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Occupational health and safety management systems — General guidelines for the implementation of ISO 45001:2018

Systèmes de management de la santé et de la sécurité au travail — Lignes directrices générales pour la mise en œuvre de l'ISO 45001:2018

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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 documents 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).

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

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

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.

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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

An organization is responsible for the occupational health and safety (OH&S) of its workers. This responsibility includes promoting and protecting their physical and mental health. The organization is also responsible for taking steps to protect others who can be affected by its activities. This is best achieved through an OH&S management system.

The purpose of an OH&S management system is to provide a framework for managing OH&S risks and opportunities, and for managing risks and opportunities to the management system itself. The intended outcomes of the OH&S management system are to continually improve the OH&S performance, to fulfil legal requirements and other requirements, and to achieve the OH&S objectives.

This document gives guidance on how to implement the requirements in ISO 45001:2018 in any type of organization and should be used in conjunction with ISO 45001:2018. Where ISO 45001:2018 states what needs to be done, this document expands on that and gives guidance, including real-life cases, on how it can be done. A complement to this general guidance is a handbook, see Reference [2].

The intention of ISO 45001:2018 is to enable organizations to protect all workers from injury and ill health, regardless of individual characteristics. This document provides additional guidance on how to ensure the specific needs of individuals and groups of workers are addressed, recognizing that a generic approach to OH&S management can lead to the needs of different genders, age and minority groups not being fully addressed.

Many requirements of ISO 45001:2018 contain terms such as “as appropriate”, “as applicable” or “relevant”. These terms signal that the organization should determine whether and how the requirement pertains to the organization, taking into account its conditions, processes or context. In this document, the meaning of these terms is as follows:

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— “as appropriate” means suitable or proper in the circumstances and implies some degree of freedom, i.e. it is up to the organization to decide what to do;

— “as applicable” means possible to apply and implies that if it can be done, it should be done;

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— “relevant” means directed and connected to the subject, i.e. pertinent.

The OH&S management system approach applied in this document is founded on the concept of Plan-Do-Check-Act (PDCA). The PDCA concept is an iterative process used by organizations to achieve continual improvement. It can be applied to an OH&S management system and to each of its individual elements, as follows:

a) Plan: determine and assess OH&S risks, OH&S opportunities and other risks and other opportunities that can influence the intended outcomes of the OH&S management system and establish OH&S objectives and processes necessary to deliver results in accordance with the organization’s OH&S policy.

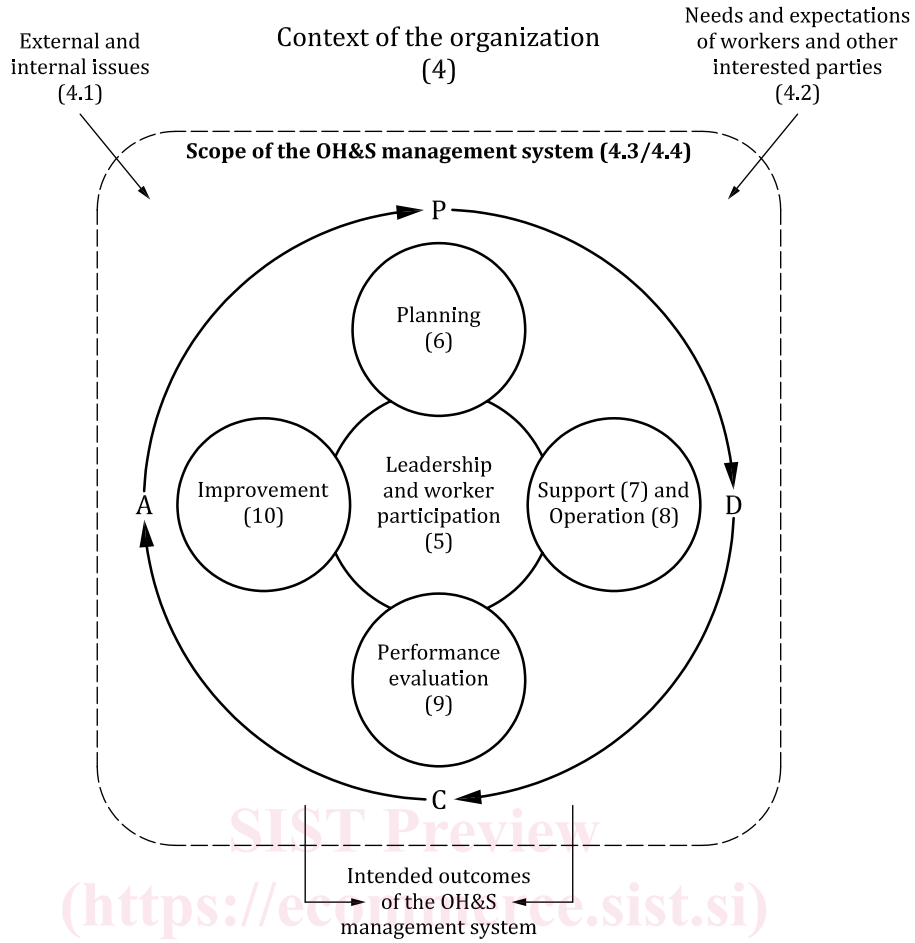
b) Do: implement the processes as planned.

c) Check: monitor and measure activities and processes with regard to the OH&S policy and OH&S objectives and report the results.

d) Act: take actions to continually improve the OH&S performance to achieve the intended outcomes.

The PDCA concept and relationship to this document is shown in Figure 1.

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NOTE The numbers given in brackets refer to the clause numbers in this document.

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Figure 1 — Relationship between PDCA and the framework in this document

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Occupational health and safety management systems — General guidelines for the implementation of ISO 45001:2018

1 Scope

This document gives guidance on the establishment, implementation, maintenance and continual improvement of an occupational health and safety (OH&S) management system that can help organizations conform to ISO 45001:2018.

NOTE 1 While the guidance in this document is consistent with the ISO 45001:2018 OH&S management system model, it is not intended to provide interpretations of the requirements in ISO 45001.

NOTE 2 The use of the term "should" in this document does not weaken any of the requirements in ISO 45001:2018 or add new requirements.

NOTE 3 For most of the clauses in this document, there are real-life cases on how different types of organizations have implemented the requirements. These are not intended to suggest the only or best way to do this, but to describe one way this was done by an organization.

2 Normative references

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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*

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3 Terms and definitions

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

4 Context of the organization

4.1 Understanding the organization and its context

To be able to implement an effective OH&S management system, the organization needs to understand the context within which it operates and to determine what issues can make it easier or more difficult to achieve the intended outcomes of the OH&S management system. The intended outcomes as included in the definition of "occupational health and safety management system" (see ISO 45001:2018, 3.11) are to prevent injury and ill health to workers and to provide safe and healthy workplaces. It includes enhancement of OH&S performance, fulfilment of legal requirements and other requirements, and achievement of OH&S objectives. These are the minimal, core outcomes but an organization can set additional intended outcomes such as going beyond the requirements of ISO 45001:2018, e.g. encouraging a supplier to also implement an OH&S management system.

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The organization should be aware that external and internal issues can change, and therefore, should be monitored and reviewed. It is advisable for an organization to conduct reviews of its context at planned intervals and through activities such as management review.

Examples of external issues that can affect the intended outcomes of an OH&S management system are:

— economic and financial situation, economic activity;

— business sector, markets, international commerce activities, the needs and expectations of interested parties (contractors, insurance companies, etc.);

— supply chain requirements, including modern slavery;

— terrorist threats;

— technological innovations, equipment, products and systems evolution, the knowledge of OH&S effects of products and work equipment;

— political and social unrest;

— legal requirements and other requirements, including legislation, sectoral agreements, conventions and voluntary agreements subscribed to by the organization;

— institutional needs and expectations;

— the geographical location of the company;

— environmental concerns that can have an impact on health and safety, including climate change and pollution;

— potential emergency situations including pandemics but also floods, earthquakes, etc.

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Examples of internal issues that can affect the intended outcomes of an OH&S management system are:

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— consultation and participation, issues raised by workers and other interested parties that can impact the organization's internal activities and its OH&S management system;

— internal requirements, including policies and practices, mission, vision, values, objectives, strategies, agreements and guidelines;

— what has been known to cause injuries and ill health in the past;

— organization structure and governance model, work scope, work shifts, roles, functions and responsibilities;

— work centres and distribution;

— demography (e.g. gender of workers, age range, racial identities, range of languages, workers with disabilities);

— conditions and extension of services and activities;

— globalization and internalization of the company;

— cultural diversity (e.g. inclusion, racial identities and backgrounds, cultural and religious beliefs, proficiency in languages, literacy and education levels);

— financial, human (availability, competence, etc.) and technological resources (availability and conditions of equipment, products, facilities, systems and workplaces) and distribution of resources;

— general planning;

— processes, products and services.

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An organization can choose to document this information if it wants to adopt a more structured approach to its OH&S management system. However, the absence of such documentation should not impact the ability of the organization to seek and demonstrate conformity to ISO 45001, where it can evidence a structured approach by other means.

The organization can use different methodologies to determine and evaluate the external and internal issues. One example is analysing strengths, weakness, opportunities and threats. See Clause 5 for guidance on how to involve workers in this process.

The issues dealt with in this clause are mainly related to the impact on the OH&S management system and are usually analysed at high levels of the organization. Specific OH&S risks are dealt with at operational levels and are considered in 6.1.2 and 6.1.3.

EXAMPLE Real life case 1 on how to implement requirements in ISO 45001:2018, 4.1.

A diverse service organization implemented the requirements of 4.1 and made a high-level analysis of issues by conducting a brainstorming exercise with participation from OH&S staff, other workers and worker representatives, knowledgeable persons from various parts of the organization and someone from top management who champions OH&S. The team discussed external and internal issues from a wide perspective and determined which were relevant for the OH&S management system. This then served as input to identify interested parties (see 4.2), determine scope (see 4.3), and address risks and opportunities (see 6.1).

Even though there is no requirement in ISO 45001:2018 to document the result of this context work, the organization chose to do that anyway and ensure that the whole team agreed on the result. They created a bridge from context to planning by documenting each relevant issue in a categorized way, stating if this was a current or future issue, and if it had a positive or negative potential. They also put a value to its relative importance and stated how the issue should be managed in their system (as an OH&S risk, potential emergency, risk to the management system, other opportunity, etc.). Table 1 shows part of what they found.

This context exercise is reviewed when there are significant external or internal changes that affect the organization or the OH&S management system and otherwise when deemed appropriate by the organization.

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Table 1 — Some of the external and internal issues found

Category	Issue	Time frame	Negative or positive	OH&S management system importance	Managed as
Culture: internal	Lack of OH&S interest from top management	Current	Negative	High	OH&S management system risk
Workplace hazard	Working at heights with customer installations	Current	Negative	Medium	OH&S risk
Workplace hazard	Noise levels in some operations	Current	Negative	High	OH&S risk
Economy: internal	Lack of financial resources for investing in OH&S improvements	Future	Negative	Medium	Currently not managed
Activities: internal	Inadequate chemical management	Current	Negative	Medium	OH&S risk
Resources: internal	Improvement of OH&S staff competence beyond requirements	Current	Positive	Medium	OH&S management system opportunity
Technology: external	New technologies for eliminating hazards and mitigating OH&S risks developed	Current	Positive	High	OH&S management system opportunity
Interested parties: external	Requirements from customers regarding OH&S management system certification	Future	Positive	High	OH&S management system opportunity
Interested parties: internal	Lack of participation from worker representatives	Current	Negative	High	OH&S management system risk

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Table 1 *(continued)*

Category	Issue	Time frame	Negative or positive	OH&S management system importance	Managed as
Company: internal	Poor internal OH&S communication	Current	Negative	Medium	OH&S management system risk
Resources: external	Suppliers of OH&S protection equipment, including personal protective equipment (PPE) are not always able to deliver required goods when there is increased market demand	Future	Negative	Medium	OH&S management system risk
Company: internal	Lack of specific consideration for issues related to gender, non-binary workers and other specific groups as well as provision for these groups	Current	Negative	High	OH&S risk

4.2 Understanding the needs and expectations of workers and other interested parties

The needs and expectations (i.e. requirements) of workers and other interested parties are important when considering the context in which the organization operates. It is important that the organization takes into account the characteristics of its workers and how these can affect needs and expectations. Different genders and age groups can have very different needs and expectations than others. Minority groups (e.g. ethnic minorities, workers with physical or mental disabilities, workers of non-traditional gender or sexuality) also have needs and expectations which are not always recognized or understood. Determining interested parties that are relevant to the OH&S management system and developing a relationship with them enables communication, which can improve worker participation, remove obstacles to participation, lead to a culture that supports OH&S, and build mutual understanding, trust and respect.

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The organization should identify the relevant needs and expectations of workers and other interested parties, to determine those that it has to comply with and voluntary agreements that it chooses to comply with. The methods used and resources applied can vary depending on, for example, the size and nature of the organization, the finances available, the OH&S risks and opportunities that should be addressed, and the organization's experience with OH&S management.

There are three steps that are typically taken to determine what the organization should comply with:

— Step 1: Determining other relevant interested parties, in addition to workers. Workers at all levels are always at the heart of the OH&S management system. However, other interested parties that are relevant to the OH&S management system can include:

  — trade unions and worker representatives;

  — regulatory or statutory agencies;

  — communities;

  — owners, including investors/shareholders;

  — neighbours;

  — other companies related to the organization, such as contractors, suppliers or clients;

  — institutional bodies, such as inspectorates, OH&S national institutes and OH&S research groups;

  — other bodies or companies related to injuries or illnesses, such as social security, compensation bodies and insurance companies;

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- customers (e.g. those requiring suppliers to implement an OH&S management system or that have specific OH&S-related requirements);
- people that can occasionally be in the facilities or under the control of the organization, such as visitors, consultants, transport workers, and workers of contractors or suppliers.

Interested parties can change over time and can depend on the sector, industry or the geographic location in which the organization operates. Changes in the external or internal issues that are part of the organization's context can also result in a change in interested parties. It can be good practice to keep this information up to date.

— Step 2: Determining the relevant needs and expectations (i.e. requirements) of workers and other interested parties in relation to OH&S. Examples include:

- authorities require the organization to meet legal requirements;
- workers need the organization to provide adequate training to ensure their competence to control risks from their work or as a result of contractor(s) work;
- specific needs and expectations of, for example, women (correctly fitting PPE), workplace environment), older workers (accessibility, training/communication methods), workers with visible or invisible disabilities, workers from different cultural or ethnic backgrounds, and workers with additional psychological health and safety needs (e.g. due to racial identity, sexuality, gender or religion);
- contractors need the organization to keep them informed of all OH&S-related policies, processes and procedures;
- regulators require the organization to provide relevant OH&S information in a timely manner;
- owners need and expect to be kept informed about the organization's OH&S performance;
- customers require their suppliers to implement fully or partially an OH&S management system;
- suppliers require access to hazard-related information as part of contract negotiations;
- worker representatives expect the organization to provide them with information on OH&S performance regularly.

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There is no single approach to determining needs and expectations. The organization should use an approach that is appropriate to its scope, nature and scale, and is suitable in terms of detail, complexity, time, cost and availability of reliable data. Sources for determining worker needs and expectations can be:

- individual or collective agreements;
- suggestions by workers or their representatives;
- surveys carried out by the organization;
- informal discussions with workers.

— Step 3: Determining which needs and expectations are, or can become, legal requirements and other requirements:

- An organization should determine which of the relevant interested parties' needs and expectations it has to comply with (legal requirements), and then which of the remaining needs and expectations it chooses to adopt (other requirements). This general, high-level knowledge then gives input into managing legal requirements and other requirements as further detailed in 6.1.3.
- For requirements set by a regulatory body, the organization should gain knowledge of areas of legislation that are applicable to its circumstances and operations and relevant in the context of

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ISO 45001. The organization should ensure that legislation and regulatory body requirements relating to fairness, equality and discrimination are taken into account.

— In the case of voluntary commitments (other requirements), the organization should gain broad knowledge of relevant needs and expectations. This knowledge enables the organization to understand the implications these can have on the achievement of the intended outcomes of its OH&S management system.

The organization should consider the output from the steps above when setting the scope of its OH&S management system, establishing its OH&S policy, and addressing risks and opportunities. Although not a requirement, it can be useful to document this information to facilitate its use to meet other requirements in ISO 45001.

EXAMPLE 1 Real life case 1 on how to implement requirements in ISO 45001:2018, 4.2.

A medium-sized manufacturing organization identified the following interested parties during the context analysis of its external and internal issues:

— External, on-site (sometimes): Customers, visitors, suppliers, external consultants, labour inspectors, insurance companies, waste management companies, fire department and ambulance workers.

— External, off-site: Creditors, competitors, regulatory authorities, shareholders, social insurance agencies, neighbours, lenders and other finance institutions, and labour organizations.

— Internal: Workers including top management, worker representatives, works council and fire brigade members, contractors.

In the form of a brainstorming workshop, the organization then listed everything it could think of that these different interested parties required or might require of the organization related to OH&S. Then it also listed anything anyone in the workshop could remember that these interested parties had asked about or even shown an interest in, in relation to OH&S. They also included requirements from the past and added things they thought would become requirements or become important for interested parties in coming years.

The final step was to decide which of these needs and expectations the organization would need to or chose to comply with. These included legal requirements, collective agreements, board and top management OH&S-related decisions (although they found two that were in conflict that needed to be resolved) and contractual agreements.

The outcome was documented in a file and was then used as a starting point for the process of going into details about legal requirements and other requirements and how these were met by the organization (see 6.1.3).

Table 2 shows what the file contained.

Table 2

Interested party	Needs and/or expects the organization to:
Workers:	— provide adequate training to ensure their competence to control risks from their work or as a result of contractor(s) work processes and procedures — be transparent and disclose OH&S information — recognize and appreciate good initiatives and OH&S performance — recognize that different groups of workers (related to gender, age, disabilities etc.) can be exposed to different OH&S risks and take steps to address these — ensure that workers have the possibility to participate in the planning and decisions related to the execution of work tasks

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