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Management de la santé et de la sécurité au travail — Lignes directrices relative à l'évaluation des performances

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**Occupational health and safety
management — Guidelines on
performance evaluation**

*Management de la santé et de la sécurité au travail — Lignes
directrices relative à l'évaluation des performances*

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Foreword

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

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

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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 283, *Occupational health and safety management*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

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Introduction

This document is intended to help organizations to effectively monitor, measure, analyse and evaluate occupational health and safety (OH&S) performance.

OH&S performance evaluation includes the processes that the organization uses to assess the adequacy of activities that are expected to achieve intended results. OH&S performance is normally evaluated by using a combination of processes and sources of information such as incident investigations, inspections, audits, qualitative and quantitative indicators, culture surveys and interviews.

This document gives guidance on performance evaluation processes, including:

- selection and use of performance processes including indicators;
- monitoring and measuring to obtain data;
- analysing the data to allow performance of evaluation;
- unintended consequences;
- limitations, such as under- and over-reporting, and data distortion.

This document can be used by organizations of all types, regardless of whether they have implemented a formal OH&S management system (see ISO 45001 and ISO 45002).

This document provides examples which demonstrate how to evaluate performance to drive continual improvement and support the organization in achieving its intended results.

This document recommends a balanced approach based on selection of performance evaluation processes and indicators, with emphasis on proactive (leading) OH&S performance indicators. It recognizes that over-emphasis on past performance (lagging) indicators, such as incidence and frequency rates, can undermine efforts to improve OH&S performance.

As every organization is unique, and intended results vary, there is not a standardized set of performance evaluation processes or set of indicators that fulfil the needs of all organizations. Therefore, every organization has to identify performance evaluation processes and indicators to suit its needs.

Effective performance evaluation can help the organization to demonstrate continual improvement, and therefore may need to be adjusted when the organization's performance changes. Effectiveness is the result of selecting the appropriate performance evaluation processes and properly implementing them. When performance evaluation processes are used inappropriately (e.g. in a way that is perceived to blame individuals for system deficiencies), they can produce unintended consequences. The most common of these consequences are discussed in this document.

This document is designed to complement ISO 45001 by providing performance evaluation approaches that align with requirements of that standard. This document can be used independently, by any organization, to improve OH&S performance.

Occupational health and safety management — Guidelines on performance evaluation

1 Scope

This document gives guidance regarding how organizations can establish monitoring, measurement, analysis and evaluation processes, including the development of relevant indicators for the assessment of occupational health and safety (OH&S) performance. It enables organizations to determine if intended results are being achieved, including continual improvement of OH&S performance.

This document is applicable to all organizations regardless of type, industry sector, level of risk, size or location. It can be used independently or as part of OH&S management systems, including those based on ISO 45001:2018, or other standards or guidelines.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 45001:2018, *Occupational health and safety management systems — Requirements with guidance for use*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 45001:2018 and the following apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <https://www.electropedia.org/>

3.1 measurement

process to determine a value

Note 1 to entry: Measurement can relate to managing activities, processes, products, services, systems or organizations.

[SOURCE: ISO 45001:2018, 3.31, modified — Note 1 to entry replaced.]

3.2 indicator

variable that can be measured or described, representing the status or a characteristic of operations, processes, management, and conditions or outcomes

Note 1 to entry: Indicators are generally measurable and can be quantitative or qualitative.

Note 2 to entry: Lagging indicators relate to past performance.

Note 3 to entry: Leading indicators relate to factors that can influence future performance.

Note 4 to entry: Some organizations use the term “metric” instead of “indicator”.

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Note 5 to entry: Significant indicators used to direct decision-making by top management are sometimes referred to as “key performance indicators (KPIs)”.

4 Performance evaluation

4.1 General

Performance evaluation is a process or set of processes that compares performance achieved by an organization against intended results. The organization’s intended results can include continual improvement of OH&S performance, achievement of OH&S objectives, and fulfilment of legal requirements and other requirements.

The organization should take into account that there are many sources of information that can provide input to performance evaluation (see 5.3). The organization should consider using a variety of sources of information as inputs to achieve a more comprehensive assessment, as a single source used in isolation can lead to an incomplete or inaccurate assessment.

[Clause A.3](#) provides examples of processes that can help achieve intended results.

4.2 Why performance evaluation is important

The intent of performance evaluation is to assist the organization in determining the extent to which intended results are being achieved.

For example, performance evaluation allows the organization to determine:

- a) if top management is demonstrating commitment to and support for OH&S;
- b) which processes are achieving planned results and which are not;
- c) the degree of variation in processes or activities that affect OH&S performance and the causes of those variations;
- d) if there are opportunities or if there is a need for actions to improve processes.

Performance evaluation is essential to ensure effective management of OH&S performance and to contribute to the effectiveness of the organization’s decision-making process(es).

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5 Performance evaluation process

5.1 General

When implementing the performance evaluation process, the organization should take into account:

- a) its processes (e.g. purchasing, planning, manufacturing, service provision, logistics, training) relevant to its context and activities (e.g. working at height, permit to work, exposure assessment);
- b) the effectiveness of OH&S management, including worker participation, hazard identification, assessment of risk and risk controls;
- c) its conscious or unconscious assumptions about OH&S that influence organizational behaviour;

EXAMPLE It is a common erroneous assumption that incidents are always caused by unsafe behaviour by workers. Similarly, it is often erroneously assumed that a low incident rate always means the workplace is safe.
- d) organizational culture that influences behaviours that affect OH&S (e.g. reporting OH&S incidents or issues is encouraged and supported, without fear of reprisal);
- e) interdependencies within the system (e.g. the effectiveness of inspections can depend on the time available, training of inspectors and the willingness of workers to report issues to inspectors);

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f) processes of the organization that can impact OH&S performance.

NOTE Examples of processes that can impact OH&S performance are provided in [Clause A.1](#).

5.2 Elements of a performance evaluation process

The organization should undertake specific performance evaluation processes to determine if the intended results are being achieved. The organization should take into account the types of activities being undertaken when considering the frequency and nature of performance evaluation processes.

The organization should:

- a) establish the intended results;
- b) determine what should be done to achieve the intended results;
- c) choose the performance evaluation processes, sources of information and tools (see [5.3](#));
- d) determine the information needed (e.g. inspection results, evaluation outcomes, audit findings) and whether it is possible to obtain it (see [5.3](#));
- e) monitor, measure, analyse and evaluate performance (see [Clause 8](#));
- f) take action based on evaluation of performance (see [Clause 10](#));
- g) review unintended consequences (see [6.5.4](#));
- h) take action to address issues identified within the performance evaluation process and its results (see [Clause 11](#)).

5.3 Performance evaluation sources of information and tools

5.3.1 General

The organization should determine the most effective performance evaluation sources of information and tools to evaluate if intended results are being achieved. This activity should include consultation with workers or worker representatives.

The organization should consider OH&S processes such as training, risk assessments, contractor safety and management of change, or information acquired from incidents such as near misses, overexposure to airborne contaminants, injuries, chemical spills or illnesses. Further information on the selection and use of indicators is provided in [Clause 6](#).

Subclauses [5.3.2](#) to [5.3.12](#) provide a list of the most common sources of information and tools; however, the list is not exhaustive. The organization should take into account that there are many sources of information that can provide input to performance evaluation (see [5.3](#)). These sources of information may include non-OH&S business processes and activities.

The organization should identify additional sources of information or tools where appropriate due to the nature of work, type of OH&S hazards and exposures, and level of risk.

The organization should respect the confidentiality, protection of privacy and sensitive information of workers throughout the performance evaluation process.

5.3.2 Inspections

Inspections can provide organizations with relatively quick, efficient means for reviewing the status of OH&S risk control implementation, progress toward and achievement of objectives, and fulfilment of legal requirements and other requirements.