

Guide to

Occupational health and safety management systems

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- Society of Motor Manufacturers and Traders Ltd.
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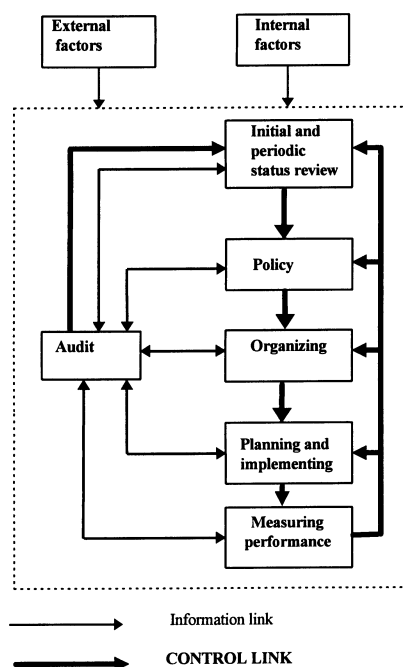
Guide to Occupational health and safety management systems

These guidelines are based on the general principles of good management and are designed to enable the integration of occupational health and safety management (OH&S) within an overall management system. Various approaches could well be adopted, two of which are presented in detail and a third in outline. The first detailed approach, based on the HSE guidance *Successful Health and Safety Management* HS(G)65 [2], is designed for organizations wishing to base their OH&S management system on this approach. An alternative detailed approach has been designed for those organizations wishing to base their OH&S management systems on BS EN ISO 14001, the environmental systems standard, and as such identifies the common areas in both management systems. The guidance presented in each approach is essentially the same, the only significant difference being the order of presentation and either approach may be used to integrate OH&S management within the overall management system. Annex A outlines the links between this guide and BS EN ISO 9001 to assist those organizations operating or planning to operate to the international “Quality Management” systems standard to integrate OH&S into their existing/planned management system.

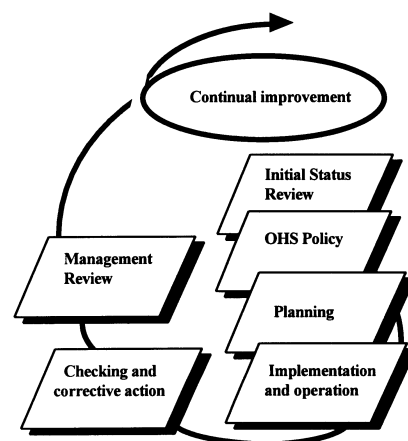
How to use this guide

While this guide presents two detailed approaches, reference to the contents page shows that the guide contains common clauses 1, 2 and 3 covering: scope, references and definitions and common annexes, tables and figures. But the guide contains two clauses 4 — one covering the **HS(G)65** approach on the first set of pages numbered 3 – 6 and the other covering the **BS EN ISO 14001** approach on the second set of pages numbered 3 – 6. These clauses 4 are preceded by the following two models:

Based on the HS(G)65 approach



Based on BS EN ISO 14001 approach



Readers should decide which approach to adopt and retain the relevant clause 4 pages. Then remove the unwanted clause 4 pages and either file them separately or discard.

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¹⁾ BS EN ISO 14001 is in preparation – publication is expected later in 1996.

Foreword

This British Standard has been prepared by Technical Committee HS/1, under the direction of the Management Systems Sector Board. It gives guidance on occupational health and safety (OH&S) management systems for assisting compliance with stated OH&S policies and objectives and on how OH&S should be integrated within the organization's overall management system.

This publication contains guidance and recommendations. It should not be quoted as if it were a specification and should not be used for certification purposes.

Official statistics of work related accidents and ill-health that are published each year do not represent the full extent of pain and suffering that each event brings to its victims, their families, colleagues and friends. In addition to the human cost, occupational accidents and ill-health impose financial costs to individuals, employers and society at large.

Studies by the Health and Safety Executive indicate that the overall cost to employers of personal injury work accidents, work related ill-health and avoidable non-injury accidents is estimated to be equivalent to around 5 % to 10 % of all UK companies' gross trading profits. One study showed that, in the organizations studied, uninsured costs from accidental loss were between 8 and 36 times greater than the cost of insurance premiums. There are, therefore, sound economic reasons for reducing work related accidents and ill-health, as well as ethical and regulatory reasons. Besides reducing costs, effective OH&S management promotes business efficiency.

A comprehensive legal framework already exists for occupational health and safety, requiring organizations to manage their activities in such a way as to anticipate and prevent circumstances that may result in occupational injury or ill-health. This standard seeks to improve the occupational health and safety performance of organizations by providing guidance on how the management of OH&S may be integrated with the management of other aspects of business performance, in order to:

- a) minimize risk to employees and others;**
- b) improve business performance; and**
- c) assist organizations to establish a responsible image within the marketplace.**

This standard shares common management system principles with the BS EN ISO 9000 "Quality management" series and the BS EN ISO 14000 series/BS 7750 "Environmental management" standards, but these are **NOT** prerequisites for operation to this guide.

This standard is compatible with:

- The Health & Safety Commission's Approved Code of Practice: *Management of health and safety at work* [1];
- The Health & Safety Executive's booklet HS(G)65: *Successful health and safety management* [2];
- BS EN ISO 14001: *Environmental Management Systems*
- HSC/HSE OH&S management guidance in specific sectors.

A British Standard does not purport to include all the necessary provisions of a contract. Users of British Standards are responsible for their correct application.

Compliance with a British Standard does not of itself confer immunity from legal obligations.

Summary of pages

This document comprises a front cover, an inside front cover, pages i to vi, pages 1 to 6, pages 3 to 36, an inside back cover and a back cover.

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Introduction

Organizations do not operate in a vacuum; several parties that can have a legitimate interest in an organization's approach to OH&S include: employees; customers/clients/suppliers; the community; shareholders; contractors; insurers; as well as the enforcement agencies. These interests need to be recognized. The importance of managing OH&S has been highlighted in recent official reports of major accidents and has received increasing emphasis in OH&S legislation.

Good health and safety performance is no accident. Organizations should attach the same importance to achievement of high standards of OH&S management as they do to other key aspects of their business activities. This demands the adoption of a structured approach to the identification of hazards and evaluation and control of work related risks.

This guide is intended to assist organizations to develop an approach to management of OH&S in such a way as to protect employees and others whose health and safety may be affected by the organization's activities. Many of the features of effective OH&S management are indistinguishable from the sound management practices advocated by proponents of quality and business excellence. These guidelines are based on the general principles of good management and are designed to enable the integration of OH&S management within an overall management system. Various approaches could equally well be adopted, two of which are presented in this guide. One approach based on HSE guidance *Successful Health and Safety Management* HS(G)65 [2] is designed for organizations wishing to base their OH&S management systems on this approach. An alternative approach has been designed for those organizations wishing to base their OH&S management systems on BS EN ISO 14001, the environmental management systems standard and as such identifies the common areas in both management systems. The guidance presented in each approach is essentially the same, the only significant difference being the order of presentation and either approach may be used to integrate OH&S management within the overall management system.

TO USE THIS GUIDE

Clauses 1, 2 and 3 and the annexes are common to both approaches in this guide. Organizations wishing to use the HS(G)65 approach should use the clause 4 on pages 3 to 6 carrying the HEADER, **"Based on the HS(G)65 approach"**.

Organizations wishing to use the BS EN ISO 14001 approach should use the clause 4 on pages 3 to 6 carrying the HEADER

"Based on the BS EN ISO 14001 approach".

The elements covered in this guide are all essential for an effective OH&S management system. Human factors including the culture, politics, etc. within organizations can make or break the effectiveness of any management system and need to be considered very carefully when implementing this guide.

By following the stages shown in Figure 1, organizations will be able to establish procedures to set OH&S policy and objectives and establish procedures for their implementation and to demonstrate achievement against criteria which they have defined.

All the stages in Figure 1 form part of a cycle for continual improvement of OH&S management and its integration within the overall management system.

Annex A indicates the links between this guide and BS EN ISO 9001 to assist those organizations operating or planning to operate to the international "Quality Management" systems standard to integrate OH&S into their existing/planned management system.

Further annexes provide guidance on **organizing** (Annex B); **planning and implementing** (Annex C); **risk assessment** (Annex D), **measuring performance** (Annex E) and **audit** (Annex F) that are needed for an effective occupational health and safety management system.

Small organizations need to appreciate that, while the general principles discussed in the annexes apply to all organizations, they will have to be selective as to the aspects that apply immediately to them. Small organizations first need to ensure that they meet legal requirements before aiming for continual improvement over time.

NOTE Lists provided in this guide are not intended to be definitive or exhaustive.

1 Scope

This British Standard gives guidance on:

- a) the development of occupational health and safety (OH&S) management systems;
- b) the links with other management systems standards.

The guide is designed for use by organizations of all sizes and regardless of the nature of their activities. It is intended that its application will be proportional to the circumstances and needs of the particular organization.

This British Standard does not itself lay down OH&S performance criteria, nor does it seek to give detailed guidance on general management systems design.

2 Informative references

This British Standard refers to other publications that provide information or guidance. Editions of these publications current at the time of issue of this standard are listed on page 36, but reference should be made to the latest editions.

3 Definitions

For the purposes of this British Standard the following definitions apply.

3.1 accident

unplanned event giving rise to death, *ill-health* (see 3.8), injury, damage or other loss

3.2 audit

a systematic and, wherever possible, independent examination to determine whether activities and related results conform to planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve the organization's policy and *objectives* (see 3.6)

NOTE The word "independent" here does not necessarily mean external to the organization.

3.3 external factors

forces outside the control of the organization that impinge on health and safety issues and need to be taken account of within an appropriate time frame, e.g. regulations, industry standards

3.4 hazard

a source or a situation with a potential for harm in terms of human injury or *ill-health* (see 3.8), damage to property, damage to the environment, or a combination of these

3.5 hazard identification

the process of recognising that a *hazard* (see 3.4) exists and defining its characteristics

3.6 health and safety objectives

the goals, in terms of OH&S performance, that an organization sets itself to achieve and which should be quantified wherever practicable

3.7 health surveillance

monitoring the health of people to detect signs or symptoms of work related *ill-health* (see 3.8) so that steps can be taken to eliminate, or reduce, the probability of further damage

3.8 *ill-health* (occupational ill-health)

ill-health that is judged to have been caused by or made worse by a person's work activity or environment

3.9 incident

unplanned event which, has the potential to lead to *accident* (see 3.1)

3.10 internal factors

forces within the organization that may affect its ability to deliver the health and safety policy, e.g. internal re-organization, culture

3.11 management system

a composite, at any level of complexity, of personnel, resources, policies and procedures, the components of which interact in an organized way to ensure a given task is performed, or to achieve or maintain a specified outcome

3.12 organization

a company, operation, firm, enterprise, institution, or association, or part thereof, whether incorporated or not, public or private, that has its own functions and administration

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

3.13 risk

the combination of the likelihood and consequence of a specified hazardous event occurring

3.14 risk assessment

the overall process of estimating the magnitude of risk and deciding whether or not the risk is tolerable or acceptable

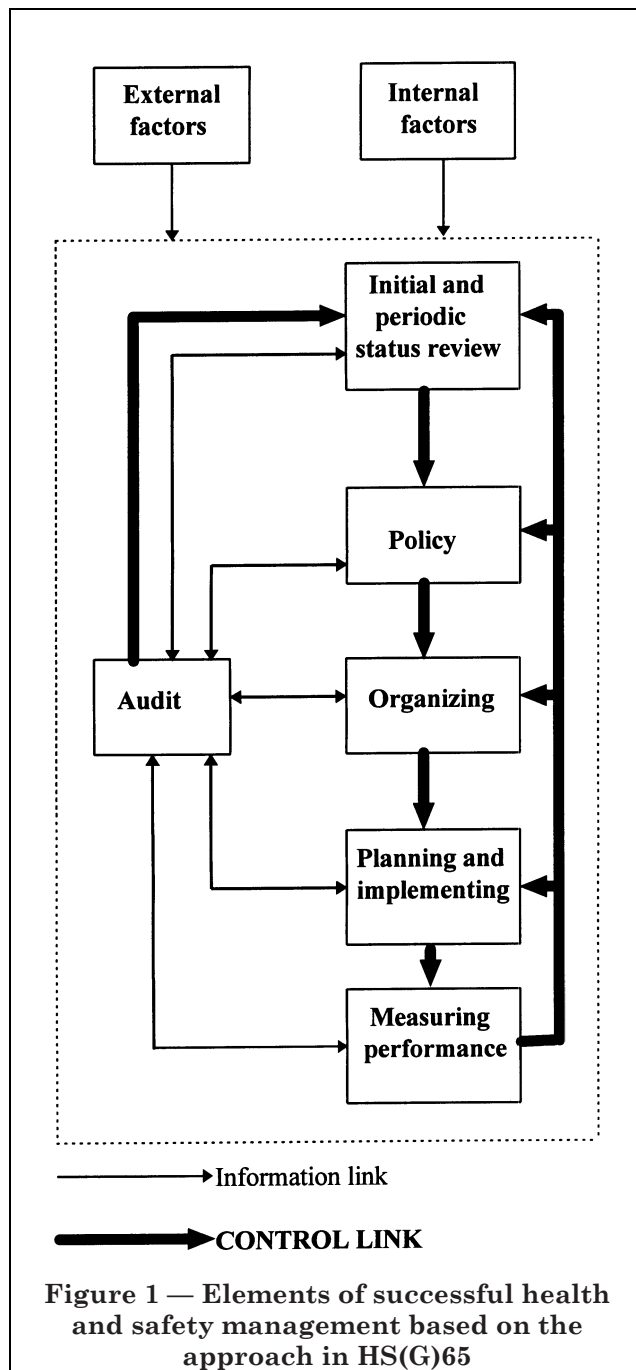
3.15 status review

the formal evaluation of the OH&S management system

3.16 target

a detailed performance requirement, quantified wherever practicable, pertaining to the organization, that arises from the *health and safety objectives* (see 3.6) and that needs to be met in order to achieve those objectives

Based on the HS(G)65 approach



Based on the HS(G)65 approach

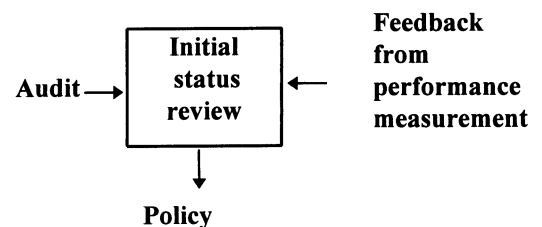
4 OH&S management system elements

4.0 Introduction

4.0.1 General

All the elements of the guide should be incorporated into the OH&S management system, but the manner and extent to which individual elements should be applied will depend on such factors as the size of the organization, the nature of its activities, the hazards and the conditions in which it operates.

4.0.2 Initial status review



Organizations should consider carrying out an initial review of their existing arrangements for managing OH&S. This review should be made in order to provide information that will influence decisions on the scope, adequacy and implementation of the current system as well as providing a baseline from which progress can be measured. Initial status reviews should answer the question “where are we now?”

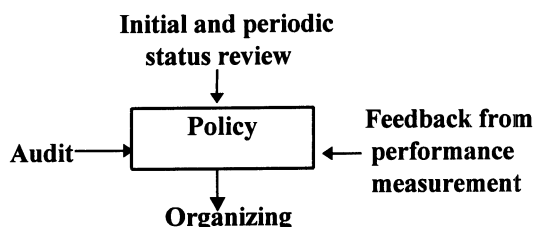
The review should compare the existing arrangements with:

- requirements of relevant legislation dealing with OH&S management issues;
- existing guidance on OH&S management available within the organization;
- best practice and performance in the organization’s employment sector and other appropriate sectors (e.g. from relevant HSC industry advisory committees and trade association guidelines);
- efficiency and effectiveness of existing resources devoted to OH&S management.

A useful starting point would be to review the existing system against these guidelines. The annexes provide information to help organizations ensure coverage of key activities. The information from the initial status review may be used in the planning process.

Based on the HS(G)65 approach

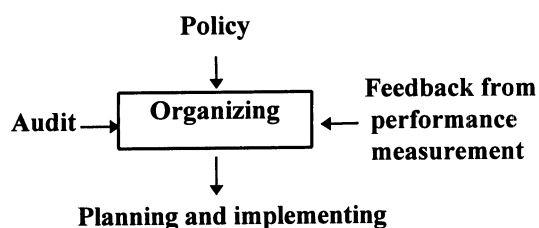
4.1 OH&S policy



The organization's most senior management should define, document and endorse its OH&S policy. Management should ensure that the policy includes a commitment to:

- a) recognizing OH&S as an integral part of its business performance;
- b) achieving a high level of OH&S performance, with compliance to legal requirements as the minimum, and to continual cost-effective improvement in performance;
- c) provide adequate and appropriate resources to implement the policy;
- d) the setting and publishing of OH&S objectives, even if only by internal notification;
- e) place the management of OH&S as a prime responsibility of line management, from most senior executive to first-line supervisory level;
- f) ensure its understanding, implementation and maintenance at all levels in the organization;
- g) employee involvement and consultation to gain commitment to the policy and its implementation;
- h) periodic review of the policy, the management system and audit of compliance to policy;
- i) ensure that employees at all levels receive appropriate training and are competent to carry out their duties and responsibilities.

4.2 Organizing



Based on the HS(G)65 approach

4.2.1 Responsibilities

Ultimate responsibility for occupational health and safety rests with top management. Here, best practice is to allocate to a person at the most senior management level (e.g. in a large organization, a Board or executive committee member) particular responsibility for ensuring that the OH&S management system is properly implemented and performing to requirements in all locations and spheres of operation within the organization.

At all levels of the organization, people need to be:

- a) responsible for the health and safety of those they manage, themselves and others with whom they work;
- b) aware of their responsibility for the health and safety of people who may be affected by the activities they control, e.g. contractors and public;
- c) aware of the influence that their action or inaction can have on the effectiveness of the OH&S management system.

Senior management should demonstrate, by example, their commitment by being actively involved in the continual improvement of occupational health and safety performance.

4.2.2 Organizational arrangements

It is important that OH&S, in its broadest sense, is fully integrated across the organization and into all its activities, whatever the size or nature of its work (see Annex B). In organizing for the implementation of the policy and the effective management of OH&S, the organization should:

- a) have or have access to sufficient OH&S knowledge, skills and experience to manage its activities safely and in accordance with legal requirements;
- b) define the allocation of responsibilities and accountabilities in the management structure;
- c) ensure people have the necessary authority to carry out their responsibilities;
- d) allocate adequate resources commensurate with its size and nature;
- e) identify the competencies required, at all levels within the organization, and organize any necessary training;
- f) make arrangements for the effective and, where appropriate, open communication of OH&S information;
- g) make effective arrangements for the provision of specialist advice and services;

Based on the HS(G)65 approach

h) make effective arrangements for employee involvement, and consultation where appropriate.

4.2.3 OH&S documentation

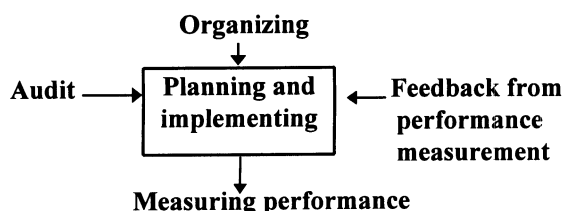
Documentation is a key element in enabling an organization to implement a successful management system. It is also important in assembling and retaining OH&S knowledge. But it is important that documentation is kept to the minimum required for effectiveness and efficiency.

The organization should maintain any records necessary to demonstrate compliance with legal and other requirements.

Organizations should ensure that sufficient documentation is available to enable OH&S plans to be fully implemented and is proportional to their needs (see B.6.2).

Organizations should make arrangements to ensure that documents are up to date and applicable, to the purpose for which they are intended.

4.3 Planning and implementing



4.3.1 General

It is important that success or failure of the planned activity can be clearly seen. This involves identifying OH&S requirements, setting clear performance criteria defining what is to be done, who is responsible, when it is to be done and the desired outcome.

While it is recognized that, in practice, organizing, planning and implementing functions will overlap, nevertheless, the following key areas need to be addressed (see Annex C).

4.3.2 Risk assessment

The organization should carry out risk assessment including identification of hazards (see Annex D).

4.3.3 Legal and other requirements

The organization should identify the legal requirements, in addition to the risk assessment, applicable to it and also any other requirements to which it subscribes applicable to OH&S management.

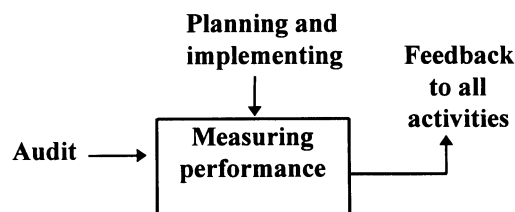
Based on the HS(G)65 approach

4.3.4 OH&S management arrangements

The organization should make arrangements to cover the following key areas:

- overall plans and objectives, including personnel and resources, for the organization to implement its policy;
- operational plans to implement arrangements to control the risks identified in 4.3.2 and to meet the requirements identified in 4.3.3;
- contingency plans for foreseeable emergencies and to mitigate their effects;
- planning for organizational activities covered in 4.2.2;
- planning for measuring performance, audits and status reviews (see 4.4, 4.5 and 4.6);
- implementing corrective actions shown to be necessary.

4.4 Measuring performance



Performance measurement is a key way to provide information on the effectiveness of the OH&S management system. Both qualitative and quantitative measures should be considered where appropriate and should be tailored to the needs of the organization (see Annex E).

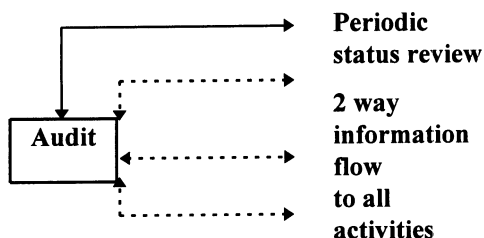
Performance measurement is a means of monitoring the extent to which policy and objectives are being met and includes both:

- proactive measures of performance that monitor compliance, e.g. by surveillance and inspections, with the organization's health and safety arrangements, for example safe systems of work, permits to work, etc.;
- reactive measures of performance that monitor accidents, near misses, ill-health, incidents and other historical evidence of deficient health and safety performance.

Where deficiencies are found, root causes should be identified and corrective action taken.

Based on the HS(G)65 approach

4.5 Audit



In addition to routine monitoring of occupational health and safety performance, there will be a need for periodic audits that enable a deeper and more critical appraisal of all the elements of the OH&S management system (covered in Figure 1). Audits should be conducted by persons who are competent and as independent as possible from the activity that is being audited, but may be drawn from within the organization (see Annex F).

While audits need to be thorough, their approach should be tailored to the size of the organization and the nature of its hazards.

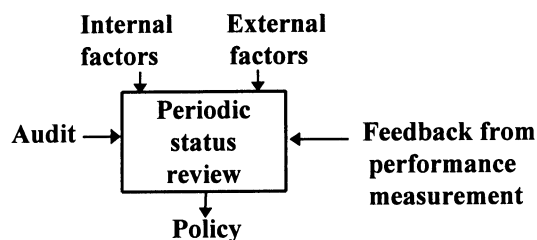
At different times and for different reasons, audits will need to cover the following questions:

- is the organization's overall OH&S management system capable of achieving the required standards of OH&S performance?
- is the organization fulfilling all its obligations with regard to OH&S?
- what are the strengths and weaknesses of the OH&S management system?
- is the organization (or part of it) actually doing and achieving what it claims to do?

Based on the HS(G)65 approach

Audits may be comprehensive or address selected topics according to circumstance. The results of audits should be communicated to all relevant personnel and corrective action taken as required.

4.6 Periodic status review



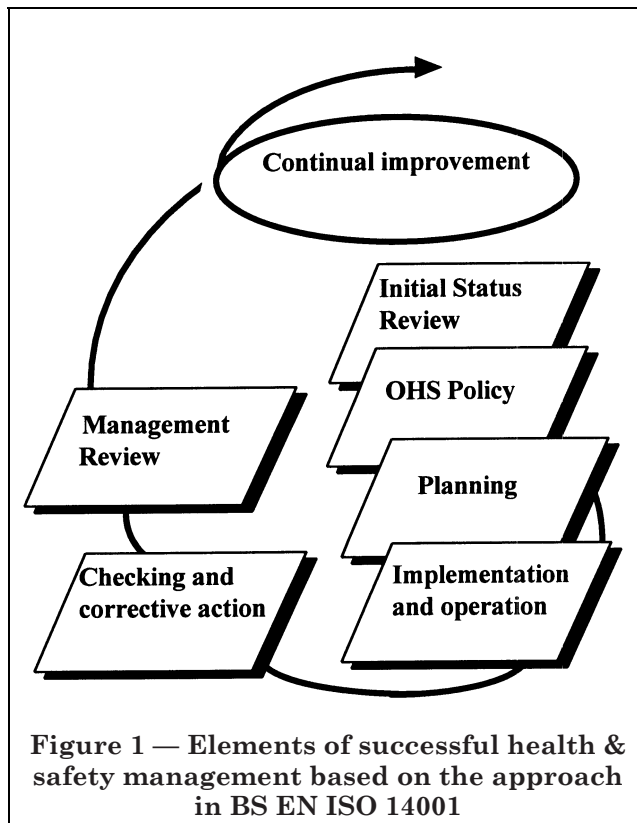
The organization should define the frequency and scope of periodic reviews of the OH&S management system according to its needs. The periodic status review should consider:

- the overall performance of the OH&S management system;
- the performance of individual elements of the system;
- the findings of audits;
- internal and external factors, such as changes in organizational structure, legislation pending, introduction of new technology, etc.,

and identify what action is necessary to remedy any deficiencies.

The OH&S management system should be designed to accommodate or adapt to internal and external factors. The periodic status review also provides an opportunity to take a forward look. The information in a) to d) above can be used by the organization to improve the organization's proactive approach to minimizing risk, and improve business performance.

Based on the BS EN ISO 140001 approach



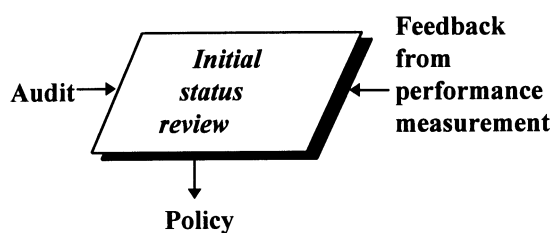
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4.0.2 Initial status review



Based on the BS EN ISO 140001 approach

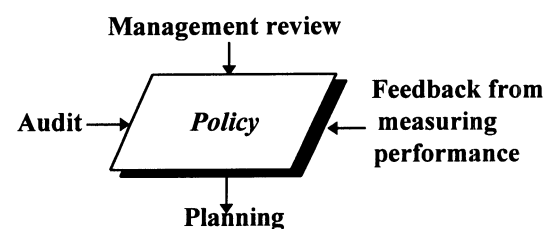
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The review should compare the existing arrangements with:

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- efficiency and effectiveness of existing resources devoted to OH&S management.

A useful starting point would be to review the existing system against these guidelines. The annexes provide information to help organizations ensure coverage of key activities. The information from the initial status review may be used in the planning process.

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- achieving a high level of OH&S performance, with compliance to legal requirements as the minimum, and to continual cost-effective improvement in performance;
- provide adequate and appropriate resources to implement the policy;