
3.10.3.2. Emergency prevention, preparedness and response arrangements should be established in cooperation with external emergency services and other bodies where applicable.

3.10.4. Procurement

3.10.4.1. Procedures should be established and maintained to ensure that:

- (a) compliance with safety and health requirements for the *organization* is identified, evaluated and incorporated into purchasing and leasing specifications;
- (b) national laws and regulations and the *organization's* own OSH requirements are identified prior to the procurement of goods and services; and
- (c) arrangements are made to achieve conformance to the requirements prior to their use.

3.10.5. Contracting

3.10.5.1. Arrangements should be established and maintained for ensuring that the *organization's* safety and health requirements, or at least the equivalent, are applied to contractors and their workers.

3.10.5.2. Arrangements for contractors working on site should:

- (a) include OSH criteria in procedures for evaluating and selecting contractors;
- (b) establish effective ongoing communication and coordination between appropriate levels of the *organization* and the contractor prior to commencing work. This should include provisions for communicating hazards and the measures to prevent and control them;
- (c) include arrangements for reporting of work-related injuries, ill health, diseases and incidents among the contractors' workers while performing work for the *organization*;
- (d) provide relevant workplace safety and health hazard awareness and training to contractors or their workers prior to commencing work and as work progresses, as necessary;
- (e) regularly monitor OSH performance of contractor activities on site; and
- (f) ensure that on-site OSH procedures and arrangements are followed by the contractor(s).

Evaluation

3.11. Performance monitoring and measurement

3.11.1. Procedures to monitor, measure and record OSH performance on a regular basis should be developed, established and periodically reviewed.

Responsibility, accountability and authority for monitoring at different levels in the management structure should be allocated.

3.11.2. The selection of performance indicators should be according to the size and nature of activity of the *organization* and the OSH objectives.

3.11.3. Both qualitative and quantitative measures appropriate to the needs of the *organization* should be considered. These should:

- (a) be based on the *organization's* identified hazards and risks, the commitments in the OSH policy and the OSH objectives; and
- (b) support the *organization's* evaluation process, including the management review.

3.11.4. Performance monitoring and measurement should:

- (a) be used as a means of determining the extent to which OSH policy and objectives are being implemented and risks are controlled;
- (b) include both active and reactive monitoring, and not be based only upon work-related injury, ill health, disease and incident statistics; and
- (c) be recorded.

3.11.5. Monitoring should provide:

- (a) feedback on OSH performance;
- (b) information to determine whether the day-to-day arrangements for hazard and risk identification, prevention and control are in place and operating effectively;
- (c) the basis for decisions about improvement in hazard identification and risk control, and the OSH management system.

3.11.6. Active monitoring should contain the elements necessary to have a proactive system and should include:

- (a) monitoring of the achievement of specific plans, established performance criteria and objectives;
- (b) the systematic inspection of work systems, premises, plant and equipment;
- (c) surveillance of the working environment, including work organization;
- (d) workers' health surveillance, where appropriate, through suitable medical monitoring or follow-up of workers for early detection of signs and symptoms of harm to health in order to determine the effectiveness of prevention and control measures; and
- (e) compliance with applicable national laws and regulations, collective agreements and other commitments on OSH to which the *organization* subscribes.

3.11.7. Reactive monitoring should include the identifying, reporting and investigating of:

- (a) work-related injuries, ill health (including monitoring of aggregate sickness absence records), diseases and incidents;
- (b) other losses, such as damage to property;
- (c) deficient safety and health performance, and OSH management system failures; and
- (d) workers' rehabilitation and health-restoration programmes.

3.12. Investigation of work-related injuries, ill health, diseases and incidents, and their impact on safety and health performance

3.12.1. The investigation of the origin and underlying causes of work-related injuries, ill health, diseases and incidents should identify any failures in the OSH management system and should be documented.

3.12.2. Such investigations should be carried out by competent persons, with the appropriate participation of workers and their representatives.

3.12.3. The results of such investigations should be communicated to the safety and health committee, where it exists, and the committee should make appropriate recommendations.

3.12.4. The results of investigations, in addition to any recommendations from the safety and health committee, should be communicated to appropriate persons for corrective action, included in the management review and considered for continual improvement activities.

3.12.5. The corrective action resulting from such investigations should be implemented in order to avoid repetition of work-related injuries, ill health, diseases and incidents.

3.12.6. Reports produced by external investigative agencies, such as inspectorates and social insurance institutions, should be acted upon in the same manner as internal investigations, taking into account issues of confidentiality.

3.13. Audit

3.13.1. Arrangements to conduct periodic audits are to be established in order to determine whether the OSH management system and its elements are in place, adequate, and effective in protecting the safety and health of workers and preventing incidents.

3.13.2. An audit policy and programme should be developed, which includes a designation of auditor competency, the audit scope, the frequency of audits, audit methodology and reporting.

3.13.3. The audit includes an evaluation of the *organization's* OSH management system elements or a subset of these, as appropriate. The audit should cover:

- (a) OSH policy;
- (b) worker participation;
- (c) responsibility and accountability;
- (d) competence and training;
- (e) OSH management system documentation;
- (f) communication;
- (g) system planning, development and implementation;
- (h) prevention and control measures;
- (i) management of change;
- (j) emergency prevention, preparedness and response;
- (k) procurement;
- (l) contracting;
- (m) performance monitoring and measurement;
- (n) investigation of work-related injuries, ill health, diseases and incidents, and their impact on safety and health performance;
- (o) audit;
- (p) management review;
- (q) preventive and corrective action;
- (r) continual improvement; and
- (s) any other audit criteria or elements that may be appropriate.

3.13.4. The audit conclusion should determine whether the implemented OSH management system elements or a subset of these:

- (a) are effective in meeting the *organization's* OSH policy and objectives;
- (b) are effective in promoting full worker participation;
- (c) respond to the results of OSH performance evaluation and previous audits;
- (d) enable the *organization* to achieve compliance with relevant national laws and regulations; and

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- (e) fulfil the goals of continual improvement and best OSH practice.

3.13.5. Audits should be conducted by competent persons internal or external to the *organization* who are independent of the activity being audited.

3.13.6. The audit results and audit conclusions should be communicated to those responsible for corrective action.

3.13.7. Consultation on selection of the auditor and all stages of the workplace audit, including analysis of results, are subject to worker participation, as appropriate.

3.14. Management review

3.14.1. Management reviews should:

- (a) evaluate the overall strategy of the OSH management system to determine whether it meets planned performance objectives;
- (b) evaluate the OSH management system's ability to meet the overall needs of the *organization* and its stakeholders, including its workers and the regulatory authorities;
- (c) evaluate the need for changes to the OSH management system, including OSH policy and objectives;
- (d) identify what action is necessary to remedy any deficiencies in a timely manner, including adaptations of other aspects of the *organization's* management structure and performance measurement;
- (e) provide the feedback direction, including the determination of priorities, for meaningful planning and continual improvement;
- (f) evaluate progress towards the *organization's* OSH objectives and corrective action activities; and
- (g) evaluate the effectiveness of follow-up actions from earlier management reviews.

3.14.2. The frequency and scope of periodic reviews of the OSH management system by the employer or the most senior accountable person should be defined according to the *organization's* needs and conditions.

3.14.3. The management review should consider:

- (a) the results of work-related injuries, ill health, diseases and incident investigations; performance monitoring and measurement; and audit activities; and
- (b) additional internal and external inputs as well as changes, including organizational changes, that could affect the OSH management system.

3.14.4. The findings of the management review should be recorded and formally communicated to:

- (a) the persons responsible for the relevant element(s) of the OSH management system so that they may take appropriate action; and
- (b) the safety and health committee, workers and their representatives.

Action for improvement

3.15. Preventive and corrective action

3.15.1. Arrangements should be established and maintained for preventive and corrective action resulting from OSH management system performance monitoring and measurement, OSH management system audits and management reviews. These arrangements should include:

- (a) identifying and analysing the root causes of any non-conformities with relevant OSH regulations and/or OSH management systems arrangements; and
- (b) initiating, planning, implementing, checking the effectiveness of and documenting corrective and preventive action, including changes to the OSH management system itself.

3.15.2. When the evaluation of the OSH management system or other sources show that preventive and protective measures for hazards and risks are inadequate or likely to become inadequate, the measures should be addressed according to the recognized hierarchy of prevention and control measures, and completed and documented, as appropriate and in a timely manner.

3.16. Continual improvement

3.16.1. Arrangements should be established and maintained for the continual improvement of the relevant elements of the OSH management system and the system as a whole. These arrangements should take into account:

- (a) the OSH objectives of the *organization*;
- (b) the results of hazard and risk identifications and assessments;
- (c) the results of performance monitoring and measurements;
- (d) the investigation of work-related injuries, diseases, ill health and incidents, and the results and recommendations of audits;
- (e) the outcomes of the management review;
- (f) the recommendations for improvement from all members of the *organization*, including the safety and health committee, where it exists;