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Occupational health and safety management systems

Part 0: General guidelines for the application of ISO 45001



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Summary of pages

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Foreword

Publishing information

This part of BS 45002 is published by BSI Standards Limited, under licence from The British Standards Institution, and came into effect on 31 March 2018. It was prepared by Technical Committee HS/1, *Occupational health and safety management*. A list of organizations represented on these committees can be obtained on request to their secretary.

Supersession

This British Standard, including its constituent parts, replaces BS OHSAS 18002 and [BS 18004](#), which are withdrawn.

Use of this document

As a guide, this part of BS 45002 takes the form of guidance and recommendations. It should not be quoted as if it were a specification or a code of practice and claims of compliance cannot be made to it.

Presentational conventions

The guidance in this standard is presented in roman (i.e. upright) type. Any recommendations are expressed in sentences in which the principal auxiliary verb is “should”.

Commentary, explanation and general informative material is presented in smaller italic type, and does not constitute a normative element.

Where words have alternative spellings, the preferred spelling of the Shorter Oxford English Dictionary is used (e.g. “organization” rather than “organisation”).

Websites referred to in this standard were last viewed on 1 February 2018.

Contractual and legal considerations

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

Compliance with a British Standard cannot confer immunity from legal obligations.

Introduction

An occupational health and safety (OH&S) management system can help an organization manage health and safety in the workplace for workers and other people affected by the organization's activities.

Organizations wishing to implement an OH&S management system for the first time, or generally improve OH&S performance, can use this document without direct reference to ISO 45001.

Organizations that wish to claim compliance with the requirements in ISO 45001 need to refer directly to ISO 45001 when using this document.

This British Standard provides a framework to help organizations successfully implement an OH&S management system based on ISO 45001, in a way that is proportionate to the organization's specific health and safety risks. For example, organizations with less complex and/or less hazardous operations often have a good idea of their main workplace risks whether there is an existing management system in place or not. ISO 45001 and this guidance provide a framework for managing OH&S risks in a more structured way and for identifying any gaps that need to be addressed.

ISO 45001, like other ISO management system standards, is based on the Plan – Do – Check – Act (PDCA) cycle and uses risk-based thinking as a method of identifying risks and opportunities in all parts of the cycle to improve performance and minimize negative outcomes.

The guidance needs to be followed in a way that reflects the hazards identified and their related OH&S risks, without adding unnecessary levels of complexity or cost. Similarly, this guidance recommends that organizations only create or store documented information if it is necessary for the effective establishment, implementation and maintenance of the OH&S management system, or required by law. When considering the supply chain, organizations need to note that smaller and/or less complex organizations can have less extensive documented information and still meet relevant requirements.

NOTE 1 For further guidance, see and the Health and Safety Executive (HSE) guidance, Health and Safety Made Simple (<http://www.hse.gov.uk/simple-health-safety/>).

NOTE 2 Under UK law, organizations cannot delegate legal responsibility for the day-to-day control of their OH&S risks even if third-party expertise, advice or services are used.

1 Scope

This British Standard describes the intent of individual clauses in ISO 45001 and provides guidance to help organizations implement an OH&S management system based on ISO 45001.

NOTE This British Standard does not add to, subtract from, or in any way modify the requirements of ISO 45001, nor does it prescribe mandatory approaches to implementation.

2 Normative references

There are no normative references in this document.

NOTE Organizations can use this document without direct reference to ISO 45001, however, organizations that wish to claim conformity to ISO 45001 should refer directly to ISO 45001 when using this document.

3 Terms and definitions

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

NOTE 1 There are a number of terms defined in ISO 45001, including commonly used terms. However, when using ISO 45001 it is important to take note of these technical definitions to ensure there is no misunderstanding in its application. For example, small businesses do not always realize that the term “organization” refers to small businesses as well as larger companies (or public bodies, charities, etc.). Organization can also be used to describe one part of a business, e.g. one department or one site – if that is the extent of the OH&S management system. Similarly, the term “top management” refers to whoever directs or controls the organization – the top level decision-maker(s). In practical terms, top management can mean a small business owner, the executive board or, in a non-hierarchical structure, everyone involved in taking high level decisions.

The definition of “worker” is also worth noting. In ISO 45001 worker is all-inclusive and refers to everyone working under the control of the organization, including business owners, executive boards, senior managers, interns, volunteers, all employees and contractors.

The dictionary definition for participation relates to the action of taking part in something, whilst in the application of ISO 45001 it means specific involvement in decision-making, e.g. jointly undertaking a risk assessment and agreeing actions, being involved in deciding the organization’s OH&S policy and objectives.

NOTE 2 All of the terms and definitions within ISO 45001 can be found on the ISO Online Browsing Platform: <http://iso.org/obp>.

4 Context of the organization

COMMENTARY ON CLAUSE 4

This clause provides guidance on understanding what an organization is and does, and what can affect an organization’s ability to manage its OH&S responsibilities and achieve its intended outcomes.

This includes identifying interested parties, together with their needs and expectations, which assists in determining the scope of the organization’s management system and putting in place the processes needed to support it.

4.1 Understanding the organization and its context

How issues relating to context are determined depends on the size and/or complexity of the organization, e.g. a multi-national organization can have different sites, departments and activities, and therefore, the processes used to identify issues should reflect this complexity. A one-person business is likely to be less complex and as such, assessing issues relating to context can be simpler.

The nature of the organization is as important as its size, e.g. a five-person chemical manufacturer can have complex issues and use multiple processes to determine them, whilst a large factory producing a single product might find it appropriate to discuss context in a routine meeting.

The organization should identify all relevant issues (i.e. any that can affect the OH&S management system and its intended outcomes) and then determine those that require further attention (see [6.1](#)).

“External” issues can include, but are not limited to:

- a) relationships with external providers such as contractors or suppliers;
- b) new technologies;
- c) key drivers or perceptions relevant to the organization’s industry or sector, e.g. a move from high street retailing towards more online business can affect OH&S issues);
- d) cultural, social and political factors;
- e) relevant legislation;

- f) location of operation(s); and
- g) changes to any of the above.

“Internal” issues can include, but are not limited to:

- 1) the size, nature and activities (e.g. what it does or makes) of the organization;
- 2) the way the organization is managed and its business objectives;
- 3) resources, knowledge and competence (e.g. financial capital, numbers and capabilities of workers, technologies);
- 4) planned or foreseeable changes and how these are managed.

NOTE These lists are not exhaustive, nor do all of the issues given as examples necessarily apply to every organization.

Depending on the size and/or complexity of operations, a simple approach such as asking “what if” questions can be useful; alternatively, structured methods such as SWOT (Strengths, Weaknesses, Opportunities and Threats) or PESTLE (Political, Economic, Social, Technological, Legal, Environmental) analysis can be used.

ISO 45001 does not require a formal process or that documented information (e.g. a written or electronic record of what was done or what the conclusions are) is created to prove that issues relevant to the OH&S management system have been determined, although this can be useful. It is up to each organization to decide what suits their needs.

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

An organization should identify interested parties who can affect or could be affected by the OH&S management system. These are the “relevant” interested parties.

Interested parties can include, but are not limited to:

- a) workers at any level;
- b) customers;
- c) legal and regulatory authorities;
- d) parent organizations;
- e) external providers, including suppliers, contractors and subcontractors;
- f) workers’ organizations (e.g. trade unions) and employers’ organizations;
- g) owners, shareholders, clients, visitors;
- h) insurers;
- i) the local community;
- j) the general public; and
- k) the media.

The organization should take the time to understand its relevant interested parties’ needs and expectations, determining the ones that are relevant to the OH&S management system and should be addressed.

In some instances, the needs and expectations of different interested parties can overlap with each other and with those of the organization and these can therefore be considered together, e.g. both the media and local community can be concerned about the safety around a construction site – it is the issue that is important, not the various interested parties.

4.3 Determining the scope of the OH&S management system

Once the organization has determined its external and internal issues (see 4.1) and understands the needs of relevant interested parties (see 4.2) it should consider what the OH&S management system is to cover, e.g. an organization can choose to cover everything it does on all sites or limit it to a single physical location.

The scope of the management system should include all of the activities under the organization's control (or influence) that can impact the OH&S performance.

EXAMPLE

Control

If a shop implements an OH&S management system it should ensure that deliveries and operations in the stockroom are covered, as well as activities on the shop floor.

Influence

Before sending workers to operate at an external site, an organization should engage with the site operators to ensure that information is shared on:

- a) health and safety risks associated with that site that can affect the organization's workers; and
- b) precautions necessary to ensure work can be carried out safely and without risk to health.

Once the scope is defined, the concept of "organization" in ISO 45001 and in this British Standard is limited to what the scope covers, e.g. if the scope of the OH&S management system is limited to a particular team or department, the rest of the organization is now considered an external provider or other interested party.

The scope should be kept as documented information, in a format relevant to the organization, e.g. an electronic or paper document, audio or video recording or a visual representation.

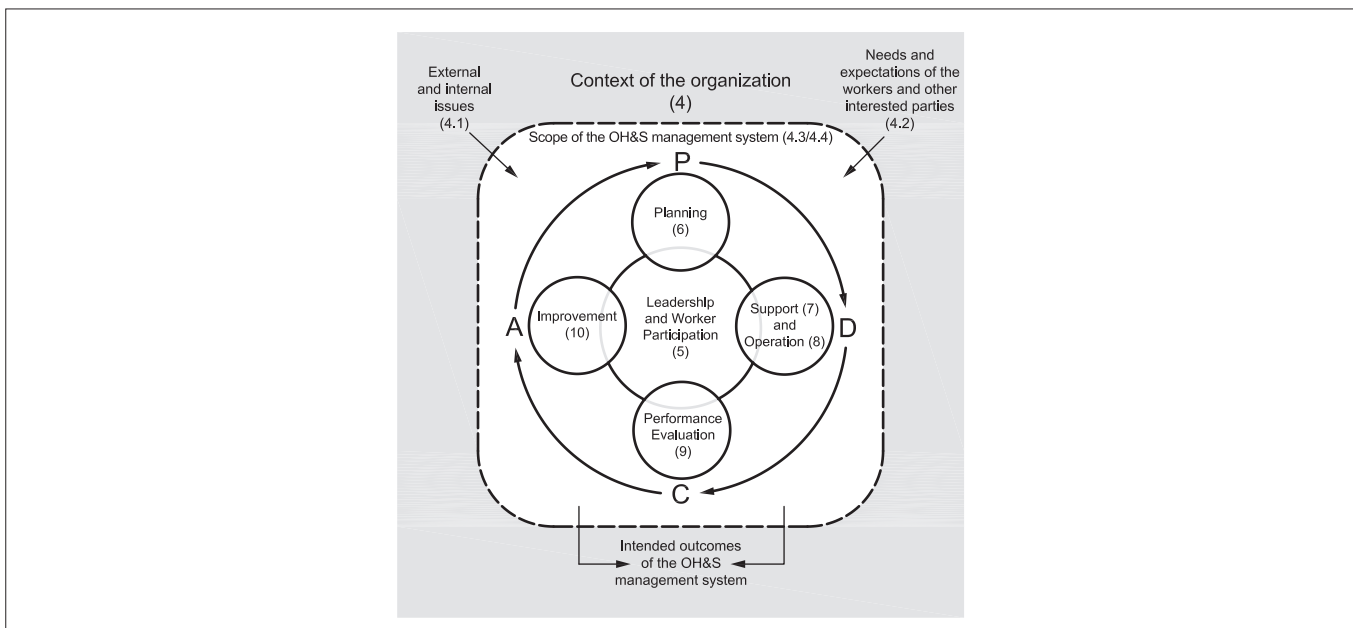
4.4 OH&S management system

The OH&S management system should reflect the context of the organization, e.g. be proportionate to its size and/or complexity and be properly resourced.

The OH&S management system should be aligned and integrated with other business processes and objectives to ensure that OH&S performance is not compromised to ensure that other objectives can be met, e.g. delivery objectives should not mean working so fast that it leads to safety short-cuts.

The organization should apply a PDCA approach towards its OH&S management system, as illustrated in [Figure 1](#).

- a) Plan – decide what the organization wants to achieve (taking into account the needs of interested parties, risks and opportunities), and put in place the necessary processes and resources.
- b) Do – put the plans into action.
- c) Check – monitor and measure processes and performance against requirements and what you want to achieve.
- d) Act – take actions on lessons learned and to improve performance.

Figure 1 — The PDCA cycle

NOTE Further guidance on PDCA in relation to OH&S is provided by the HSE (<http://www.hse.gov.uk/managing/plan-do-check-act.htm>).

5 Leadership and worker participation

COMMENTARY ON CLAUSE 5

This clause provides guidance on how to demonstrate leadership related to the OH&S management system and ensure adequate worker participation in its development, implementation and improvement.

This includes developing an OH&S policy, outlining roles, responsibilities and authorities for the OH&S management system, and the processes necessary for consultation and participation of workers.

5.1 Leadership and commitment

Leadership, commitment and active support from top management are critical for the success of the OH&S management system and achieving its intended outcomes. If workers see that top management takes OH&S performance seriously, this cascades down through the organization and helps establish a positive OH&S culture.

Leadership and commitment can be shown by, for example:

- aligning the OH&S management system with the organization's business objectives;
- making sure the necessary resources are available;
- encouraging workers and other relevant interested parties to get actively involved in improving OH&S performance;
- involving everyone in OH&S decision-making that affects them;
- promoting open discussion about OH&S matters; and
- ensuring the emphasis is on improvement rather than blame.

The organization can improve OH&S culture by, for example:

- providing clear and consistent leadership;
- promoting formal and informal involvement of workers;