improving an OH&amp;S management system. OH&amp;S</p>	
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	<p><i>14001:2004 and ISO 9001:2008 and vice versa.</i></p> <p><i>There is an important distinction between this International Standard, which describes the requirements for an organization's environmental management system and can be used for certification /registration and/or self-declaration of an organization's environmental management system, and a non-certifiable guideline intended to provide generic assistance to an organization for establishing, implementing or improving an environmental management system. Environmental management encompasses a full range of issues, including those with strategic and competitive implications. Demonstration of successful implementation of this International Standard can be used by an organization to assure interested parties that an appropriate environmental management system is in place.</i></p> <p><i>Guidance on supporting environmental management techniques is contained in other International Standards, particularly those on environmental management in the documents established by ISO/TC 207. Any reference to other International Standards is for information only.</i></p> <p><i>(Fig 1 Omitted)</i></p> <p><i>Figure 1 — Environmental management</i></p>	<p>management encompasses a full range of issues, including those with strategic and competitive implications. Demonstration of successful implementation of this International Standard can be used by an organization to assure interested parties that an appropriate OH&amp;S management system is in place.</p> <p>Those organizations requiring more general guidance on a broad range of OH&amp;S management system issues are referred to <b>ISO XX002</b>. Any reference to other International Standards is for information only.</p> <p><i>(Fig 1 , Similar to ISO 14001 Fig 1, omitted)</i></p> <p><i>NOTE This International Standard is based on the methodology known as Plan-Do-Check-Act (PDCA). PDCA can be briefly described as follows.</i></p> <ul style="list-style-type: none"> <li>• <b>Plan:</b> establish the objectives and processes necessary to deliver results in accordance with the organization's OH&amp;S policy.</li> <li>• <b>Do:</b> implement the processes.</li> <li>• <b>Check:</b> monitor and measure processes against OH&amp;S policy, objectives, legal and other requirements, and report the results.</li> <li>• <b>Act:</b> take actions to continually improve OH&amp;S performance.</li> </ul> <p><i>Many organizations manage their operations via the application of a system of processes and their</i></p>	<p>The text in 14001 Para 7, concerning certification, self-declaration etc., (highlighted text) is no longer permitted in an ISO MSS following TMB resolution 69/2012</p>
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	<p><i>system model for this International Standard ISO</i></p> <p><i>NOTE This International Standard is based on the methodology known as Plan-Do-Check-Act (PDCA). PDCA can be briefly described as follows.</i></p> <ul style="list-style-type: none"> <li><i>— Plan: establish the objectives and processes necessary to deliver results in accordance with the organization's environmental policy.</i></li> <li><i>— Do: implement the processes.</i></li> <li><i>— Check: monitor and measure processes against environmental policy, objectives, targets, legal and other requirements, and report the results.</i></li> <li><i>— Act: take actions to continually improve performance of the environmental management system.</i></li> </ul> <p><i>Many organizations manage their operations via the application of a system of processes and their interactions, which can be referred to as the "process approach". ISO 9001 promotes the use of the process approach. Since PDCA can be applied to all processes, the two methodologies are considered to be compatible.</i></p> <p><i>This International Standard contains only those requirements that can be objectively audited. Those organizations requiring more general guidance on a broad range of environmental management system issues are referred to ISO 14004.</i></p> <p><i>This International Standard does not establish absolute requirements for</i></p>	<p><i>interactions, which can be referred to as the "process approach". ISO 9001 promotes the use of the process approach. Since PDCA can be applied to all processes, the two methodologies are considered to be compatible.</i></p> <p>This International Standard contains requirements that can be objectively audited; however it does not establish absolute requirements for OH&amp;S performance beyond the commitments, in the OH&amp;S policy, to comply with applicable legal requirements and with other requirements to which the organization subscribes, to the prevention of injury and ill health and to continual improvement. Thus, two organizations carrying out similar operations but having different OH&amp;S performance can both conform to its requirements.</p> <p>This International Standard does not include requirements specific to other management systems, such as those for quality, environmental, security, or financial management, though its elements can be aligned or integrated with those of other management systems. It is possible for an organization to adapt its existing management system(s) in order to establish an OH&amp;S management system that conforms to the requirements of this International Standard. It is pointed out, however, that the application of various elements of the management system might differ depending on the intended</p>	
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	<p><i>environmental performance beyond the commitments, in the environmental policy, to comply with applicable legal requirements and with other requirements to which the organization subscribes, to prevention of pollution and to continual improvement. Thus, two organizations carrying out similar operations but having different environmental performance can both conform to its requirements.</i></p> <p><i>The adoption and implementation of a range of environmental management techniques in a systematic manner can contribute to optimal outcomes for all interested parties. However, adoption of this International Standard will not in itself guarantee optimal environmental outcomes. In order to achieve environmental objectives, the environmental management system can encourage organizations to consider implementation of the best available techniques, where appropriate and where economically viable, and fully take into account the cost effectiveness of such techniques.</i></p> <p><i>This International Standard does not include requirements specific to other management systems, such as those for quality, occupational health and safety, financial or risk management, though its elements can be aligned or integrated with those of other management systems. It is possible for an organization to adapt its existing management system(s) in order to</i></p>	<p>purpose and the interested parties involved.</p> <p>The level of detail and complexity of the OH&amp;S management system, the extent of documentation and the resources devoted to it depend on a number of factors, such as the scope of the system, the size of an organization and the nature of its activities, products and services, and the organizational culture. This may be the case in particular for small and medium-sized enterprises.</p>	
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	<p><i>establish an environmental management system that conforms to the requirements of this International Standard. It is pointed out, however, that the application of various elements of the management system might differ depending on the intended purpose and the interested parties involved.</i></p> <p><i>The level of detail and complexity of the environmental management system, the extent of documentation and the resources devoted to it depend on a number of factors, such as the scope of the system, the size of an organization and the nature of its activities, products and services. This may be the case in particular for small and medium-sized enterprises.</i></p>		
<b>1. Scope</b>	<p><b>1. Scope</b></p> <p><i>This International Standard specifies requirements for an environmental management system to enable an organization to develop and implement a policy and objectives which take into account legal requirements and other requirements to which the organization subscribes, and information about significant environmental aspects.</i></p> <p><i>It applies to those environmental aspects that the organization identifies as those which it can control and those which it can influence. It does not itself state specific environmental performance criteria.</i></p>	<p><b>1 Scope</b></p> <p>This International Standard specifies requirements for an occupational health and safety (OH&amp;S) management system, to enable an organization to control its OH&amp;S risks and improve its OH&amp;S performance. It does not state specific OH&amp;S performance criteria, nor does it give detailed specifications for the design of a management system.</p> <p>This International Standard is applicable to any organization that wishes to:</p> <p>a) establish an OH&amp;S management system to eliminate or minimize risks to personnel and other interested parties who could be exposed to OH&amp;S hazards associated with its activities;</p>	

	<p><i>This International Standard is applicable to any organization that wishes to</i></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <i>a) establish, implement, maintain and improve an environmental management system,</i></li> <li><input type="checkbox"/> <i>b) assure itself of conformity with its stated environmental policy,</i></li> <li><input type="checkbox"/> <i>c) demonstrate conformity with this International Standard by</i> <ul style="list-style-type: none"> <li><input type="checkbox"/> <i>1) making a self-determination and self-declaration, or</i></li> <li><input type="checkbox"/> <i>2) seeking confirmation of its conformance by parties having an interest in the organization, such as customers, or</i></li> <li><input type="checkbox"/> <i>3) seeking confirmation of its self-declaration by a party external to the organization, or</i></li> <li><input type="checkbox"/> <i>4) seeking certification/ registration of its environmental management system by an external organization.</i></li> </ul> </li> </ul> <p><i>All the requirements in this International Standard are intended to be incorporated into any environmental management system. The extent of the application depends on factors such as the environmental policy of the organization, the nature of its activities, products and services and the location where and the conditions in which it functions.</i></p>	<p>b) implement, maintain and continually improve an OH&amp;S management system;</p> <p>c) assure itself of its conformity with its stated OH&amp;S policy;</p> <p>d) demonstrate conformity with this International Standard by:</p> <p>All the requirements in this International Standard are intended to be incorporated into any OH&amp;S management system. The extent of the application will depend on such factors as the OH&amp;S policy of the organization, the nature of its activities and the risks and complexity of its operations.</p> <p>This International Standard is intended to address occupational health and safety, and is not intended to address other health and safety areas such as employee wellbeing/wellness programmes, product safety, property damage or environmental impacts.</p>	<p>ISO 14001 Bullet c), sub-bullets 1) to 4) (highlighted) are no longer permissible following TMB resolution 69/2012, on statements of “limitation”</p>
<b>2. Normative references</b>	<p><b>2. Normative references</b></p> <p><i>No normative references are cited. This clause is included in order to retain clause numbering identical with the previous edition (ISO</i></p>	<p><b>2. Normative references</b></p> <p>Note No normative references are cited. This clause is included in order to maintain clause numbering In alignment</p>	

	<i>14001:1996).</i>	with other ISO management system standards	
<b>3. Terms and definition</b>  For the purposes of this document, the following terms and definitions apply.	<b>3. Terms and definitions</b>  For the purposes of this document, the following terms and definitions apply.	<b>3. Terms and definition</b>  For the purposes of this document, the following terms and definitions apply.	

<p><b>3.01 organization</b> person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its <b>objectives</b> (3.08)</p> <p>Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.</p>	<p><b>3.01 organization</b> person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its <b>objectives</b> (3.12A)</p> <p>Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.</p> <p>Note 2 to entry: For organizations with more than one operating unit, a single operating unit may be defined as an organization.</p>	<p><b>3.01 organization</b> person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its <b>objectives</b> (3.08)</p> <p>Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.</p> <p>Note 2 to entry: For organizations with more than one operating unit, a single operating unit may be defined as an organization.</p>	<p>14001 Note 2 may not be necessary. The issue is covered by reference to “part” in the Note 1 to the Annex SL definition.</p>
<p><b>3.02 interested party</b> (preferred term) <b>stakeholder</b> (admitted term) person or <b>organization</b> (3.01) that can affect, be affected by, or perceive themselves to be affected by a decision or activity</p>	<p><b>3.02A interested party</b> (preferred term) <b>stakeholder</b> (admitted term) person or <b>organization</b> (3.01) that can affect, be affected by, or perceive themselves to be affected by a decision or activity</p> <p><b>3.02B interested party</b> <i>person or group concerned with or affected by the <b>environmental performance</b> (3.17B) of an <b>organization</b> (3.01)</i></p>	<p><b>3.02 interested party</b> (preferred term) <b>stakeholder</b> (admitted term) person or <b>organization</b> (3.01) that can affect, be affected by, or perceive themselves to be affected by a decision or activity</p> <p><b>OHSAS 18001</b> <b>3.10 interested party</b> person or group, inside or outside the <b>workplace</b> (3.23), concerned with or affected by the <b>OH&amp;S performance</b> (3.15) of an <b>organization</b> (3.17)</p>	<p>“workplace” and “OH&amp;S performance” are key issues in the OH&amp;S definition, as is the issue of whether the definition adequately covers “visitors” to the workplace.</p>
<p><b>3.03 requirement</b> need or expectation that is stated,</p>	<p><b>3.03 requirement</b> need or expectation that is stated,</p>	<p><b>3.03 requirement</b> need or expectation that is stated,</p>	<p><b>Not in OHSAS 18001</b></p>

<p>generally implied or obligatory</p> <p>NOTE 1 to entry: “Generally implied” means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.</p> <p>NOTE 2 to entry: A specified requirement is one that is stated, for example in documented information.</p>	<p>generally implied or obligatory</p> <p>Note 1 to entry: “Generally implied” means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.</p> <p>Note 2 to entry: A specified requirement is one that is stated, for example in documented information.</p> <p><b>3.04</b> <b>environmental issues</b> concerns about the impact of organizations, products and services, technology, consumption and other human activity on the environment and the impact of environmental changes on organizations.</p> <p><b>3.05</b> <b>environment</b> <i>surroundings in which an <b>organization</b> (3.01) operates, including air, water, land, natural resources, flora, fauna, humans, and their interrelation</i> Note 1 to entry: Surroundings in this context extend from within an <b>organization</b> (3.01) to the global system.</p> <p><b>3.06</b> <b>environmental aspect</b> <i>element of an <b>organization's</b> (3.01) activities or products or services that can interact with the <b>environment</b> (3.05)</i> Note 1 to entry: Significant environmental aspect has or can have a</p>	<p>generally implied or obligatory</p> <p>NOTE 1 to entry: “Generally implied” means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.</p> <p>NOTE 2 to entry: A specified requirement is one that is stated, for example in documented information.</p>	
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	<p>significant <b>environmental impact</b> (3.07A).</p> <p><b>3.07A</b>  <b>environmental impact</b>  any change to the <b>environment</b> (3.05), whether adverse or beneficial, wholly or partially resulting from an <b>organization's</b> (3.01) <b>environmental aspects</b> (3.06)</p> <p><b>3.07B</b>  <b>environmental impact</b>  any change to the environment whether adverse or beneficial, wholly or partially resulting from an <b>organization's</b> (3.01) <b>environmental aspects</b> (3.06) or any change by the <b>environment</b> (3.05) on the organisation. 3.07B text proposed by Ad Hoc Drafting Group in Bangkok</p>		
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		<b>3.1 acceptable risk</b> risk that has been reduced to a level that can be tolerated by the organization having regard to its legal obligations and its own <b>OH&amp;S policy (3.16)</b>	<b>Not in Annex SL</b>
		<b>3.6 hazard</b> source, situation, or act with a potential for harm in terms of human injury or <b>ill health (3.8)</b> , or a combination of these	<b>Not in Annex SL</b>
		<b>3.7 hazard identification</b> process of recognizing that a <b>hazard (3.6)</b> exists and defining its characteristics	<b>Not in Annex SL</b>
		<b>3.8 ill health</b> identifiable, adverse physical or mental condition arising from and/or made worse by a work activity and/or work-related situation	<b>Not in Annex SL</b>
		<b>3.9 incident</b> work-related event(s) in which an injury or <b>ill health (3.8)</b> (regardless of severity) or fatality occurred, or could have occurred  <i>NOTE 1 An accident is an incident which has given rise to injury, ill health or fatality.</i>  <i>NOTE 2 An incident where no injury, ill health, or fatality occurs may also be referred to as a “near-miss”, “near-hit”, “close call” or “dangerous occurrence”.</i>  <i>NOTE 3 An emergency situation (see 4.4.7) is a particular type of incident.</i>	<b>Not in Annex SL</b>



		<b>3.12 occupational health and safety (OH&amp;S)</b> conditions and factors that affect, or could affect, the health and safety of employees or other workers (including temporary workers and contractor personnel), visitors, or any other person in the <b>workplace (3.23)</b>  <i>NOTE Organizations can be subject to legal requirements for the health and safety of persons beyond the immediate workplace, or who are exposed to the workplace activities.</i>	<b>Not in Annex SL</b>
		<b>3.22 risk assessment</b> process of evaluating the <b>risk(s) (3.21)</b> arising from a hazard(s), taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable	<b>Not in Annex SL</b>  The definitions of risk assessment, risk identification, and risk source from ISO 31000 may need to be considered
		<b>3.23 workplace</b> any physical location in which work related activities are performed under the control of the organization  <i>NOTE When giving consideration to what constitutes a workplace, the <b>organization (3.17)</b> should take into account the OH&amp;S effects on personnel who are, for example, travelling or in transit (e.g. driving, flying, on boats or trains), working at the premises of a client or customer, or working at home.</i>	<b>Not in Annex SL</b>
<b>3.04 management system</b> set of interrelated or interacting	<b>3.08A management system</b> set of interrelated or interacting	<b>3.04 management system</b> set of interrelated or interacting	"manage its risks" is a key issue

<p>elements of an <b>organization</b> (3.01) to establish <b>policies</b> (3.07) and <b>objectives</b> (3.08) and <b>processes</b> (3.12) to achieve those objectives</p> <p>NOTE 1 to entry: A management system can address a single discipline or several disciplines.</p> <p>NOTE 2 to entry: The system elements include the organization's structure, roles and responsibilities, planning, operation, etc.</p> <p>NOTE 3 to entry: The scope of a management system may include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.</p>	<p>elements of an <b>organization</b> (3.01) to establish <b>policies</b> (3.11A) and <b>objectives</b> (3.12) and <b>processes</b> (3.16A) to achieve those objectives</p> <p>Note 1 to entry: A management system can address a single discipline or several disciplines.</p> <p>Note 2 to entry: The system elements include the organization's structure, roles and responsibilities, planning, operation, etc.</p> <p>Note 3 to entry: The scope of a management system may include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.</p> <p><b>3.08B</b> <b>environmental management system EMS</b> <i>part of an <b>organization's</b> (3.01) management system used to develop and implement its <b>environmental policy</b> (3.11B) and manage its <b>environmental aspects</b> (3.06)</i> <i>Note 1 to entry: A management system is a set of interrelated elements used to establish policy and objectives and to achieve those objectives.</i> <i>Note 2 to entry: A management system includes organizational structure, planning activities, responsibilities, practices, <b>procedures</b></i></p>	<p>elements of an <b>organization</b> (3.01) to establish <b>policies</b> (3.07) and <b>objectives</b> (3.08) and <b>processes</b> (3.12) to achieve those objectives</p> <p>NOTE 1 to entry: A management system can address a single discipline or several disciplines.</p> <p>NOTE 2 to entry: The system elements include the organization's structure, roles and responsibilities, planning, operation, etc.</p> <p>NOTE 3 to entry: The scope of a management system may include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.</p> <p><b>OHSAS 18001</b> <b>3.13 OH&amp;S management system</b> part of an <b>organization's</b> (3.17) management system used to develop and implement its <b>OH&amp;S policy</b> (3.16) and manage its <b>OH&amp;S risks</b> (3.21)</p> <p>NOTE 1 A management system is a set of interrelated elements used to establish policy and objectives and to achieve those objectives.</p> <p>NOTE 2 A management system includes organizational structure, planning activities (including, for example, risk assessment and the setting of objectives), responsibilities, practices, <b>procedures</b> (3.19), processes and resources.</p>	<p>in the OH&amp;S definition</p>
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	<i>(3.16B), processes and resources.</i>	NOTE 3 Adapted from ISO 14001:2004, <b>3.8.</b>	
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<p><b>3.05 top management</b> person or group of people who directs and controls an <b>organization</b> (3.01) at the highest level</p> <p>NOTE 1 to entry: Top management has the power to delegate authority and provide resources within the organization.</p> <p>NOTE 2 to entry: If the scope of the <b>management system</b> (3.04) covers only part of an organization then top management refers to those who direct and control that part of the organization.</p>	<p><b>3.09 top management</b> person or group of people who directs and controls an <b>organization</b> (3.01) at the highest level</p> <p>Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.</p> <p>Note 2 to entry: If the scope of the <b>management system</b> (3.08A) covers only part of an organization then top management refers to those who direct and control that part of the organization.</p>	<p><b>3.05 top management</b> person or group of people who directs and controls an <b>organization</b> (3.01) at the highest level</p> <p>NOTE 1 to entry: Top management has the power to delegate authority and provide resources within the organization.</p> <p>NOTE 2 to entry: If the scope of the <b>management system</b> (3.04) covers only part of an organization then top management refers to those who direct and control that part of the organization.</p>	Not in OHSAS 18001
<p><b>3.06 effectiveness</b> extent to which planned activities are realized and planned results achieved</p>	<p><b>3.10 effectiveness</b> extent to which planned activities are realized and planned results achieved</p>	<p><b>3.06 effectiveness</b> extent to which planned activities are realized and planned results achieved</p>	Not in OHSAS 18001
<p><b>3.07 policy</b> intentions and direction of an <b>organization</b> (3.01) as formally expressed by its <b>top management</b> (3.05)</p>	<p><b>3.11A policy</b> intentions and direction of an <b>organization</b> (3.01) as formally expressed by its <b>top management</b> (3.09)</p> <p><b>3.11B environmental policy</b> <i>overall intentions and direction of an <b>organization</b> (3.01) related to its <b>environmental performance</b> (3.17B) as formally expressed by top management</i></p>	<p><b>3.07 policy</b> intentions and direction of an <b>organization</b> (3.01) as formally expressed by its <b>top management</b> (3.05)</p> <p><b>OHSAS 3.16 OH&amp;S policy</b> overall intentions and direction of an <b>organization</b> (3.17) related to its <b>OH&amp;S performance</b> (3.15) as formally expressed by top management</p> <p>NOTE 1 The OH&amp;S policy provides a</p>	“related to its OH&S performance” is a key issue for the OH&S definition

	<p><i>Note 1 to entry: The environmental policy provides a framework for action and for the setting of <b>environmental objectives</b> (3.12B) and <b>environmental targets</b> (3.18).</i></p>	<p><i>framework for action and for the setting of <b>OH&amp;S objectives</b> (3.14)</i></p> <p><i>NOTE 2 Adapted from ISO 14001:2004, 3.11.</i></p>	
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<p><b>3.08 objective</b> result to be achieved</p> <p>NOTE 1 to entry: An objective can be strategic, tactical, or operational.</p> <p>NOTE 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and <b>process</b> (3.12)).</p> <p>NOTE 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as an XXX objective or by the use of other words with similar meaning (e.g. aim, goal, or target).</p> <p>NOTE 4 to entry: In the context of XXX management systems XXX objectives are set by the organization, consistent with the XXX policy, to achieve specific results.</p>	<p><b>3.12A objective</b> result to be achieved</p> <p>Note 1 to entry: An objective can be strategic, tactical, or operational.</p> <p>Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and <b>process</b> (3.16A)).</p> <p>Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as an <b>environmental</b> objective or by the use of other words with similar meaning (e.g. aim, goal, or target).</p> <p>Note 4 to entry: In the context of <b>environmental</b> management systems <b>environmental</b> objectives are set by the organization, consistent with the <b>environmental</b> policy, to achieve specific results.</p> <p><b>3.12B environmental objective</b></p> <p><i>overall environmental goal, consistent with the <b>environmental policy</b> (3.11B), that an <b>organization</b> (3.01) sets itself to achieve</i></p>	<p><b>3.08 objective</b> result to be achieved</p> <p>NOTE 1 to entry: An objective can be strategic, tactical, or operational.</p> <p>NOTE 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and <b>process</b> (3.12)).</p> <p>NOTE 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as an OH&amp;S objective or by the use of other words with similar meaning (e.g. aim, goal, or target).</p> <p>NOTE 4 to entry: In the context of OH&amp;S management systems OH&amp;S objectives are set by the organization, consistent with the OH&amp;S policy, to achieve specific results.</p> <p><b>OHSAS</b></p> <p><b>3.14 OH&amp;S objective</b> OH&amp;S goal, in terms of <b>OH&amp;S performance</b> (3.15), that an <b>organization</b> (3.17) sets itself to achieve</p> <p>NOTE 1 Objectives should be quantified wherever practicable.</p> <p>NOTE 2 4.3.3 requires that OH&amp;S objectives are consistent with the <b>OH&amp;S policy</b> (3.16).</p>	<p>“OH&amp;S performance” is a key issue for the OH&amp;S definition</p>
<p><b>3.09 risk</b></p>	<p><b>3.13 risk</b></p>	<p><b>3.09 risk</b></p>	

<p>effect of uncertainty</p> <p>NOTE 1 to entry: An effect is a deviation from the expected — positive or negative.</p> <p>NOTE 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.</p> <p>NOTE 3 to entry: Risk is often characterized by reference to potential <b>events</b> (ISO Guide 73, 3.5.1.3) and <b>consequences</b> (ISO Guide 73, 3.6.1.3), or a combination of these.</p> <p>NOTE 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated <b>likelihood</b> (ISO Guide 73, 3.6.1.1) of occurrence.</p>	<p>effect of uncertainty</p> <p>Note 1 to entry: An effect is a deviation from the expected — positive or negative.</p> <p>Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.</p> <p>Note 3 to entry: Risk is often characterized by reference to potential <b>events</b> (ISO Guide 73, 3.5.1.3) and <b>consequences</b> (ISO Guide 73, 3.6.1.3), or a combination of these.</p> <p>Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated <b>likelihood</b> (ISO Guide 73, 3.6.1.1) of occurrence.</p>	<p>effect of uncertainty</p> <p>NOTE 1 to entry: An effect is a deviation from the expected — positive or negative.</p> <p>NOTE 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.</p> <p>NOTE 3 to entry: Risk is often characterized by reference to potential <b>events</b> (ISO Guide 73, 3.5.1.3) and <b>consequences</b> (ISO Guide 73, 3.6.1.3), or a combination of these.</p> <p>NOTE 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated <b>likelihood</b> (ISO Guide 73, 3.6.1.1) of occurrence.</p> <p><b>OHSAS</b>  <b>3.21 risk</b>  combination of the likelihood of an occurrence of a hazardous event or exposure(s) and the severity of injury or <b>ill health (3.8)</b> that can be caused by the event or exposure(s)</p>	<p>“Risk “is a major problem, as the draft is now trying to address two different types of risk:  a) OH&amp;S hazards and their associated risks  b) the risk that the management system does not achieve OH&amp;S performance</p> <p>The Annex SL def, or alternately the ISO Guide 73 def (which is the same as the ISO 31000 def) are OK for b), but are not sufficient for a)</p> <p>The Annex SL and Guide 73 definitions do not adequately address the issue of a risk related to time, e.g. exposure</p>
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into outputs	<p><b>3.16B procedure</b>  <i>specified way to carry out an activity or a process</i>  <i>Note 1 to entry: Procedures can be documented or not.</i>  <i>Note 2 to entry: Adapted from ISO 9000:2000, 3.4.5.</i></p>	<p>which transforms inputs into outputs</p> <p><b>OHSAS 18001</b>  <b>3.19 procedure</b>  <i>specified way to carry out an activity or a process</i></p> <p><i>NOTE Procedures can be documented or not.</i>  [ISO 9000:2005, 3.4.5]</p>	<p>now only makes reference to “processes”, which may be sufficient for the OH&amp;S standards. It would be confusing to mix the two.</p>
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<p><b>3.13</b> <b>performance</b> measurable result</p> <p>NOTE 1 to entry: Performance can relate either to quantitative or qualitative findings.</p> <p>NOTE 2 to entry: Performance can relate to the management of activities, <b>processes</b> (3.12), products (including services), systems or <b>organizations</b> (3.01).</p>	<p><b>3.17A</b> <b>performance</b> measurable result</p> <p>Note 1 to entry: Performance can relate either to quantitative or qualitative findings.</p> <p>Note 2 to entry: Performance can relate to the management of activities, <b>processes</b> (3.16A), products (including services), systems or <b>organizations</b> (3.01).</p> <p><b>3.17B</b> <b>environmental performance</b> <i>measurable results of an <b>organization's</b> (3.01) management of its <b>environmental aspects</b> (3.06)</i></p> <p><i>Note 1 to entry: In the context of <b>environmental management systems</b> (3.08B), results can be measured against the <b>organization's</b> (3.01) <b>environmental policy</b> (3.11B), <b>environmental objectives</b> (3.12B), <b>environmental targets</b> (3.18) and other environmental performance requirements.</i></p> <p><b>3.18</b> <b>environmental target</b> <i>detailed performance requirement, applicable to the <b>organization</b> (3.01) or parts thereof, that arises from the <b>environmental objectives</b> (3.12B) and that needs to be set and met in order to achieve those objectives</i></p>	<p><b>3.13</b> <b>performance</b> measurable result</p> <p>NOTE 1 to entry: Performance can relate either to quantitative or qualitative findings.</p> <p>NOTE 2 to entry: Performance can relate to the management of activities, <b>processes</b> (3.12), products (including services), systems or <b>organizations</b> (3.01).</p> <p><b>OHSAS 18001</b> <b>3.15 OH&amp;S performance</b> measurable results of an <b>organization's</b> (3.17) management of its <b>OH&amp;S risks</b> (3.21)</p> <p>NOTE 1 OH&amp;S performance measurement includes measuring the effectiveness of the organization's controls.</p> <p>NOTE 2 In the context of <b>OH&amp;S management systems</b> (3.13), results can also be measured against the <b>organization's</b> (3.17) <b>OH&amp;S policy</b> (3.16), <b>OH&amp;S objectives</b> (3.14), and other OH&amp;S performance requirements.</p>	<p>"OH&amp;S risks" is a key issue in the OH&amp;S definition</p>
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<p><b>3.14</b> <b>outsource</b> (verb) make an arrangement where an external <b>organization</b> (3.01) performs part of an organization's function or <b>process</b> (3.12)</p> <p>NOTE 1 to entry: An external organization is outside the scope of the <b>management system</b> (3.04), although the outsourced function or process is within the scope.</p>	<p><b>3.19</b> <b>outsource</b> (verb) make an arrangement where an external <b>organization</b> (3.01) performs part of an organization's function or <b>process</b> (3.16A)</p> <p>Note 1 to entry: An external organization is outside the scope of the <b>management system</b> (3.08A), although the outsourced function or process is within the scope.</p>	<p><b>3.14</b> <b>outsource</b> (verb) make an arrangement where an external <b>organization</b> (3.01) performs part of an organization's function or <b>process</b> (3.12)</p> <p>NOTE 1 to entry: An external organization is outside the scope of the <b>management system</b> (3.04), although the outsourced function or process is within the scope.</p>	Not in OHSAS 18001
<p><b>3.15</b> <b>monitoring</b> determining the status of a system, a <b>process</b> (3.12) or an activity</p> <p>NOTE 1 to entry: To determine the status there may be a need to check, supervise or critically observe.</p>	<p><b>3.20</b> <b>monitoring</b> determining the status of a system, a <b>process</b> (3.16A) or an activity</p> <p>Note 1 to entry: To determine the status there may be a need to check, supervise or critically observe.</p>	<p><b>3.15</b> <b>monitoring</b> determining the status of a system, a <b>process</b> (3.12) or an activity</p> <p>NOTE 1 to entry: To determine the status there may be a need to check, supervise or critically observe.</p>	Not in OHSAS 18001
<p><b>3.16</b> <b>measurement process</b> (3.12) to determine a value</p>	<p><b>3.21</b> <b>measurement process</b> (3.16A) to determine a value</p>	<p><b>3.16</b> <b>measurement process</b> (3.12) to determine a value</p>	Not in OHSAS 18001
<p><b>3.17</b> <b>audit</b> systematic, independent and documented <b>process</b> (3.12) for obtaining audit evidence and evaluating it objectively to determine the extent to which the</p>	<p><b>3.22A</b> <b>audit</b> systematic, independent and documented <b>process</b> (3.16A) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are</p>	<p><b>3.17</b> <b>audit</b> systematic, independent and documented <b>process</b> (3.12) for obtaining audit evidence and evaluating it objectively to determine the extent to which the</p>	Annex SL def is consistent with 19011. The Annex SL definition is sufficient as a replacement for the OHSAS 18001 definition 3.2, and a separate definition of "auditor" is not needed.

<p>audit criteria are fulfilled</p> <p>NOTE 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).</p> <p>NOTE 2 to entry: “Audit evidence” and “audit criteria” are defined in ISO 19011.</p>	<p>fulfilled</p> <p>Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).</p> <p>Note 2 to entry: “Audit evidence” and “audit criteria” are defined in ISO 19011.</p> <p><b>3.22B</b> <b>internal audit</b> <i>systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the environmental management system audit criteria set by the <b>organization</b> (3.01) are fulfilled</i></p> <p><i>Note 1 to entry: In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited.</i></p> <p><b>3.23</b> <b>auditor</b> <i>person with the competence to conduct an audit</i> <i>[ISO 9000:2000, 3.9.9]</i></p>	<p>which the audit criteria are fulfilled</p> <p>NOTE 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).</p> <p>NOTE 2 to entry: “Audit evidence” and “audit criteria” are defined in ISO 19011.</p>	
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<b>3.18</b> <b>conformity</b> fulfilment of a <b>requirement</b> (3.03)	<b>3.24</b> <b>conformity</b> fulfilment of a <b>requirement</b> (3.03)	<b>3.18</b> <b>conformity</b> fulfilment of a <b>requirement</b> (3.03)	<b>Not in OHSAS 18001</b>
<b>3.19</b> <b>nonconformity</b> non-fulfilment of a <b>requirement</b> (3.03)	<b>3.25</b> <b>nonconformity</b> non-fulfilment of a <b>requirement</b> (3.03)  [ISO 9000:2000, 3.6.2]	<b>3.19</b> <b>nonconformity</b> non-fulfilment of a <b>requirement</b> (3.03)  <b>OHSAS 18001</b> <i>NOTE A nonconformity can be any deviation from:</i> • <i>relevant work standards, practices, procedures, legal requirements, etc.</i> • <b>OH&amp;S management system (3.13)</b> requirements.	Same definition as OHSAS 18001, 3.11, apart from the Note
<b>3.20</b> <b>correction</b> action to eliminate a detected <b>nonconformity</b> (3.19)	<b>3.26</b> <b>correction</b> action to eliminate a detected <b>nonconformity</b> (3.25)	<b>3.20</b> <b>correction</b> action to eliminate a detected <b>nonconformity</b> (3.19)	<b>Not in OHSAS 18001</b>
<b>3.21</b> <b>corrective action</b> action to eliminate the cause of a <b>nonconformity</b> (3.19) and to prevent recurrence	<b>3.27A</b> <b>corrective action</b> action to eliminate the cause of a <b>nonconformity</b> (3.25) and to prevent recurrence  <b>3.27B</b> <b>corrective action</b> <i>action to eliminate the cause of a detected <b>nonconformity</b> (3.25)</i>  <b>3.28</b> <b>preventive action</b> <i>action to eliminate the cause of a potential <b>nonconformity</b> (3.25)</i>	<b>3.21</b> <b>corrective action</b> <b>action to eliminate the cause of a nonconformity (3.19) and to prevent recurrence</b>  <b>OHSAS 18001</b> <b>3.4 corrective action</b> action to eliminate the cause of a detected <b>nonconformity</b> (3.11) or other undesirable situation  <i>NOTE 1 There can be more than one cause for a nonconformity.</i>	Annex SL sought to remove the need for a clause on Preventive action, by making a key purpose of the management system to be preventive

		<p><i>NOTE 2 Corrective action is taken to prevent recurrence whereas <b>preventive action (3.18)</b> is taken to prevent occurrence.</i> [ISO 9000:2005, 3.6.5]</p> <p><b>3.18 preventive action</b> action to eliminate the cause of a potential <b>nonconformity (3.11)</b> or other undesirable potential situation</p> <p><i>NOTE 1 There can be more than one cause for a potential nonconformity.</i></p> <p><i>NOTE 2 Preventive action is taken to prevent occurrence whereas <b>corrective action (3.4)</b> is taken to prevent recurrence.</i> [ISO 9000:2005, 3.6.4]</p>	
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<p><b>3.22</b> <b>continual improvement</b> recurring activity to enhance performance (3.13)</p>	<p><b>3.29B</b> <b>continual improvement</b> <i>recurring process of enhancing the <b>environmental management system</b> (3.08B) in order to achieve improvements in overall <b>environmental performance</b> (3.17B) consistent with the <b>organization's</b> (3.01) <b>environmental policy</b> (3.11B)</i></p> <p><i>Note 1 to entry: The process need not take place in all areas of activity simultaneously.</i></p> <p><b>3.30</b> <b>prevention of pollution</b> <i>use of processes, practices, techniques, materials, products, services or energy to avoid, reduce or control (separately or in combination) the creation, emission or discharge of any type of pollutant or waste, in order to reduce adverse <b>environmental impacts</b> (3.07A)</i> <i>Note 1 to entry: Prevention of pollution can include source reduction or elimination, process, product or service changes, efficient use of resources, material and energy substitution, reuse, recovery, recycling, reclamation and treatment.</i></p> <p><b>3.31</b> <b>record document</b> (3.15B) stating results achieved or providing evidence of activities performed <i>Note 1 to entry: Adapted from ISO 9000:2000, 3.7.6.</i></p>	<p><b>3.22</b> <b>continual improvement</b> <b>recurring activity to enhance performance</b> (3.13)</p> <p><b>OHSAS 18001</b> <b>3.3 continual improvement</b> recurring process of enhancing the <b>OH&amp;S management system</b> (3.13) in order to achieve improvements in overall <b>OH&amp;S performance</b> (3.15) consistent with the <b>organization's</b> (3.17) <b>OH&amp;S policy</b> (3.16)</p> <p><i>NOTE 1 The process need not take place in all areas of activity simultaneously.</i></p> <p><i>NOTE 2 Adapted from ISO 14001:2004, 3.2.</i></p> <p><b>3.20 record document</b> (3.5) stating results achieved or providing evidence of activities performed [ISO 14001:2004, 3.20]</p>	<p>Annex SL definition 3.22 is sufficient to replace OHSAS 3.3</p>
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<p><b>4. Context of the organization</b></p> <p><b>4.1 Understanding the organization and its context</b></p> <p>The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its XXX management system.</p>	<p><b>4. Context of the organization</b></p> <p><b>4.1 Understanding the organization and its context</b></p> <p>The organization shall determine external and internal issues, including environmental issues, that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its environmental management system.</p> <p>In order to ensure the integration of the environmental management system requirements into the organization's business processes, the organization shall:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> take into account these issues when determining risks and opportunities (See 6.1)</li> <li><input type="checkbox"/> evaluate the impact of any changing issues on the organization's ability to achieve the intended outcomes of its EMS (See 9.3)</li> </ul> <p>NOTE 1 Examples of external issues can include</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> resource availability and pricing</li> <li><input type="checkbox"/> economic situation</li> <li><input type="checkbox"/> competitive positioning</li> <li><input type="checkbox"/> reputation</li> <li><input type="checkbox"/> supply chain</li> <li><input type="checkbox"/> customers</li> </ul> <p>NOTE 2 Examples of internal issues can include</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> cost</li> </ul>	<p><b>4 Context of the organization</b></p> <p><b>4.1 Understanding the organization and its context</b></p> <p>The organization shall determine external and internal issues that are relevant to its purpose and objectives and that affect its ability to achieve the intended outcome(s) of its OH&amp;S management system.</p>	<p>The 14001 text is not needed, as the issue of integration into business processes is dealt with in 6.1. The examples can be given in ISO XX002 Application Guidelines.</p>
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	<input type="checkbox"/> strategy, mission, vision and values <input type="checkbox"/> product portfolio <input type="checkbox"/> mergers and acquisitions <input type="checkbox"/> employee's satisfaction <input type="checkbox"/> purchasing and procurement		
<b>4.2 Understanding the needs and expectations of interested parties</b>  The organization shall determine <ul style="list-style-type: none"> <li>— the interested parties that are relevant to the XXX management system, and</li> <li>— the requirements of these interested parties.</li> </ul>	<b>4.2 Understanding the needs and expectations of interested parties</b>  The organization shall determine <ul style="list-style-type: none"> <li><input type="checkbox"/> the interested parties that are relevant to the <b>environmental</b> management system, and</li> <li><input type="checkbox"/> the requirements, as defined by this <b>International Standard (3.03)</b>, of these interested parties.</li> </ul> The organization shall: <ul style="list-style-type: none"> <li><input type="checkbox"/> take into account these requirements when determining risks and opportunities (See 6.1)</li> <li><input type="checkbox"/> take into account these requirements when determining the need for internal and external communications (7.4)</li> <li><input type="checkbox"/> evaluate the implications of any changing requirements (See 9.3)</li> </ul> NOTE 1 Interested parties can include customers, community, suppliers, regulators, non government organizations, investors, employees  NOTE 2 Requirements can include customer conditions on their supply chain, compliance with permits, legislation and voluntary commitments, community expectations	<b>4.2 Understanding the needs and expectations of interested parties</b>  The organization shall determine <ul style="list-style-type: none"> <li>— the interested parties that are relevant to the OH&amp;S management system, and</li> <li>— the requirements of these interested parties.</li> </ul>	The 14001 text is not needed, as the issues are dealt with elsewhere in the standard. The examples can be given in <b>ISO XX002 Application Guidelines</b> .
<b>4.3 Determining the scope of the XXX management system</b>	<b>4.3 Determining the scope of the <b>environmental</b> management system</b>	<b>4.3 Determining the scope of the OH&amp;S management system</b>	

<p>The organization shall determine the boundaries and applicability of the XXX management system to establish its scope.</p> <p>When determining this scope, the organization shall consider</p> <ul style="list-style-type: none"> <li>— the external and internal issues referred to in 4.1, and</li> <li>— the requirements referred to in 4.2.</li> </ul> <p>The scope shall be available as documented information.</p>	<p>The organization shall determine the boundaries and applicability of the <b>environmental</b> management system to establish its scope. When determining this scope, the organization shall consider</p> <ul style="list-style-type: none"> <li>— the external and internal issues referred to in 4.1, and</li> <li>— the requirements referred to in 4.2.</li> </ul> <p>The scope shall be available as documented information.</p>	<p>The organization shall determine the boundaries and applicability of the OH&amp;S management system to establish its scope.</p> <p>When determining this scope, the organization shall consider</p> <ul style="list-style-type: none"> <li>— the external and internal issues referred to in 4.1, and</li> <li>— the requirements referred to in 4.2.</li> </ul> <p>The scope shall be available as documented information.</p>	
<p><b>4.4 XXX management system</b></p> <p>The organization shall establish, implement, maintain and continually improve an XXX management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.</p>	<p><b>4.4 Environmental management system</b></p> <p>The organization shall establish, <b>document</b>, implement, maintain and continually improve an <b>environmental</b> management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.</p> <p>The organization shall determine how it will fulfil these requirements.</p>	<p><b>4.4 OH&amp;S management system</b></p> <p>The organization shall establish, implement, maintain and continually improve an OH&amp;S management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard</p>	<p>The ISO 14001 text is implicit in the Annex SL text, so is not needed</p>
<p><b>5. Leadership</b></p>	<p><b>5. Leadership</b></p> <p><b>5.1 Leadership and commitment</b></p> <p>Top management shall demonstrate</p>	<p><b>5. Leadership</b></p> <p><b>5.1 Leadership and commitment</b></p>	

<p><b>5.1 Leadership and commitment</b></p> <p>Top management shall demonstrate leadership and commitment with respect to the XXX management system by</p> <ul style="list-style-type: none"> <li>— ensuring that the XXX policy and XXX objectives are established and are compatible with the strategic direction of the organization</li> <li>— ensuring the integration of the XXX management system requirements into the organization's business processes</li> <li>— ensuring that the resources needed for the XXX management system are available</li> <li>— communicating the importance of effective XXX management and of conforming to the XXX management system requirements</li> <li>— ensuring that the XXX management system achieves its intended outcome(s)</li> </ul>	<p>leadership and commitment with respect to the <b>environmental</b> management system by</p> <ul style="list-style-type: none"> <li>- ensuring that the <b>environmental</b> policy and <b>environmental</b> objectives are established <b>for the environmental management system</b> and are compatible with the strategic direction of the organization</li> <li>- ensuring the integration of the <b>environmental</b> management system requirements into the organization's business processes</li> <li>- ensuring that the resources needed for the <b>environmental</b> management system are available</li> <li>- communicating the importance of effective <b>environmental</b> management and of conforming to the <b>environmental</b> management system requirements</li> <li>- ensuring that the <b>environmental</b> management system achieves its intended outcome(s)</li> <li>- directing and supporting persons to contribute to the effectiveness of the <b>environmental</b> management system</li> </ul>	<p>Top management shall demonstrate leadership and commitment with respect to the OH&amp;S management system by:</p> <ul style="list-style-type: none"> <li>— ensuring that policies and objectives are established for the OH&amp;S management system and are compatible with the strategic direction of the organization</li> <li>— ensuring the integration of the OH&amp;S management system requirements into the organization's business processes</li> <li>— ensuring that the resources needed for the OH&amp;S management system are available</li> <li>— communicating the importance of effective OH&amp;S management and of conforming to the OH&amp;S management system requirements</li> <li>— ensuring that the OH&amp;S management system achieves its intended outcome(s)</li> </ul>	
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<ul style="list-style-type: none"> <li>— directing and supporting persons to contribute to the effectiveness of the XXX management system</li> <li>— promoting continual improvement</li> <li>— supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.</li> </ul> <p>NOTE Reference to “business” in this International Standard should be interpreted broadly to mean those activities that are core to the purposes of the organization’s existence.</p>	<ul style="list-style-type: none"> <li>- promoting continual improvement</li> <li>- supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.</li> </ul> <p>NOTE Reference to “business” in this International Standard should be interpreted broadly to mean those activities that are core to the purposes of the organization’s existence.</p>	<ul style="list-style-type: none"> <li>— directing and supporting persons to contribute to the effectiveness of the OH&amp;S management system</li> <li>— promoting continual improvement</li> <li>— supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.</li> <li>— appointing a member(s) of top management with specific responsibility for OH&amp;S, irrespective of other responsibilities, and with defined roles and authority for ensuring that reports on the performance of the OH&amp;S management system are presented to top management for review and used as a basis for improvement of the OH&amp;S management system.</li> </ul> <p>NOTE Reference to “business” in this International Standard should be interpreted broadly to mean those activities that are core to the purposes of the organization’s existence.</p>	
<p><b>5.2 Policy</b></p> <p>Top management shall establish a</p>	<p><b>5.2 Policy</b></p> <p>Top management shall establish an environmental policy that, within the</p>	<p><b>5.2 Policy</b></p> <p>Top management shall establish a OH&amp;S policy that</p>	

<p>XXX policy that</p> <ul style="list-style-type: none"> <li>— is appropriate to the purpose of the organization</li> <li>— provides a framework for setting XXX objectives</li> <li>— includes a commitment to satisfy applicable requirements, and</li> <li>— includes a commitment to continual improvement of the XXX management system.</li> </ul> <p>The XXX policy shall</p> <ul style="list-style-type: none"> <li>— be available as documented information</li> <li>— be communicated within the organization</li> <li>— be available to interested</li> </ul>	<p>defined scope of its environmental management system,</p> <ul style="list-style-type: none"> <li>- is appropriate to the purpose of the organization and to the nature, scale and environmental impacts of its activities, products and services</li> <li>- includes a commitment to prevention of pollution</li> <li>- provides a framework for setting environmental objectives and targets</li> <li>- includes a commitment to satisfy applicable requirements, including legal requirements and other requirements to which the organization subscribes which relate to its environmental aspects, and</li> <li>- includes a commitment to continual improvement of its environmental performance using the environmental management system.</li> </ul> <p>The environmental policy shall</p> <ul style="list-style-type: none"> <li>- be available as documented information</li> <li>- be implemented and maintained</li> <li>- be communicated within the organization, including all persons working for and on behalf of the organization</li> <li>- be available to interested parties,</li> </ul>	<ul style="list-style-type: none"> <li>— is appropriate to the purpose of the organization and to the nature and scale of the organization's OH&amp;S risks</li> <li>— provides a framework for setting and reviewing OH&amp;S objectives</li> <li>— includes a commitment to satisfy applicable requirements including legal requirements and other requirements to which the organization subscribes that relate to its OH&amp;S hazards, and</li> <li>— includes a commitment to prevention of injury and ill health and to continual improvement of the OH&amp;S management system and OH&amp;S performance.</li> </ul> <p>The OH&amp;S policy shall</p> <ul style="list-style-type: none"> <li>— be available as documented information</li> <li>— be communicated within the organization to all persons working under the control of the organization with the intent that they are made aware of their individual OH&amp;S obligations;</li> <li>— be available to interested</li> </ul>	
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parties, as appropriate.	including the public, as appropriate.	parties, as appropriate.  — is reviewed periodically to ensure that it remains relevant and appropriate to the organization.	
<p><b>5.3 Organization roles, responsibilities and authorities</b></p> <p>Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.</p> <p>Top management shall assign the responsibility and authority for:</p> <p>a) ensuring that the XXX management system conforms to the requirements of this International Standard: and</p> <p>b) reporting on the performance of the XXX management system to top management.</p>	<p><b>5.3 Organization roles, responsibilities and authorities</b></p> <p>Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, documented and communicated within the organization in order to facilitate effective environmental management.</p> <p>Top management shall assign the responsibility and authority for:</p> <p>a) ensuring that the environmental management system conforms to the requirements of this International Standard: and</p> <p>b) reporting on the performance of the environmental management system to top management for review, including recommendations for improvement.</p>	<p><b>5.3 Organizational roles, responsibilities, accountabilities and authorities</b></p> <p>Top management shall ensure that the responsibilities, accountabilities and authorities for relevant roles are assigned and communicated within the organization and are documented.</p> <p>Top management shall assign the responsibility and authority for:</p> <p>a) ensuring that the OH&amp;S management system conforms to the requirements of this International Standard: and</p> <p>b) reporting on the performance of the OH&amp;S management system to top management.</p> <p>The identity of the top management appointee shall be made available to all persons working under the control of the organization.</p> <p>NOTE The top management appointee (e.g. in a large organization, a Board or</p>	

		executive committee member) may delegate some of their duties to a subordinate management representative(s) while still retaining accountability.	
<b>6. Planning</b> <b>6.1 Actions to address risks and opportunities</b>  When planning for the XXX management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to <ul style="list-style-type: none"> <li>— assure the XXX management system can achieve its intended outcome(s)</li> <li>— prevent, or reduce, undesired effects</li> <li>— achieve continual improvement.</li> </ul>	<b>6. Planning</b> <b>6.1 Actions to address risks and opportunities</b>  When planning for the environmental management system, the organization shall consider the issues referred to in 4.1, the requirements referred to in 4.2 and <ul style="list-style-type: none"> <li>- identify the environmental aspects of its activities, products and services within the defined scope of the environmental management system that it can control and those that it can influence taking into account planned or new developments, or new or modified activities, products and services,</li> <li>- determine those aspects that have or can have significant impact(s) on the environment (i.e. significant environmental aspects).</li> <li>- identify applicable legal requirements and other requirements to which the organization subscribes related to its environmental aspects and determine how these requirements apply to its environmental aspects.</li> </ul> The organization shall document this	<b>6. Planning</b> <b>6.1 Actions to address risks and opportunities</b>  When planning for the OH&S management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to <ul style="list-style-type: none"> <li>— assure the OH&amp;S management system can achieve its intended outcome(s)</li> <li>— prevent, or reduce, undesired effects</li> <li>— achieve continual improvement.</li> </ul> The organization shall establish, implement and maintain a procedure(s) for the ongoing hazard identification.  The procedure(s) for hazard identification shall take into account: <ul style="list-style-type: none"> <li>a) routine and non-routine activities;</li> <li>b) activities of all persons having access to the workplace (including contractors</li> </ul>	

	<p>information and keep it up-to-date.</p> <p>The organisation shall determine the organisational risks and opportunities related to significant environmental aspects and to the fulfilment of its legal requirements and other requirements that need to be addressed to</p> <ul style="list-style-type: none"> <li>- assure the environmental management system can achieve its intended outcome(s)</li> <li>- prevent, or reduce, undesired impacts</li> <li>- meet its legal requirements and other requirements</li> <li>- achieve continual improvement.</li> </ul>	<p>and visitors);</p> <ul style="list-style-type: none"> <li>c) human behaviour, capabilities and other human factors;</li> <li>d) identified hazards originating outside the workplace capable of adversely affecting the health and safety of persons under the control of the organization within the workplace;</li> <li>e) hazards created in the vicinity of the workplace by work-related activities under the control of the organization;</li> </ul> <p><i>NOTE 1 It may be more appropriate for such hazards to be assessed as an environmental aspect.</i></p> <ul style="list-style-type: none"> <li>f) infrastructure, equipment and materials at the workplace, whether provided by the organization or others;</li> <li>g) changes or proposed changes in the organization, its activities, or materials;</li> <li>h) modifications to the OH&amp;S management system, including temporary changes, and their impacts on operations, processes, and activities;</li> <li>i) any applicable legal obligations relating to risk assessment and implementation of necessary controls;</li> <li>j) the design of work areas, processes, installations, machinery/equipment, operating procedures and work organization, including their adaptation</li> </ul>	
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<p>The organization shall plan:</p> <p>a) actions to address these risks and opportunities, and</p> <p>b) how to</p> <ul style="list-style-type: none"> <li>— integrate and implement the actions into its XXX management system processes</li> <li>— evaluate the effectiveness of these actions.</li> </ul>	<p>The organization shall plan actions to address its significant environmental aspects, legal requirements and other requirements and its organizational risks and opportunities, and how to</p> <ul style="list-style-type: none"> <li>- integrate and implement the actions into its environmental management system processes and how to</li> <li>- evaluate the effectiveness of these actions.</li> </ul>	<p>to human capabilities.</p> <p>The organization's methodology for hazard identification shall be defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive;</p> <p>The organization shall determine and document the risks</p> <p>For the management of change, the organization shall identify the OH&amp;S hazards and OH&amp;S risks associated with changes in the organization, the OH&amp;S management system, or its activities, prior to the introduction of such changes.</p> <p>The organization shall plan:</p> <p>a) actions to address these risks and opportunities, and</p> <p>b) how to</p> <ul style="list-style-type: none"> <li>— integrate and implement the actions into its OH&amp;S management system processes, including hazard identification, risk assessment and determining controls and emergency preparedness and response.</li> <li>— evaluate the effectiveness of these actions.</li> </ul>	
<p><b>6.2 XXX objectives and planning to achieve them</b></p>	<p><b>6.2 Environmental objectives and planning to achieve them</b></p>	<p><b>6.2 OH&amp;S objectives and planning to achieve them</b></p>	

<p>The organization shall establish XXX objectives at relevant functions and levels.</p> <p>The XXX objectives shall</p> <ul style="list-style-type: none"> <li>— be consistent with the XXX policy</li> <li>— be measurable (if practicable)</li> <li>— take into account applicable requirements</li> <li>— be monitored</li> <li>— be communicated, and</li> <li>— be updated as appropriate.</li> </ul> <p>The organization shall retain documented information on the XXX objectives.</p> <p>When planning how to achieve its XXX objectives, the organization</p>	<p>The organization shall establish <b>environmental</b> objectives at relevant functions and levels.</p> <p>The <b>environmental</b> objectives shall</p> <ul style="list-style-type: none"> <li>- be consistent with the <b>environmental</b> policy</li> <li>- include targets and indicators to demonstrate performance achievement</li> <li>- be measurable (if practicable)</li> <li>- take into account applicable requirements</li> <li>- shall take into account the legal requirements and other requirements to which the organization subscribes, and its significant environmental aspects. It shall also consider its technological options, its financial, operational and business requirements, and the views of interested parties</li> <li>- be monitored</li> <li>- be communicated, and</li> <li>- be updated as appropriate.</li> </ul> <p>The organization shall retain documented information on the <b>environmental</b> objectives.</p> <p>When planning how to achieve its</p>	<p>The organization shall establish OH&amp;S objectives at relevant functions and levels.</p> <p>The OH&amp;S objectives shall</p> <ul style="list-style-type: none"> <li>— be consistent with the OH&amp;S policy including the commitments to the prevention of injury and ill health, to compliance with applicable legal requirements and with other requirements to which the organization subscribes and to continual improvement</li> <li>— include key performance indicators, to demonstrate performance achievement</li> <li>— be measurable (if practicable)</li> <li>— take into account applicable requirements, including legal requirements and other requirements to which the organization subscribes</li> <li>— be monitored</li> <li>— be communicated, and</li> <li>— be updated as appropriate.</li> </ul> <p>The organization shall retain documented information on the OH&amp;S objectives.</p> <p>When planning how to achieve its OH&amp;S</p>	
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<p>shall determine</p> <ul style="list-style-type: none"> <li>— what will be done</li> <li>— what resources will be required</li> <li>— who will be responsible</li> <li>— when it will be completed</li> <li>— how the results will be evaluated.</li> </ul>	<p>environmental objectives, the organization shall determine</p> <ul style="list-style-type: none"> <li>- what will be done</li> <li>- what resources will be required</li> <li>- who will be responsible</li> <li>- when it will be completed</li> <li>- how the results will be evaluated, including the environmental targets and indicators necessary to demonstrate performance</li> </ul>	<p>objectives, the organization shall determine</p> <ul style="list-style-type: none"> <li>— what will be done</li> <li>— what resources will be required</li> <li>— who will be responsible (e.g. who will be the Top management representative and which persons will have the responsibility and authority for achieving objectives at relevant functions and levels of the organization)</li> <li>— when it will be completed</li> <li>— how the results will be evaluated.</li> </ul>	
<p><b>7. Support</b></p> <p><b>7.1 Resources</b></p> <p>The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the XXX management system.</p>	<p><b>7. Support</b></p> <p><b>7.1 Resources</b></p> <p>The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the environmental management system.</p> <p>Resources include human resources and specialized skills, organizational infrastructure, technology and financial resources.</p>	<p><b>7. Support</b></p> <p><b>7.1 Resources</b></p> <p>The organization, through its top management, shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&amp;S management system.</p>	<p>The 14001 text is not needed, but could be used in the ISO XX002 Application Guidelines.</p>
<p><b>7.2 Competence</b></p> <p>The organization shall</p> <ul style="list-style-type: none"> <li>— determine the necessary</li> </ul>	<p><b>7.2 Competence</b></p> <p>The organization shall:</p> <ul style="list-style-type: none"> <li>- determine the necessary competence</li> </ul>	<p><b>7.2 Competence</b></p> <p>The organization shall:</p>	

<p>competence of person(s) doing work under its control that affects its XXX performance, and</p> <ul style="list-style-type: none"> <li>— ensure that these persons are competent on the basis of appropriate education, training, or experience;</li> <li>— where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken, and</li> <li>— retain appropriate documented information as evidence of competence.</li> </ul> <p>NOTE Applicable actions may include, for example: the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.</p>	<p>of person(s) doing work under its control that affects its environmental performance and their tasks have the potential to cause a significant environmental impact(s) identified by the organisation, and</p> <ul style="list-style-type: none"> <li>- ensure that these persons are competent on the basis of appropriate education, training, or experience;</li> <li>- identify training needs associated with its environmental aspects and its environmental management system;</li> <li>- where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken, and</li> <li>- retain appropriate documented information as evidence of competence.</li> </ul> <p>NOTE Applicable actions may include, for example: the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.</p>	<ul style="list-style-type: none"> <li>— determine the necessary competence of person(s) doing work under its control that affects its OH&amp;S performance, and</li> <li>— ensure that these persons are competent on the basis of appropriate education, training, or experience;</li> <li>— where applicable, determine OH&amp;S training needs and take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken, and</li> <li>— retain appropriate documented information as evidence of competence.</li> </ul> <p>NOTE Applicable actions may include, for example: the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.</p> <p>Training procedures shall take into account differing levels of:</p> <ol style="list-style-type: none"> <li>a) responsibility, ability, language skills and literacy; and</li> <li>b) risk.</li> </ol>	
<b>7.3 Awareness</b>	<b>7.3 Awareness</b>  The organization shall establish,	<b>7.3 Awareness</b>  Persons doing work under the	ISO 14001 text is too

<p>Persons doing work under the organization's control shall be aware of</p> <ul style="list-style-type: none"> <li>— the XXX policy</li> <li>— their contribution to the effectiveness of the XXX management system, including the benefits of improved XXX performance</li> <li>— the implications of not conforming with the XXX management system requirements.</li> </ul>	<p>implement and maintain a procedure(s) to ensure that persons doing work under the organization's control shall be aware of</p> <ul style="list-style-type: none"> <li>- the environmental policy</li> <li>- the importance of conformity with the environmental policy and procedures and with the requirements of the environmental management system,</li> <li>- the significant environmental aspects and related actual or potential impacts associated with their work,</li> <li>- their roles and responsibilities in achieving conformity with the requirements of the environmental management system, and</li> <li>- their contribution to the effectiveness of the environmental management system, including the benefits of improved environmental performance</li> <li>- the implications of not conforming with the environmental management system requirements.</li> </ul>	<p>organization's control shall be aware of</p> <ul style="list-style-type: none"> <li>— the OH&amp;S policy and their roles and responsibilities and importance in achieving conformity to the OH&amp;S policy and processes and to the requirements of the OH&amp;S management system, including emergency preparedness and response requirements</li> <li>— their contribution to the effectiveness of the OH&amp;S management system, including the benefits of improved OH&amp;S performance</li> <li>— the implications of not conforming with the OH&amp;S management system requirements</li> <li>— the OH&amp;S consequences, actual or potential, of their work activities, their behaviour, and the OH&amp;S benefits of improved personal performance</li> <li>— the potential consequences of departure from specified procedures</li> </ul>	<p>prescriptive in calling for a procedure</p>
<p><b>7.4 Communication</b></p> <p>The organization shall determine the need for internal and external communications relevant to the</p>	<p><b>7.4 Communication</b></p> <p>The organization shall determine its strategy for internal and external communications relevant to the environmental management system</p>	<p><b>7.4 Communication, participation and consultation</b></p> <p><b>7.4.1 Communication</b></p> <p>The organization shall determine the need for internal and external</p>	

<p>XXX management system including</p> <ul style="list-style-type: none"> <li>— on what it will communicate</li> <li>— when to communicate</li> <li>— with whom to communicate.</li> </ul>	<p>including</p> <ul style="list-style-type: none"> <li>- on what it will communicate</li> <li>- when to communicate</li> <li>- with whom to communicate.</li> </ul> <p>With regard to its environmental aspects and environmental management system, the organization shall establish, implement and maintain a procedure(s) for</p> <p>a) internal communication among the various levels and functions of the organization,</p> <p>b) receiving, documenting and responding to relevant communication from external interested parties.</p>	<p>communications relevant to the OH&amp;S management system including:</p> <ul style="list-style-type: none"> <li>— on what it will communicate</li> <li>— when to communicate</li> <li>— with whom to communicate</li> </ul> <ol style="list-style-type: none"> <li>1) internally among the various levels and functions of the organization;</li> <li>2) with contractors and other visitors to the workplace</li> <li>3) with external interested parties</li> </ol> <ul style="list-style-type: none"> <li>— how it will receive, document and respond to relevant communications from external interested parties.</li> </ul> <p><b>7.4.2 Participation and consultation</b></p> <p>The organization shall establish, implement and maintain a process for:</p> <p>a) the participation of workers by their :</p> <ul style="list-style-type: none"> <li>— appropriate involvement in hazard identification, risk assessments and determination of controls;</li> <li>— appropriate involvement in incident investigation;</li> </ul>	<p>ISO 14001 text is too prescriptive in calling for a procedure</p>
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		<ul style="list-style-type: none"> <li>— involvement in the development and review of OH&amp;S policies and objectives;</li> <li>— consultation where there are any changes that affect their OH&amp;S;</li> <li>— representation on OH&amp;S matters.</li> </ul> <p>Workers shall be informed about their participation arrangements, including who is their representative(s) on OH&amp;S matters.</p> <p>b) consultation with contractors where there are changes that affect their OH&amp;S.</p> <p>The organization shall ensure that, when appropriate, relevant external interested parties are consulted about pertinent OH&amp;S matters.</p>	
<p><b>7.5 Documented information</b></p> <p><b>7.5.1 General</b></p> <p>The organization's XXX management system shall include</p> <ul style="list-style-type: none"> <li>— documented information required by this International Standard</li> <li>— documented information determined by the organization as being</li> </ul>	<p><b>7.5 Documented information</b></p> <p><b>7.5.1 General</b></p> <p>The organization's <b>environmental</b> management system shall include</p> <ul style="list-style-type: none"> <li>- documented information required by this International Standard</li> <li>- documented information determined by the organization as being necessary for the effectiveness of the <b>environmental</b> management system.</li> </ul>	<p><b>7.5 Documented information</b></p> <p><b>7.5.1 General</b></p> <p>The organization's OH&amp;S management system shall include</p> <ul style="list-style-type: none"> <li>— documented information required by this International Standard</li> <li>— a description of the main elements of the OH&amp;S management system and their interaction, and reference to related documented information;</li> </ul>	

<p>necessary for the effectiveness of the XXX management system.</p> <p>NOTE The extent of documented information for a XXX management system can differ from one organization to another due to</p> <ul style="list-style-type: none"> <li>— the size of organization and its type of activities, processes, products and services,</li> <li>— the complexity of processes and their interactions, and</li> <li>— the competence of persons.</li> </ul>		<ul style="list-style-type: none"> <li>— documented information, including records, determined by the organization as being necessary for planning, operation and control of processes that impact on the effectiveness of the OH&amp;S management system and its management of its OH&amp;S risks</li> </ul> <p>NOTE The extent of documented information for a OH&amp;S management system can differ from one organization to another due to</p> <ul style="list-style-type: none"> <li>— the size of organization and its type of activities, processes, products and services,</li> <li>— the complexity of processes and their interactions, and</li> <li>— the competence of persons.</li> </ul>	
<p><b>7.5.2 Creating and updating</b></p> <p>When creating and updating documented information the organization shall ensure appropriate</p> <ul style="list-style-type: none"> <li>— identification and description (e.g. a title, date, author, or reference number)</li> </ul>	<p><b>7.5.2 Creating and updating</b></p> <p>When creating and updating documented information the organization shall ensure appropriate</p> <ul style="list-style-type: none"> <li>- identification and description (e.g. a title, date, author, or reference number)</li> </ul>	<p><b>7.5.2 Creating and updating</b></p> <p>When creating and updating documented information the organization shall ensure appropriate</p> <ul style="list-style-type: none"> <li>— identification and description (e.g. a title, date, author, or reference number)</li> </ul>	



<ul style="list-style-type: none"> <li>— format (e.g. language, software version, graphics) and media (e.g. paper, electronic)</li> <li>— review and approval for suitability and adequacy.</li> </ul>	<ul style="list-style-type: none"> <li>- format (e.g. language, software version, graphics) and media (e.g. paper, electronic)</li> <li>- review and approval for suitability and adequacy.</li> <li>- <i>update as necessary,</i></li> </ul>	<ul style="list-style-type: none"> <li>— format (e.g. language, software version, graphics) and media (e.g. paper, electronic)</li> <li>— review and approval for suitability and adequacy.</li> </ul>	<p>Additional 14001 text is addressed in 1<sup>st</sup> para, so is not necessary</p>
<p><b>7.5.3 Control of documented information</b></p> <p>Documented information required by the XXX management system and by this International Standard shall be controlled to ensure</p> <ul style="list-style-type: none"> <li>— it is available and suitable for use, where and when it is needed</li> <li>— it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).</li> </ul> <p>For the control of documented information, the organization shall address the following activities, as applicable</p> <ul style="list-style-type: none"> <li>— distribution, access, retrieval and use,</li> <li>— storage and preservation, including preservation of</li> </ul>	<p><b>7.5.3 Control of documented Information</b></p> <p>Documented information required by the <b>environmental</b> management system and by this International Standard shall be controlled to ensure</p> <ul style="list-style-type: none"> <li>- it is available and suitable for use, where and when it is needed</li> <li>- it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).</li> </ul> <p>For the control of documented information, the organization shall address the following activities, as applicable</p> <ul style="list-style-type: none"> <li>- distribution, access, retrieval and use,</li> <li>- storage and preservation, including preservation of legibility</li> </ul>	<p><b>7.5.3 Control of documented Information</b></p> <p>Documented information required by the OH&amp;S management system and by this International Standard shall be controlled to ensure</p> <ul style="list-style-type: none"> <li>— it is available and suitable for use, where and when it is needed</li> <li>— it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).</li> </ul> <p>For the control of documented information, the organization shall address the following activities, as applicable</p> <ul style="list-style-type: none"> <li>— distribution, access, retrieval, traceability and use,</li> <li>— storage and preservation, including preservation of legibility</li> </ul>	

<p>legibility</p> <ul style="list-style-type: none"> <li>— control of changes (e.g. version control)</li> <li>— retention and disposition</li> </ul> <p>Documented information of external origin determined by the organization to be necessary for the planning and operation of the XXX management system shall be identified as appropriate, and controlled.</p> <p>NOTE Access implies a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information, etc.</p>	<ul style="list-style-type: none"> <li>- control of changes (e.g. version control)</li> <li>- retention and disposition</li> </ul> <p>Documented information of external origin determined by the organization to be necessary for the planning and operation of the <b>environmental</b> management system shall be identified as appropriate, and controlled.</p> <p>The organization shall establish, implement and maintain a procedure(s) to control the documented information associated with the <b>environmental management system</b>.</p> <p>NOTE Access implies a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information, etc.</p> <p><b>7.5.4 Documentation</b> The environmental management system documentation shall include</p> <ul style="list-style-type: none"> <li>a) the environmental policy, objectives and targets,</li> <li>b) description of the scope of the environmental management system,</li> <li>c) description of the main elements of the environmental management system and their interaction, and reference to related documents,</li> <li>d) documents, including records,</li> </ul>	<ul style="list-style-type: none"> <li>— control of changes (e.g. version control)</li> <li>— retention and disposition</li> </ul> <p>Documented information of external origin determined by the organization to be necessary for the planning and operation of the <b>OH&amp;S</b> management system shall be identified as appropriate, and controlled.</p> <p>NOTE Access implies a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information, etc.</p>	<p>ISO 14001 text is too prescriptive in calling for a procedure</p> <p>The JTCG had long discussions over the merits of including a listing of the documentation required or not. In the end it was not included, but left it to individual TCs to decide if they wanted to add it in. TC 207 has gone for that option by adding 7.5.4. As many of these items are addressed in 8.1, this would be better as guidance in <b>ISO XX002 Application Guidelines</b></p>
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	<p>required by this International Standard, and</p> <p>e) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects.</p>		
<p><b>8. Operation</b></p> <p><b>8.1 Operational planning and control</b></p> <p>The organization shall plan, implement and control the processes needed to meet requirements, and to implement the actions determined in 6.1, by</p> <ul style="list-style-type: none"> <li>— establishing criteria for the processes</li> <li>— implementing control of the processes in accordance with the criteria</li> <li>— keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.</li> </ul>	<p><b>8. Operation</b></p> <p><b>8.1 Operational planning and control</b></p> <p>The organization shall plan, implement and control the processes needed to meet requirements, and to implement the actions determined in 6.1, by</p> <ul style="list-style-type: none"> <li>- establishing criteria for the processes</li> <li>- implementing control of the processes in accordance with the criteria</li> <li>- establishing, implementing and maintaining a documented procedure(s) to control situations where their absence could lead to deviation from the environmental policy, objectives and targets,</li> <li>- establishing, implementing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the organization and communicating</li> </ul>	<p><b>8. Operation</b></p> <p><b>8.1 Operational planning and control</b></p> <p>The organization shall plan, implement and control those processes needed to meet requirements, and to implement the actions determined in 6.1, by:</p> <ul style="list-style-type: none"> <li>— establishing criteria for processes, especially those that need to be controlled;</li> <li>— implementing the control of these processes in accordance with the criteria;</li> <li>— keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned and to cover situations where their absence could lead to deviations from the OH&amp;S policy and the objectives.</li> <li>— establishing controls for the purchasing of goods, equipment and services;</li> </ul>	<p>The additional 14001 text is overly prescriptive in calling for a procedure</p>

<p>The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.</p> <p>The organization shall ensure that outsourced processes are controlled.</p>	<p>applicable procedures and requirements to suppliers, including contractors</p> <p>- keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.</p> <p>The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.</p> <p>The organization shall ensure that outsourced processes are controlled.</p>	<p>The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.</p> <p>The organization shall ensure that outsourced processes are controlled.</p> <p>When determining controls, or considering changes to existing controls, consideration shall be given to reducing the risks according to the following hierarchy:</p> <ul style="list-style-type: none"> <li>a) elimination;</li> <li>b) substitution;</li> <li>c) engineering controls;</li> <li>d) signage/warnings and/or administrative controls;</li> <li>e) personal protective equipment.</li> </ul> <p>The organization shall document and keep the results of identification of hazards, risk assessments and determined controls up-to-date.</p> <p>The organization shall ensure that the OH&amp;S risks and determined controls are taken into account when establishing, implementing and maintaining its OH&amp;S</p>	
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	<p><b>8.1.1 Emergency preparedness and response</b></p> <p>The organization shall establish, implement and maintain a procedure(s) to identify potential emergency situations and potential accidents that can have an impact(s) on the environment and how it will respond to them.</p> <p>The organization shall respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts.</p> <p>The organization shall periodically review and, where necessary, revise its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations.</p> <p>The organization shall also periodically test such procedures where practicable.</p>	<p>management system.</p> <p>NOTE 2 For further guidance on hazard identification, risk assessment and determining controls, see <a href="#">ISO XX002 Application Guidelines</a>.</p> <p><b>8.2 Emergency preparedness and response</b></p> <p>The organization shall establish, implement and maintain a process:</p> <ul style="list-style-type: none"> <li>a) to identify the potential for emergency situations;</li> <li>b) to respond to such emergency situations.</li> </ul> <p>The organization shall respond to actual emergency situations and prevent or mitigate associated adverse OH&amp;S consequences.</p> <p>In planning its emergency response the organization shall take account of the needs of relevant interested parties, e.g. emergency services and neighbours.</p> <p>The organization shall also periodically test its process to respond to emergency situations, where practicable, involving relevant interested parties as appropriate.</p> <p>The organization shall periodically review and, where necessary, revise its emergency preparedness and response process in particular, after periodical testing and after the occurrence of</p>	
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		emergency situations.	
<p><b>9. Performance evaluation</b></p> <p><b>9.1 Monitoring, measurement, analysis and evaluation</b></p> <p>The organization shall determine</p> <ul style="list-style-type: none"> <li>— what needs to be monitored and measured</li> <li>— the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results</li> <li>— when the monitoring and measuring shall be performed</li> <li>— when the results from monitoring and measurement shall be analysed and evaluated.</li> </ul>	<p><b>9. Performance Evaluation</b></p> <p><b>9.1 Monitoring, measurement, analysis and evaluation</b></p> <p><b>9.1.1 General</b></p> <p>The organization shall determine</p> <ul style="list-style-type: none"> <li>- what needs to be monitored and measured, including</li> <li>- the key characteristics of its operations that can have a significant environmental impact,</li> <li>- applicable operational controls and</li> <li>- conformity with the organization's environmental objectives and targets and</li> <li>- the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results</li> <li>- when the monitoring and measuring shall be performed</li> <li>- when the results from monitoring and measurement shall be analysed and evaluated.</li> </ul> <p>The organization shall ensure that calibrated or verified monitoring and measurement equipment is used and maintained and that documented information is retained as evidence</p>	<p><b>1 Performance evaluation</b></p> <p><b>1.1 Monitoring, measurement, analysis and evaluation</b></p> <p><b>9.1.1 General</b></p> <p>The organization shall determine</p> <ul style="list-style-type: none"> <li>— what needs to be monitored and measured to determine the extent to which objectives and applicable requirements are met;</li> <li>— the methods for monitoring measurement, analysis and evaluation, as applicable, to ensure valid results (the monitoring or measurement can be either qualitative or quantitative in nature);</li> <li>— when the audit, inspection, monitoring and measuring shall be performed;</li> <li>— when the results from audit, inspection, monitoring and measurement shall be analysed and evaluated.</li> </ul>	

<p>The organization shall retain appropriate documented information as evidence of the results.</p> <p>The organization shall evaluate the XXX performance and the effectiveness of the XXX management system.</p>	<p>The organization shall retain appropriate documented information as evidence of the results.</p> <p>The organization shall evaluate the environmental performance and the effectiveness of the environmental management system.</p>	<p>The organization shall retain appropriate documented information as evidence of the results, and be sufficient to facilitate subsequent corrective action and preventive action analysis</p> <p>The organization shall:</p> <ol style="list-style-type: none"> <li>1) take action when necessary to address adverse trends or results before nonconformity occurs;</li> <li>2) evaluate the OH&amp;S performance and the effectiveness of the OH&amp;S management system (for health as well as safety);</li> <li>3) take proactive measures of performance that monitor conformance with the OH&amp;S programme(s), controls and operational criteria;;</li> <li>4) take reactive measures of performance that monitor ill health, incidents (including accidents, near-misses, etc.), and other historical evidence of deficient OH&amp;S performance;</li> </ol> <p>If equipment is required to monitor or measure performance, the organization shall establish and maintain processes for the calibration and maintenance of such equipment, as appropriate.</p> <p>The organization shall retain appropriate documented information as evidence of the results.</p>	
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	<p><b>9.1.2 Evaluation of compliance</b></p> <p>9.1.2.1 Consistent with its commitment to compliance, the organization shall establish, implement, and maintain a procedure(s) for periodically evaluating compliance with applicable legal requirements.</p> <p>The organization shall keep records of the results of the periodic evaluation.</p> <p>9.1.2.2 The organization shall evaluate compliance with other requirements to which it subscribes.</p> <p>The organization may wish to combine this evaluation with the evaluation of legal compliance referred to in [9.1.2.1] or to establish a separate procedure(s).</p> <p>The organization shall keep records of the results of the periodic evaluation.</p>	<p><b>9.1.2 Evaluation of compliance</b></p> <p>9.1.2.1 Consistent with its stated commitment to compliance (see <b>4.2</b>), the organization shall establish, implement and maintain a process for periodically evaluating compliance with applicable legal requirements.</p> <p>The organization shall keep documented information on the results of the periodic evaluation.</p> <p>9.1.2.2 The organization shall evaluate compliance with other requirements to which it subscribes.</p> <p>The organization may wish to combine this evaluation with the evaluation of legal compliance referred to in [9.1.2.1] or to establish a separate procedure(s).</p> <p>The organization shall keep documented information on the results of the periodic evaluation.</p>	
<p><b>9.2 Internal audit</b></p> <p>The organization shall conduct internal audits at planned intervals to provide information on whether the XXX management system;</p> <p>a) conforms to</p> <p>— the organization's own</p>	<p><b>9.2 Internal Audit</b></p> <p>The organization shall conduct internal audits at planned intervals to provide information on whether the environmental management system;</p> <p>a) conforms to</p> <p>- the organization's own requirements</p>	<p><b>9.2 Internal audit</b></p> <p>The organization shall conduct internal audits at planned intervals to provide information on whether the OH&amp;S management system:</p> <p>a) conforms to:</p> <ul style="list-style-type: none"> <li>- the organization's own requirements for its OH&amp;S</li> </ul>	



<p>requirements for its XXX management system</p> <p>— the requirements of this International Standard;</p> <p>b) is effectively implemented and maintained.</p> <p>The organization shall:</p> <p>a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting. The audit programme(s) shall take into consideration the importance of the processes concerned and the results of previous audits;</p> <p>b) define the audit criteria and scope for each audit;</p> <p>c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;</p> <p>d) ensure that the results of the audits are reported to relevant management, and</p> <p>e) retain documented information as evidence of the implementation of the audit</p>	<p>for its <b>environmental</b> management system</p> <p>- the requirements of this International Standard;</p> <p>b) is effectively implemented and maintained.</p> <p>The organization shall:</p> <p>a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting. The audit programme(s) shall take into consideration the <b>environmental</b> importance of the processes concerned and the results of previous audits;</p> <p>b) define the audit criteria and scope for each audit;</p> <p>c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;</p> <p>d) ensure that the results of the audits are reported to relevant management, and</p> <p>e) retain documented information as evidence of the implementation of the audit programme and the audit results.</p>	<p>management system;</p> <p>- the requirements of this International Standard;</p> <p>b) is effectively implemented and maintained.</p> <p>c) is effective in meeting the organization's OH&amp;S policy and objectives;</p> <p>The organization shall:</p> <p>a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting. The audit programme(s) shall be based on risk assessments and take into consideration the importance of the processes concerned and the results of previous audits;</p> <p>b) define the audit criteria and scope for each audit;</p> <p>c) select competent auditors and conduct audits to ensure objectivity and the impartiality of the audit process;</p> <p>d) ensure that the results of the audits are reported to relevant management; and</p> <p>e) retain documented information as evidence of the implementation of the audit programme and the audit</p>	
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programme and the audit results.		results.	
<p><b>9.3 Management review</b></p> <p>Top management shall review the organization's XXX management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.</p> <p>The management review shall include consideration of:</p> <p>a) the status of actions from previous management reviews;</p> <p>b) changes in external and internal issues that are relevant to the XXX management system;</p> <p>c) information on the XXX performance, including trends in:</p> <ul style="list-style-type: none"> <li>— nonconformities and corrective actions</li> <li>— monitoring and measurement results, and</li> <li>— audit results;</li> </ul>	<p><b>9.3 Management review</b></p> <p>Top management shall review the organization's <b>environmental</b> management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.</p> <p>The management review shall include consideration of:</p> <p>a) the status of actions from previous management reviews;</p> <p>b) changes in external and internal issues that are relevant to the <b>environmental</b> management system, including:</p> <ul style="list-style-type: none"> <li>- changes in needs and expectations of interested parties, including developments in legal requirements and other requirements related to its environmental aspects.</li> <li>- changes in risks and opportunities identified in 6.1;</li> </ul> <p>c) information on the <b>environmental</b> performance, including <b>general</b> trends in:</p> <ul style="list-style-type: none"> <li>- nonconformities and corrective actions</li> </ul>	<p><b>9.3 Management review</b></p> <p>Top management shall review the organizations' OH&amp;S management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness.</p> <p>The management review shall include consideration of:</p> <p>a) the status of actions from previous management reviews;</p> <p>b) the results of participation and consultation</p> <p>c) relevant communication(s) from external interested parties, including complaints;</p> <p>d) changes in external and internal issues that are relevant to the OH&amp;S management system;</p> <p>e) information on the OH&amp;S performance, including trends in:</p> <ul style="list-style-type: none"> <li>— incidents, nonconformities and corrective actions;</li> <li>— monitoring and measurement results;</li> <li>— audit results;</li> <li>— evaluations of compliance with applicable legal requirements</li> </ul>	

<p>d) opportunities for continual improvement.</p> <p>The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the XXX management system.</p> <p>The organization shall retain documented information as evidence of the results of management reviews.</p>	<ul style="list-style-type: none"> <li>- monitoring and measurement results, including</li> <li>- the environmental performance of the organization,</li> <li>- the extent to which objectives and targets have been met, and</li> <li>- environmental management system audits results;</li> </ul> <p>d) opportunities for continual improvement;</p> <p>e) evaluations of compliance with legal requirements and with other requirements to which the organization subscribes;</p> <p>f) communication(s) from external interested parties, including complaints.</p> <p>The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the environmental management system, including the environmental policy and environmental objectives and targets.</p> <p>The organization shall retain documented information as evidence of the results of the management reviews.</p>	<p>and with other requirements to which the organization subscribes;.</p> <ul style="list-style-type: none"> <li>f) the extent to which OH&amp;S policy and objectives have been met;</li> <li>g) status of incident investigations, corrective actions and preventive actions; and</li> <li>h) opportunities and recommendations for continual improvement.</li> </ul> <p>The outputs of the management review shall include decisions related to the organization's commitment to continual improvement opportunities and any need for changes to the OH&amp;S management system, in particular:</p> <ul style="list-style-type: none"> <li>a) OH&amp;S performance;</li> <li>b) OH&amp;S policy and objectives;</li> <li>c) resources; and</li> <li>d) other elements of the OH&amp;S management system.</li> </ul> <p>The organization shall retain documented information as evidence of the results of management reviews. Relevant document information shall be made available for communication and consultation</p>	
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<p><b>10. Improvement</b></p> <p><b>10.1 Nonconformity and corrective action</b></p> <p>When a nonconformity occurs, the organization shall:</p> <p>a) react to the nonconformity, and as applicable</p> <ul style="list-style-type: none"> <li>— take action to control and correct it, and</li> <li>— deal with the consequences;</li> </ul> <p>b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by</p> <ul style="list-style-type: none"> <li>— reviewing the nonconformity</li> <li>— determining the causes of the nonconformity, and</li> <li>— determining if similar nonconformities exist, or could potentially</li> </ul>	<p><b>10. Improvement</b></p> <p><b>10.1 Nonconformity and corrective action</b></p> <p>The organization shall establish, implement and maintain procedures for dealing with nonconformities and taking corrective action.</p> <p>When a nonconformity occurs, the organization shall:</p> <p>a) react to the nonconformity, and as applicable</p> <ul style="list-style-type: none"> <li>- take action to control and correct it, and</li> <li>- deal with the consequences, including the mitigation of any environmental impact;</li> </ul> <p>b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by</p> <ul style="list-style-type: none"> <li>- reviewing the nonconformity</li> <li>- determining the causes of the nonconformity, and</li> <li>- determining if similar nonconformities exist, or could potentially occur;</li> </ul>	<p><b>10 Improvement</b></p> <p><b>10.1 Incident investigation, nonconformity and corrective action</b></p> <p>The organization shall establish, implement and maintain a process for dealing with incidents, nonconformities and taking corrective action.</p> <p>When an incident or a nonconformity occurs, the organization shall:</p> <p>a) react to the incident or nonconformity, and as applicable</p> <ul style="list-style-type: none"> <li>— take action to control and correct it, and</li> <li>— deal with the consequences;</li> </ul> <p>b) evaluate the need for action to eliminate the causes of the incident or nonconformity, in order that it does not recur or occur elsewhere, by</p> <ul style="list-style-type: none"> <li>— reviewing the incident or nonconformity</li> <li>— investigating to determine the underlying OH&amp;S deficiencies and other contributing factors, causes of the incident or nonconformity, and</li> <li>— determining if similar</li> </ul>	<p>14001 text not relevant to OH&amp;S</p>
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<p>occur;</p> <p>c) implement any action needed;</p> <p>d) review the effectiveness of any corrective action taken; and</p> <p>e) make changes to the XXX management system, if necessary.</p> <p>Corrective actions shall be appropriate to the effects of the nonconformities encountered.</p> <p>The organization shall retain documented information as evidence of</p> <ul style="list-style-type: none"> <li>— the nature of the nonconformities and any subsequent actions taken, and</li> <li>— the results of any corrective action.</li> </ul>	<p>c) implement any action needed;</p> <p>d) review the effectiveness of any corrective action taken; and</p> <p>e) make changes to the environmental management system, if necessary.</p> <p>Corrective actions shall be appropriate to the effects of the nonconformities encountered, to the magnitude of the problems and the environmental impacts encountered.</p> <p>The organization shall retain documented information as evidence of</p> <ul style="list-style-type: none"> <li>- the nature of the nonconformities and any subsequent actions taken, and</li> <li>- the results of any corrective action.</li> </ul>	<p>conditions or nonconformities exist, or could potentially occur;</p> <p>c) implement any action needed;</p> <p>d) review the effectiveness of any corrective action taken;</p> <p>e) communicating the results of corrective action(s) and</p> <p>f) make changes to the OH&amp;S management system, if necessary.</p> <p>Corrective actions shall be appropriate to the effects or potential effects of the incidents or nonconformities encountered and with the OH&amp;S risk(s) encountered.</p> <p>The organization shall retain and maintain documented information as evidence of</p> <ul style="list-style-type: none"> <li>— the nature of the incidents and nonconformities and any subsequent actions taken, and</li> <li>— the results of any corrective action.</li> </ul> <p>The investigations shall be performed within a reasonable time following an incident, by competent persons.</p> <p>Where the corrective action and preventive action identifies new or changed hazards or the need for new or</p>	<p>14001 text not relevant to OH&amp;S</p> <p>Preventive action ?</p>
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		changed controls, the procedure shall require that the proposed actions shall be taken through a risk assessment prior to implementation.	
<b>10.2 Continual improvement</b> The organization shall continually improve the suitability, adequacy and effectiveness of the XXX management system.	<b>10.2 Continual improvement</b> The organization shall continually improve the suitability, adequacy and effectiveness of the environmental management system in order to enhance its environmental performance.	<b>10.2 Continual improvement</b> The organization shall continually improve the suitability, adequacy and effectiveness of the OH&S management system in order to enhance its OH&S performance.	

## Transposition of OHSAS 18001 into the Annex SL, High Level Structure

OHSAS 18001:2007	Location in Annex SL	Commentary
Introduction  (not repeated, to save space)	Introduction	
<p><b>1 Scope</b></p> <p>This Occupational Health and Safety Assessment Series (OHSAS) Standard specifies requirements for an occupational health and safety (OH&amp;S) management system, to enable an organization to control its OH&amp;S risks and improve its OH&amp;S performance. It does not state specific OH&amp;S performance criteria, nor does it give detailed specifications for the design of a management system.</p> <p>This OHSAS Standard is applicable to any organization that wishes to:</p> <ul style="list-style-type: none"> <li>a) establish an OH&amp;S management system to eliminate or minimize risks to personnel and other interested parties who could be exposed to OH&amp;S hazards associated with its activities;</li> <li>b) implement, maintain and continually improve an OH&amp;S management system;</li> <li>c) assure itself of its conformity with its stated OH&amp;S policy;</li> <li>d) demonstrate conformity with this OHSAS Standard by: <ul style="list-style-type: none"> <li>1) making a self-determination and self-declaration, or</li> <li>2) seeking confirmation of its conformance by parties having an interest in the organization, such as customers, or</li> <li>3) seeking confirmation of its self-declaration by a party external to the organization, or</li> <li>4) seeking certification/registration of its OH&amp;S management system by an external organization.</li> </ul> </li> </ul> <p>All the requirements in this OHSAS Standard are intended to be incorporated into any OH&amp;S management system. The extent of the application will depend on such factors as the OH&amp;S policy of the organization, the nature of its activities and the risks and complexity of its operations.</p>	1 Scope	

<p>This OHSAS Standard is intended to address occupational health and safety, and is not intended to address other health and safety areas such as employee wellbeing/wellness programmes, product safety, property damage or environmental impacts.</p>		
<p><b>2 Reference publications</b>  Other publications that provide information or guidance are listed in the bibliography. It is advisable that the latest editions of such publications be consulted. Specifically, reference should be made to:</p> <p>OHSAS 18002, <i>Occupational health and safety management systems – Guidelines for the implementation of OHSAS 18001</i></p> <p>International Labour Organization:2001, <i>Guidelines on Occupational Health and Safety Management Systems (OSH-MS)</i></p>	Not used	Not an accepted clause title for an ISO. References will have to be listed in a Bibliography
<p><b>3 Terms and definitions</b>  For the purposes of this document, the following terms and definitions apply.</p>	3	
<p><b>3.1 acceptable risk</b>  risk that has been reduced to a level that can be tolerated by the organization having regard to its legal obligations and its own <b>OH&amp;S policy (3.16)</b></p>	Not in Annex SL	
<p><b>3.2 audit</b>  systematic, independent and documented process for obtaining “audit evidence” and evaluating it objectively to determine the extent to which “audit criteria” are fulfilled  [ISO 9000:2005, <b>3.9.1</b>]  <i>NOTE 1 Independent does not necessarily mean external to the organization. In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited.</i>  <i>NOTE 2 For further guidance on “audit evidence” and “audit criteria”, see ISO 19011.</i></p>	3.17	
<p><b>3.3 continual improvement</b>  recurring process of enhancing the <b>OH&amp;S management system (3.13)</b> in order to achieve improvements in overall</p>	3.22	



<p><b>OH&amp;S performance (3.15)</b> consistent with the <b>organization's (3.17) OH&amp;S policy (3.16)</b></p> <p><i>NOTE 1 The process need not take place in all areas of activity simultaneously.</i></p> <p><i>NOTE 2 Adapted from ISO 14001:2004, 3.2.</i></p>		
<p><b>3.4 corrective action</b> action to eliminate the cause of a detected <b>nonconformity (3.11)</b> or other undesirable situation</p> <p><i>NOTE 1 There can be more than one cause for a nonconformity.</i></p> <p><i>NOTE 2 Corrective action is taken to prevent recurrence whereas <b>preventive action (3.18)</b> is taken to prevent occurrence.</i> [ISO 9000:2005, 3.6.5]</p>	3.21	
<p><b>3.5 document</b> information and its supporting medium</p> <p><i>NOTE The medium can be paper, magnetic, electronic or optical computer disc, photograph or master sample, or a combination thereof.</i> [ISO 14001:2004, 3.4]</p>	Not in Annex SL,	assumed covered by 3.11 documented information
<p><b>3.6 hazard</b> source, situation, or act with a potential for harm in terms of human injury or <b>ill health (3.8)</b>, or a combination of these</p>	Not in Annex SL	
<p><b>3.7 hazard identification</b> process of recognizing that a <b>hazard (3.6)</b> exists and defining its characteristics</p>	Not in Annex SL	
<p><b>3.8 ill health</b> identifiable, adverse physical or mental condition arising from and/or made worse by a work activity and/or work-related situation</p>	Not in Annex SL	
<b>3.9 incident</b>	Not in Annex SL	

<p>work-related event(s) in which an injury or <b>ill health (3.8)</b> (regardless of severity) or fatality occurred, or could have occurred</p> <p><i>NOTE 1 An accident is an incident which has given rise to injury, ill health or fatality.</i></p> <p><i>NOTE 2 An incident where no injury, ill health, or fatality occurs may also be referred to as a “near-miss”, “near-hit”, “close call” or “dangerous occurrence”.</i></p> <p><i>NOTE 3 An emergency situation (see 4.4.7) is a particular type of incident.</i></p>		
<p><b>3.10 interested party</b> person or group, inside or outside the <b>workplace (3.23)</b>, concerned with or affected by the <b>OH&amp;S performance (3.15)</b> of an <b>organization (3.17)</b></p>	3.02	
<p><b>3.11 nonconformity</b> non-fulfilment of a requirement [ISO 9000:2005, 3.6.2; ISO 14001, 3.15]</p> <p><i>NOTE A nonconformity can be any deviation from:</i></p> <ul style="list-style-type: none"> <li>• relevant work standards, practices, procedures, legal requirements, etc.</li> <li>• <b>OH&amp;S management system (3.13)</b> requirements.</li> </ul>	3.19	
<p><b>3.12 occupational health and safety (OH&amp;S)</b> conditions and factors that affect, or could affect, the health and safety of employees or other workers (including temporary workers and contractor personnel), visitors, or any other person in the <b>workplace (3.23)</b></p> <p><i>NOTE Organizations can be subject to legal requirements for the health and safety of persons beyond the immediate workplace, or who are exposed to the workplace activities.</i></p>	Not in Annex SL	
<p><b>3.13 OH&amp;S management system</b> part of an <b>organization’s (3.17)</b> management system used to develop</p>	3.04	

<p>and implement its <b>OH&amp;S policy (3.16)</b> and manage its <b>OH&amp;S risks (3.21)</b></p> <p><i>NOTE 1 A management system is a set of interrelated elements used to establish policy and objectives and to achieve those objectives.</i></p> <p><i>NOTE 2 A management system includes organizational structure, planning activities (including, for example, risk assessment and the setting of objectives), responsibilities, practices, <b>procedures (3.19)</b>, processes and resources.</i></p> <p><i>NOTE 3 Adapted from ISO 14001:2004, 3.8.</i></p>		
<p><b>3.14 OH&amp;S objective</b> OH&amp;S goal, in terms of <b>OH&amp;S performance (3.15)</b>, that an <b>organization (3.17)</b> sets itself to achieve</p> <p><i>NOTE 1 Objectives should be quantified wherever practicable.</i></p> <p><i>NOTE 2 4.3.3 requires that OH&amp;S objectives are consistent with the <b>OH&amp;S policy (3.16)</b>.</i></p>	3.08	
<p><b>3.15 OH&amp;S performance</b> measurable results of an <b>organization's (3.17)</b> management of its <b>OH&amp;S risks (3.21)</b></p> <p><i>NOTE 1 OH&amp;S performance measurement includes measuring the effectiveness of the organization's controls.</i></p> <p><i>NOTE 2 In the context of <b>OH&amp;S management systems (3.13)</b>, results can also be measured against the <b>organization's (3.17) OH&amp;S policy (3.16)</b>, <b>OH&amp;S objectives (3.14)</b>, and other OH&amp;S performance requirements.</i></p>	3.13	
<p><b>3.16 OH&amp;S policy</b> overall intentions and direction of an <b>organization (3.17)</b> related to its <b>OH&amp;S performance (3.15)</b> as formally expressed by top management</p> <p><i>NOTE 1 The OH&amp;S policy provides a framework for action and for the</i></p>	3.07	

<p><i>setting of <b>OH&amp;S objectives</b> (3.14)</i></p> <p><i>NOTE 2 Adapted from ISO 14001:2004, 3.11.</i></p>		
<p><b>3.17 organization</b> company, corporation, firm, enterprise, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions and administration</p> <p><i>NOTE For organizations with more than one operating unit, a single operating unit may be defined as an organization.</i> [ISO 14001:2004, 3.16]</p>	3.01	Replaced by Annex L definition 3.01
<p><b>3.18 preventive action</b> action to eliminate the cause of a potential <b>nonconformity</b> (3.11) or other undesirable potential situation</p> <p><i>NOTE 1 There can be more than one cause for a potential nonconformity.</i></p> <p><i>NOTE 2 Preventive action is taken to prevent occurrence whereas <b>corrective action</b> (3.4) is taken to prevent recurrence.</i> [ISO 9000:2005, 3.6.4]</p>	Not in Annex SL	
<p><b>3.19 procedure</b> specified way to carry out an activity or a process</p> <p><i>NOTE Procedures can be documented or not.</i> [ISO 9000:2005, 3.4.5]</p>	Not in Annex SL	Annex SL refers to processes, not procedures (def, 3.12)
<p><b>3.20 record document</b> (3.5) stating results achieved or providing evidence of activities performed [ISO 14001:2004, 3.20]</p>	Not in Annex SL	assumed covered by 3.11 documented information
<p><b>3.21 risk</b> combination of the likelihood of an occurrence of a hazardous event or exposure(s) and the severity of injury or <b>ill health</b> (3.8) that can be caused by the event or exposure(s)</p>	3.09	

<b>3.22 risk assessment</b> process of evaluating the <b>risk(s)</b> (3.21) arising from a hazard(s), taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable	Not in Annex SL	
<b>3.23 workplace</b> any physical location in which work related activities are performed under the control of the organization  <i>NOTE When giving consideration to what constitutes a workplace, the <b>organization</b> (3.17) should take into account the OH&amp;S effects on personnel who are, for example, travelling or in transit (e.g. driving, flying, on boats or trains), working at the premises of a client or customer, or working at home.</i>	Not in Annex SL	
<b>4 OH&amp;S management system Requirements</b>  <b>4.1 General requirements</b>  The organization shall establish, document, implement, maintain and continually improve an OH&S management system in accordance with the requirements of this OHSAS Standard and determine how it will fulfil these requirements. The organization shall define and document the scope of its OH&S management system.	4.3 and 4.4	
<b>4.2 OH&amp;S policy</b> Top management shall define and authorize the organization's OH&S policy and ensure that within the defined scope of its OH&S management system it: <ul style="list-style-type: none"> <li>a) is appropriate to the nature and scale of the organization's OH&amp;S risks;</li> <li>b) includes a commitment to prevention of injury and ill health and continual improvement in OH&amp;S management and OH&amp;S performance;</li> <li>c) includes a commitment to at least comply with applicable legal requirements and with other requirements to which the organization subscribes that relate to its OH&amp;S hazards;</li> <li>d) provides the framework for setting and reviewing OH&amp;S</li> </ul>	5.2	

<p>objectives;</p> <p>e) is documented, implemented and maintained;</p> <p>f) is communicated to all persons working under the control of the organization with the intent that they are made aware of their individual OH&amp;S obligations;</p> <p>g) is available to interested parties; and</p> <p>h) is reviewed periodically to ensure that it remains relevant and appropriate to the organization.</p>		
<p><b>4.3 Planning</b></p> <p><b>4.3.1 Hazard identification, risk assessment and determining controls</b></p> <p>The organization shall establish, implement and maintain a procedure(s) for the ongoing hazard identification, risk assessment, and determination of necessary controls.</p> <p>The procedure(s) for hazard identification and risk assessment shall take into account:</p> <p>a) routine and non-routine activities;</p> <p>b) activities of all persons having access to the workplace (including contractors and visitors);</p> <p>c) human behaviour, capabilities and other human factors;</p> <p>d) identified hazards originating outside the workplace capable of adversely affecting the health and safety of persons under the control of the organization within the workplace;</p> <p>e) hazards created in the vicinity of the workplace by work-related activities under the control of the organization;</p> <p><i>NOTE 1 It may be more appropriate for such hazards to be assessed as an environmental aspect</i></p> <p>.</p> <p>f) infrastructure, equipment and materials at the workplace, whether provided by the organization or others;</p> <p>g) changes or proposed changes in the organization, its activities, or materials;</p> <p>h) modifications to the OH&amp;S management system, including temporary changes, and their impacts on operations, processes, and activities;</p>	6.1	

<p>i) any applicable legal obligations relating to risk assessment and implementation of necessary controls (see also the NOTE to <b>3.12</b>);</p> <p>j) the design of work areas, processes, installations, machinery/equipment, operating procedures and work organization, including their adaptation to human capabilities.</p> <p>The organization's methodology for hazard identification and risk assessment shall:</p> <p>a) be defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive; and</p> <p>b) provide for the identification, prioritization and documentation of risks, and the application of controls, as appropriate.</p> <p>For the management of change, the organization shall identify the OH&amp;S hazards and OH&amp;S risks associated with changes in the organization, the OH&amp;S management system, or its activities, prior to the introduction of such changes.</p> <p>The organization shall ensure that the results of these assessments are considered when determining controls.</p> <p>When determining controls, or considering changes to existing controls, consideration shall be given to reducing the risks according to the following hierarchy:</p> <p>a) elimination;</p> <p>b) substitution;</p> <p>c) engineering controls;</p> <p>d) signage/warnings and/or administrative controls;</p> <p>e) personal protective equipment.</p> <p>The organization shall document and keep the results of identification of hazards, risk assessments and determined controls up-to-date.</p> <p>The organization shall ensure that the OH&amp;S risks and determined controls are taken into account when establishing, implementing and maintaining its OH&amp;S management system.</p> <p><i>NOTE 2 For further guidance on hazard identification, risk assessment and determining controls, see OHSAS 18002.</i></p>		
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<p><b>4.3.2 Legal and other requirements</b></p> <p>The organization shall establish, implement and maintain a procedure(s) for identifying and accessing the legal and other OH&amp;S requirements that are applicable to it.</p> <p>The organization shall ensure that these applicable legal requirements and other requirements to which the organization subscribes are taken into account in establishing, implementing and maintaining its OH&amp;S management system.</p> <p>The organization shall keep this information up-to-date.</p> <p>The organization shall communicate relevant information on legal and other requirements to persons working under the control of the organization, and other relevant interested parties.</p>	<p>5.2, 6.1 and 6.2</p>	
<p><b>4.3.3 Objectives and programme(s)</b></p> <p>The organization shall establish, implement and maintain documented OH&amp;S objectives, at relevant functions and levels within the organization.</p> <p>The objectives shall be measurable, where practicable, and consistent with the OH&amp;S policy, including the commitments to the prevention of injury and ill health, to compliance with applicable legal requirements and with other requirements to which the organization subscribes, and to continual improvement.</p> <p>When establishing and reviewing its objectives, an organization shall take into account the legal requirements and other requirements to which the organization subscribes, and its OH&amp;S risks. It shall also consider its technological options, its financial, operational and business requirements, and the views of relevant interested parties.</p> <p>The organization shall establish, implement and maintain a programme(s) for achieving its objectives. Programme(s) shall include as a minimum:</p> <ul style="list-style-type: none"> <li>a) designation of responsibility and authority for achieving objectives at relevant functions and levels of the organization; and</li> <li>b) the means and time-frame by which the objectives are to be</li> </ul>	<p>6.2</p>	



<p>achieved.</p> <p>The programme(s) shall be reviewed at regular and planned intervals, and adjusted as necessary, to ensure that the objectives are achieved.</p>		
<p><b>4.4 Implementation and operation</b></p> <p><b>4.4.1 Resources, roles, responsibility, accountability and authority</b></p> <p>Top management shall take ultimate responsibility for OH&amp;S and the OH&amp;S management system.</p> <p>Top management shall demonstrate its commitment by:</p> <p>a) ensuring the availability of resources essential to establish, implement, maintain and improve the OH&amp;S management system;</p> <p><i>NOTE 1 Resources include human resources and specialized skills, organizational infrastructure, technology and financial resources.</i></p> <p>b) defining roles, allocating responsibilities and accountabilities, and delegating authorities, to facilitate effective OH&amp;S management; roles, responsibilities, accountabilities, and authorities shall be documented and communicated.</p> <p>The organization shall appoint a member(s) of top management with specific responsibility for OH&amp;S, irrespective of other responsibilities, and with defined roles and authority for:</p> <p>a) ensuring that the OH&amp;S management system is established, implemented and maintained in accordance with this OHSAS Standard;</p> <p>b) ensuring that reports on the performance of the OH&amp;S management system are presented to top management for review and used as a basis for improvement of the OH&amp;S management system.</p> <p><i>NOTE 2 The top management appointee (e.g. in a large organization, a Board or executive committee member) may delegate some of their duties to a subordinate management representative(s) while still retaining accountability.</i></p>	<p>5.3</p>	

<p>The identity of the top management appointee shall be made available to all persons working under the control of the organization.</p> <p>All those with management responsibility shall demonstrate their commitment to the continual improvement of OH&amp;S performance.</p> <p>The organization shall ensure that persons in the workplace take responsibility for aspects of OH&amp;S over which they have control, including adherence to the organization's applicable OH&amp;S requirements.</p>		
<p><b>4.4.2 Competence, training and awareness</b></p> <p>The organization shall ensure that any person(s) under its control performing tasks that can impact on OH&amp;S is (are) competent on the basis of appropriate education, training or experience, and shall retain associated records.</p> <p>The organization shall identify training needs associated with its OH&amp;S risks and its OH&amp;S management system. It shall provide training or take other action to meet these needs, evaluate the effectiveness of the training or action taken, and retain associated records.</p> <p>The organization shall establish, implement and maintain a procedure(s) to make persons working under its control aware of:</p> <ul style="list-style-type: none"> <li>a) the OH&amp;S consequences, actual or potential, of their work activities, their behaviour, and the OH&amp;S benefits of improved personal performance;</li> <li>b) their roles and responsibilities and importance in achieving conformity to the OH&amp;S policy and procedures and to the requirements of the OH&amp;S management system, including emergency preparedness and response requirements (see <b>4.4.7</b>);</li> <li>c) the potential consequences of departure from specified procedures.</li> </ul> <p>Training procedures shall take into account differing levels of:</p> <ul style="list-style-type: none"> <li>a) responsibility, ability, language skills and literacy; and</li> <li>b) risk.</li> </ul>	<p>7.2 and 7.3</p>	

<p><b>4.4.3 Communication, participation and consultation</b></p> <p><b>4.4.3.1 Communication</b></p> <p>With regard to its OH&amp;S hazards and OH&amp;S management system, the organization shall establish, implement and maintain a procedure(s) for:</p> <p>a) internal communication among the various levels and functions of the organization;</p> <p>b) communication with contractors and other visitors to the workplace;</p> <p>c) receiving, documenting and responding to relevant communications from external interested parties.</p>	<p>7.4</p> <p>7.4.1</p>	
<p><b>4.4.3.2 Participation and consultation</b></p> <p>The organization shall establish, implement and maintain a procedure(s) for:</p> <p>a) the participation of workers by their:</p> <ul style="list-style-type: none"> <li>• appropriate involvement in hazard identification, risk assessments and determination of controls;</li> <li>• appropriate involvement in incident investigation;</li> <li>• involvement in the development and review of OH&amp;S policies and objectives;</li> <li>• consultation where there are any changes that affect their OH&amp;S;</li> <li>• representation on OH&amp;S matters.</li> </ul> <p>Workers shall be informed about their participation arrangements, including who is their representative(s) on OH&amp;S matters.</p> <p>b) consultation with contractors where there are changes that affect their OH&amp;S.</p> <p>The organization shall ensure that, when appropriate, relevant external interested parties are consulted about pertinent OH&amp;S matters.</p>	<p>7.4.2</p>	
<p><b>4.4.4 Documentation</b></p> <p>The OH&amp;S management system documentation shall include:</p> <p>a) the OH&amp;S policy and objectives;</p>	<p>7.5</p>	

<p>b) description of the scope of the OH&amp;S management system;  c) description of the main elements of the OH&amp;S management system and their interaction, and reference to related documents;  d) documents, including records, required by this OHSAS Standard; and  e) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to the management of its OH&amp;S risks.</p> <p><i>NOTE It is important that documentation is proportional to the level of complexity, hazards and risks concerned and is kept to the minimum required for effectiveness and efficiency.</i></p>		
<p><b>4.4.5 Control of documents</b></p> <p>Documents required by the OH&amp;S management system and by this OHSAS Standard shall be controlled. Records are a special type of document and shall be controlled in accordance with the requirements given in <b>4.5.4</b>.</p> <p>The organization shall establish, implement and maintain a procedure(s) to:</p> <ul style="list-style-type: none"> <li>a) approve documents for adequacy prior to issue;</li> <li>b) review and update as necessary and re-approve documents;</li> <li>c) ensure that changes and the current revision status of documents are identified;</li> <li>d) ensure that relevant versions of applicable documents are available at points of use;</li> <li>e) ensure that documents remain legible and readily identifiable;</li> <li>f) ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the OH&amp;S management system are identified and their distribution controlled; and</li> <li>g) prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose.</li> </ul>	7.5.3	
<b>4.4.6 Operational control</b>	8 and 8.1	

<p>The organization shall determine those operations and activities that are associated with the identified hazard(s) where the implementation of controls is necessary to manage the OH&amp;S risk(s). This shall include the management of change (see <b>4.3.1</b>).</p> <p>For those operations and activities, the organization shall implement and maintain:</p> <ul style="list-style-type: none"> <li>a) operational controls, as applicable to the organization and its activities; the organization shall integrate those operational controls into its overall OH&amp;S management system;</li> <li>b) controls related to purchased goods, equipment and services;</li> <li>c) controls related to contractors and other visitors to the workplace;</li> <li>d) documented procedures, to cover situations where their absence could lead to deviations from the OH&amp;S policy and the objectives;</li> <li>e) stipulated operating criteria where their absence could lead to deviations from the OH&amp;S policy and objectives.</li> </ul>		
<p><b>4.4.7 Emergency preparedness and response</b></p> <p>The organization shall establish, implement and maintain a procedure(s):</p> <ul style="list-style-type: none"> <li>a) to identify the potential for emergency situations;</li> <li>b) to respond to such emergency situations.</li> </ul> <p>The organization shall respond to actual emergency situations and prevent or mitigate associated adverse OH&amp;S consequences.</p> <p>In planning its emergency response the organization shall take account of the needs of relevant interested parties, e.g. emergency services and neighbours.</p> <p>The organization shall also periodically test its procedure(s) to respond to emergency situations, where practicable, involving relevant interested parties as appropriate.</p> <p>The organization shall periodically review and, where necessary, revise its emergency preparedness and response procedure(s), in particular, after periodical testing and after the occurrence of emergency situations (see <b>4.5.3</b>).</p>	8.2	

<p><b>4.5 Checking</b></p> <p><b>4.5.1 Performance measurement and monitoring</b></p> <p>The organization shall establish, implement and maintain a procedure(s) to monitor and measure OH&amp;S performance on a regular basis. This procedure(s) shall provide for:</p> <ul style="list-style-type: none"> <li>a) both qualitative and quantitative measures, appropriate to the needs of the organization;</li> <li>b) monitoring of the extent to which the organization's OH&amp;S objectives are met;</li> <li>c) monitoring the effectiveness of controls (for health as well as for safety);</li> <li>d) proactive measures of performance that monitor conformance with the OH&amp;S programme(s), controls and operational criteria;</li> <li>e) reactive measures of performance that monitor ill health, incidents (including accidents, near-misses, etc.), and other historical evidence of deficient OH&amp;S performance;</li> <li>f) recording of data and results of monitoring and measurement sufficient to facilitate subsequent corrective action and preventive action analysis.</li> </ul> <p>If equipment is required to monitor or measure performance, the organization shall establish and maintain procedures for the calibration and maintenance of such equipment, as appropriate. Records of calibration and maintenance activities and results shall be retained.</p>	9, 9.1 and 9.1.1	
<p><b>4.5.2 Evaluation of compliance</b></p> <p><b>4.5.2.1</b> Consistent with its commitment to compliance [see 4.2c)], the organization shall establish, implement and maintain a procedure(s) for periodically evaluating compliance with applicable legal requirements (see 4.3.2).</p> <p>The organization shall keep records of the results of the periodic evaluations.</p> <p><i>NOTE The frequency of periodic evaluation may vary for differing legal</i></p>	9.1.2	

<p><i>requirements.</i></p> <p><b>4.5.2.2</b> The organization shall evaluate compliance with other requirements to which it subscribes (see <b>4.3.2</b>). The organization may wish to combine this evaluation with the evaluation of legal compliance referred to in <b>4.5.2.1</b> or to establish a separate procedure(s).</p> <p>The organization shall keep records of the results of the periodic evaluations.</p> <p><i>NOTE The frequency of periodic evaluation may vary for differing other requirements to which the organization subscribes.</i></p>		
<p><b>4.5.3 Incident investigation, nonconformity, corrective action and preventive action</b></p> <p><b>4.5.3.1 Incident investigation</b></p> <p>The organization shall establish, implement and maintain a procedure(s) to record, investigate and analyse incidents in order to:</p> <ul style="list-style-type: none"> <li>a) determine underlying OH&amp;S deficiencies and other factors that might be causing or contributing to the occurrence of incidents;</li> <li>b) identify the need for corrective action;</li> <li>c) identify opportunities for preventive action;</li> <li>d) identify opportunities for continual improvement;</li> <li>e) communicate the results of such investigations.</li> </ul> <p>The investigations shall be performed in a timely manner.</p> <p>Any identified need for corrective action or opportunities for preventive action shall be dealt with in accordance with the relevant parts of <b>4.5.3.2</b>.</p> <p>The results of incident investigations shall be documented and maintained.</p>	10 and 10.1	
<p><b>4.5.3.2 Nonconformity, corrective action and preventive action</b></p> <p>The organization shall establish, implement and maintain a procedure(s) for dealing with actual and potential nonconformity(ies) and</p>	10.1	

<p>for taking corrective action and preventive action. The procedure(s) shall define requirements for:</p> <ul style="list-style-type: none"> <li>a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate their OH&amp;S consequences;</li> <li>b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence;</li> <li>c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence;</li> <li>d) recording and communicating the results of corrective action(s) and preventive action(s) taken; and</li> <li>e) reviewing the effectiveness of corrective action(s) and preventive action(s) taken.</li> </ul> <p>Where the corrective action and preventive action identifies new or changed hazards or the need for new or changed controls, the procedure shall require that the proposed actions shall be taken through a risk assessment prior to implementation.</p> <p>Any corrective action or preventive action taken to eliminate the causes of actual and potential nonconformity(ies) shall be appropriate to the magnitude of problems and commensurate with the OH&amp;S risk(s) encountered.</p> <p>The organization shall ensure that any necessary changes arising from corrective action and preventive action are made to the OH&amp;S management system documentation.</p>		
<p><b>4.5.4 Control of records</b></p> <p>The organization shall establish and maintain records as necessary to demonstrate conformity to the requirements of its OH&amp;S management system and of this OHSAS Standard, and the results achieved.</p> <p>The organization shall establish, implement and maintain a procedure(s) for the identification, storage, protection, retrieval, retention and disposal of records.</p> <p>Records shall be and remain legible, identifiable and traceable.</p>	<p>Assumed to be covered by 7.5.3</p>	



<p><b>4.5.5 Internal audit</b></p> <p>The organization shall ensure that internal audits of the OH&amp;S management system are conducted at planned intervals to:</p> <p>a) determine whether the OH&amp;S management system:</p> <ol style="list-style-type: none"> <li>1) conforms to planned arrangements for OH&amp;S management, including the requirements of this OHSAS Standard; and</li> <li>2) has been properly implemented and is maintained; and</li> <li>3) is effective in meeting the organization's policy and objectives;</li> </ol> <p>b) provide information on the results of audits to management.</p> <p>Audit programme(s) shall be planned, established, implemented and maintained by the organization, based on the results of risk assessments of the organization's activities, and the results of previous audits.</p> <p>Audit procedure(s) shall be established, implemented and maintained that address:</p> <ol style="list-style-type: none"> <li>a) the responsibilities, competencies, and requirements for planning and conducting audits, reporting results and retaining associated records; and</li> <li>b) the determination of audit criteria, scope, frequency and methods.</li> </ol> <p>Selection of auditors and conduct of audits shall ensure objectivity and the impartiality of the audit process.</p>	<p>9.2</p>	
<p><b>4.6 Management review</b></p> <p>Top management shall review the organization's OH&amp;S management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. Reviews shall include assessing opportunities for improvement and the need for changes to the OH&amp;S management system, including the OH&amp;S policy and OH&amp;S objectives.</p> <p>Records of the management reviews shall be retained.</p> <p>Input to management reviews shall include:</p> <ol style="list-style-type: none"> <li>a) results of internal audits and evaluations of compliance with applicable legal requirements and with other requirements to which the organization subscribes;</li> <li>b) the results of participation and consultation (see <b>4.4.3</b>);</li> </ol>	<p>9.3</p>	

<p>c) relevant communication(s) from external interested parties, including complaints;</p> <p>d) the OH&amp;S performance of the organization;</p> <p>e) the extent to which objectives have been met;</p> <p>f) status of incident investigations, corrective actions and preventive actions;</p> <p>g) follow-up actions from previous management reviews;</p> <p>h) changing circumstances, including developments in legal and other requirements related to OH&amp;S; and</p> <p>i) recommendations for improvement.</p> <p>The outputs from management reviews shall be consistent with the organization's commitment to continual improvement and shall include any decisions and actions related to possible changes to:</p> <p>a) OH&amp;S performance;</p> <p>b) OH&amp;S policy and objectives;</p> <p>c) resources; and</p> <p>d) other elements of the OH&amp;S management system.</p> <p>Relevant outputs from management review shall be made available for communication and consultation (see <b>4.4.3</b>).</p>		
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