Further to our 20 December 2012 communication seeking the reaction of IOE members to the development by ISO of an OSH Management System Standard, our findings suggest that the development of such an ISO standard is not required.

The IOE has consequently developed the attached paper outlining IOE perspectives on this development, with some arguments you may wish to use, or adapt as a basis, to influence ISO discussions at national level.

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DEVELOPMENT OF AN ISO STANDARD ON OCCUPATIONAL SAFETY AND HEALTH (OSH) MANAGEMENT SYSTEMS

IOE Perspectives January 2013

INTERNATIONAL ORGANISATION OF EMPLOYERS
EXECUTIVE SUMMARY

There have been many initiatives to develop international standards for occupational safety and health management systems over the years. There are also many diverse initiatives at global, regional and national levels for legislation and guidance on occupational safety and health obligations on employers. These are in addition to numerous voluntary efforts by companies and sectors to share best practice on OSH performance.

Whilst these initiatives reflect societal expectations, businesses implement OSH management systems aligned with their other business systems for exemplary performance because it is the right thing to do for business sustainability.

In order to remain competitive, businesses require the flexibility to operate without requiring a mandate from other business third party interventions.

Businesses need to be able to have a diversity of approaches to managing OSH, as this will help promote innovation and good practice.

A. THE IOE POSITION ON THE DEVELOPMENT OF AN ISO OSH MANAGEMENT STANDARDS

From the policy perspective the IOE has the following concerns on the development of ISO standardisation of occupational health and safety management systems.

- ISO standards and certification procedures on management systems normalise and, if businesses chose to subscribe to them, mandate third party interventions in business operations, involving auditors, certification and accreditation schemes. This adds to costs and bureaucracy.

- In a rapidly changing world, the need for business to develop innovative solutions for all its operations, products and services is essential to maintain competitiveness and sustainable enterprises. The concept of standardisation and the often prolonged process of developing standards can inhibit business initiatives and growth. Legislative and system frameworks need to enable business flexibility and responsiveness.

- A standardised approach is not always helpful given the diverse nature of work and the wide range of business operations – their size, their geography and other particular circumstances. So a prescriptive formula for management would have to be at a very high level and is correspondingly less useful at the workplace level.

- Addressing specific focused issues such as the safe use of chemicals in the workplace or managing physical hazards can be dealt with by a limited range of technical solutions that can be set out in standards documents. However an OSH management approach to complex and behaviour-based issues, recognising the interface between processes and people, does not necessarily lend itself to the same technical approaches. This is particularly so for psychosocial issues that cross boundaries into personal and lifestyle issues and these factors are not necessarily identifiable nor are they measureable in the same way. Improving safety outcomes relies on good health and safety governance and sound organisational cultures.
The foundation for building better, safer places of work is good communication, mutual respect, co-operation and shared or personal responsibility. However these values cannot be mandated through national or international standards or regulation, because of the diverse nature of background cultures and beliefs.

Standardisation does not of itself resolve issues nor drive safety performance. Drivers for workplace systems that support a culture of dignity and respect should allow for the successful resolution of issues and promote outcomes that remain sustainable.

There is a balance to be drawn between the virtues of standardisation of many diverse OSH initiatives and providing sufficient flexibility to accommodate the range of ways that businesses operate. Consistency in some systems across large multinational organisations can be desirable and is often voluntarily adopted. Standards can benefit businesses in relatively undeveloped countries by providing a means of approaching OSH performance and can provide businesses elsewhere with a way of differentiating their market offer.

The IOE believes that businesses need to decide for themselves whether there is a business case for them to subscribe to OSH standards, benchmarks, certification or accreditation schemes and that these should not be linked to legislative requirements. Including Standards in OSH legislation forces purchase of them and these are often individually very expensive, particularly for small businesses. Technical standards may be referred to in supporting codes of practice where there is more discretion in their use as an example of best practice amongst other approaches.

B. BACKGROUND

The most recent initiative by ISO (see Appendix 1 - ISO Form 01 Proposal) to embark on yet another attempt to develop an international standard on Occupational Health and Safety Management, has prompted the IOE to consult its members on the implications. Further background information can also be found at Appendix 2 - ISO and OSH Management system Standards – Summary of the history. This indicates the long gestation of this initiative and the overlap with ILO activities. In 2000, ISO voted on the same subject and was rejected (29 in favour, 20 against: A 2/3 majority is required).

In 2007, The ILO Governing Body discussed possible ILO/ISO collaboration and decided not only not to collaborate but in a letter from the ILO Director General asked ISO to refrain from developing standards on OSH MS. There is on-going discussion on general agreement between the ILO and ISO.
A proposal for a new field of technical activity shall be submitted to the Central Secretariat, which will assign it a reference number and process the proposal in accordance with the ISO/IEC Directives (part 1, subclause 1.5). The proposer may be a member body of ISO, a technical committee or subcommittee, the Technical Management Board or a General Assembly committee, the Secretary-General, a body responsible for managing a certification system operating under the auspices of ISO, or another international organization with national body membership. Guidelines for proposing and justifying a new field of technical activity are given in the ISO/IEC Directives (part 1, Annex C).

**Title of the proposed new committee**  
(The title shall indicate clearly yet concisely the new field of technical activity which the proposal is intended to cover.)

Occupational Health and Safety Management

**Scope statement of the proposed new committee**  
(The scope shall precisely define the limits of the field of activity. Scopes shall not repeat general aims and principles governing the work of the organization but shall indicate the specific area concerned.)

Standardization in the field of occupational health and safety management, including generic occupational health and safety management systems, supporting technologies and tools

The work includes close cooperation with all other ISO committees producing management system, auditing and conformity assessment standards (through the ISO/TMB/TAG13-JTCG), and particularly with ISO/CASCO, ISO/TC 176 and ISO/TC 207.

Excluded: the development of standards relating to food safety management, which is the responsibility of ISO/TC 34

**Proposed initial programme of work**  
(The proposed programme of work shall correspond to and clearly reflect the aims of the standardization activities and shall, therefore, show the relationship between the subject proposed. Each item on the programme of work shall be defined by both the subject aspect(s) to be standardized (for products, for example, the items would be the types of products, characteristics, other requirements, data to be supplied, test methods, etc.). Supplementary justification may be combined with particular items in the programme of work. The proposed programme of work shall also suggest priorities and target dates.)

Initially envisaged is the development of an "ISO XX001 Occupational health and safety management systems - Requirements" standard.

Additionally, the TC should consider the need for guidance to support the use of the "Requirements" standard. This could be in the form of an annex to the "Requirements" standard (as per the annex to ISO 14001) or it could be developed as a separate "Application/ Implementation Guidelines" standard (as per ISO/DIS 55002, or the former ISO 9000-2).

The TC should also consider the need for an "Overview and principles" standard (as per ISO/IEC 27000, or ISO/DIS 55000), or a "Fundamentals" standard (as per ISO 9000), to introduce new users to the discipline.

The TC’s work programme should include a joint project with ISO/CASCO to develop an additional Part to ISO/IEC 17021 on "Conformity assessment — Requirements for bodies providing audit and certification of management systems and requirements for third-party certification auditing of management systems — Part ???: Requirements for third party certification auditing of occupational health and safety management systems"
In the longer term the TC may wish to consider the development of standards (or other deliverables) on topics such as:

- the management of psychosocial risks
- wellness and wellbeing programmes
- the rehabilitation of workers

**Indication(s) of the preferred type or types of deliverable(s) to be produced under the proposal (This may be combined with the "Proposed initial programme of work" if more convenient.)**

The initial deliverable is expected to be developed as a full International Standard

**A listing of relevant existing documents at the international, regional and national levels. (Any known relevant document (such as standards and regulations) shall be listed, regardless of their source and should be accompanied by an indication of their significance.)**

Documents of high significance for the proposed "Requirements" standard include:
- The ISO/IEC Directives, Procedures Specific to ISO, Annex SL
- OHSAS 18001 Occupational health and safety management systems – Requirements
- GB/T28001 Occupational health and safety management systems - Requirements
- AS/NZ 4801 Occupational health and safety management systems - Specification with guidance for use
- ANSI Z10 Occupational health and safety management systems
- ISO 31000 Risk management
- ILO-OSH Guidelines on occupational safety and health management systems

Documents of high significance that should be considered when deciding the need for supporting guidance include:
- OHSAS 18002 Occupational health and safety management systems — Guidelines for the implementation of OHSAS 18001
- AS/NZ 4804 Occupational health and safety management systems - General guidelines on principles, systems and supporting techniques
- ANSI Z10 Occupational health and safety management systems
- ILO-OSH Guidelines on occupational safety and health management systems

In addition to the above documents, a number of other health and safety standards and regulations are listed in the "OHSAS Standards and Certificates Survey" and will need to be considered during the development of the proposed initial standard

Documents of high significance for the development of the proposed competency requirements include:
- ISO 19011 Guidelines for auditing management systems
- ISO/IEC DTS 17021-2 Conformity assessment — Requirements for bodies providing audit and certification of management systems and requirements for third-party certification auditing of management systems — Part 2: Requirements for third party certification auditing of environmental management systems
- ISO/IEC DTS 17021-3 Conformity assessment — Requirements for bodies providing audit and certification of management systems and requirements for third-party certification auditing of management systems — Part 3: Requirements for third party certification auditing of quality management systems
There are also many pertinent ISO/IEC (and CEN) Guides of relevance, e.g.:

- ISO/IEC Guide 71:2001 Guidelines for standards developers to address the needs of older persons and persons with disabilities
- CEN Guide 17 “Guidance for writing standards taking into account micro, small and medium-sized enterprises (SMEs) needs”

A statement from the proposer as to how the proposed work may relate to or impact on existing work, especially existing ISO and IEC deliverables. (The proposer should explain how the work differs from apparently similar work, or explain how duplication and conflict will be minimized. If seemingly similar or related work is already in the scope of other committees of the organization or in other organizations, the proposed scope shall distinguish between the proposed work and the other work. The proposer shall indicate whether his or her proposal could be dealt with by widening the scope of an existing committee or by establishing a new committee.)

Given the potential for work in this field, it is considered more appropriate to establish a new technical committee, rather than to try to expand the scope of an existing committee.

There are currently no ISO or IEC deliverables specifically on occupational health and safety management, or on occupational health and safety management systems (although some items could be considered close, e.g. ISO 30000:2009 Ships and marine technology -- Ship recycling management systems -- Specifications for management systems for safe and environmentally sound ship recycling facilities; or ISO/TR 12885:2008 Nanotechnologies -- Health and safety practices in occupational settings relevant to nanotechnologies)

There is reference to occupational health and safety management systems in publications such as the ISO handbook “Guide to the Integrated Use of Management System Standards”

One of the key factors that often leads to the development of a standard is the issue of “safety”. This issue is addressed in many product standards and guidelines for the safe handling and operation of materials, equipment or processes. Consequently there may need to be wide interaction between the proposed TC and many existing other ISO TCs (for example ISO/TC 21 Equipment for fire protection and fire fighting; ISO/TC 92 Fire Safety; ISO/TC 94 Personal safety -- Protective clothing and equipment; ISO/TC 145 Graphical symbols; ISO/TC 199 Safety of machinery). However, the emphasis of the proposed TC's work should be on the achievement of good management practices within organizations and not on the individual technologies addressed in these other committees (A listing of some further examples of TCs and related standards is given below)

In addition, as the development of management system standards is being proposed, there will need to be interaction with other ISO MSS committees and with the ISO/TMB/TAG13-JTCG, to ensure that the proposed ISO management system standards are aligned.

There is particularly a need for co-ordination with ISO/TC 207, as the function of health and safety is often combined with the function for environmental management within organizations.

Additionally, there is a need for co-ordination with ISO/TC 176, as often organizations seek to combine their quality, health and safety, and environmental management systems into an "integrated" management system.

Outside of ISO and the IEC the key document in this field is the ILO-OSH Guidelines on occupational safety and health management systems. As these are written as guidelines, and not aligned with the other ISO MSS, it has been found that this presents a barrier to their use by organizations trying to demonstrate that they have adopted good OH&S practices.

Additionally, a number of organizations follow the Safety Checklist Contractor (SCC) scheme (also known as the Safety Certificate Contractor scheme), which recognizes standards such as ISO 9001 and ISO 14001, but does not require the implementation of a full OH&S management system
A listing of some pertinent TCs and their standards relating to safety includes:

<table>
<thead>
<tr>
<th>TC/SC/ISO</th>
<th>Standard Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>139/SC9</td>
<td>ISO 4413:2010</td>
<td>Hydraulic fluid power -- General rules and safety requirements for systems and their components</td>
</tr>
<tr>
<td>199</td>
<td>ISO 12100:2010</td>
<td>Safety of machinery -- General principles for design -- Risk assessment and risk reduction</td>
</tr>
<tr>
<td>72/SC8</td>
<td>ISO 11111-4:2005</td>
<td>Textile machinery -- Safety requirements -- Part 4: Yarn processing, cordage and rope manufacturing machinery</td>
</tr>
<tr>
<td>67/SC6</td>
<td>ISO 10418:2003</td>
<td>Petroleum and natural gas industries -- Offshore production installations -- Analysis, design, installation and testing of basic surface process safety systems</td>
</tr>
<tr>
<td>85/SC5</td>
<td>ISO 14943:2004</td>
<td>Nuclear fuel technology -- Administrative criteria related to nuclear criticality safety</td>
</tr>
<tr>
<td>44/SC9</td>
<td>ISO 15012-1:2004</td>
<td>Health and safety in welding and allied processes -- Requirements testing and marking of equipment for air filtration -- Part 1: Testing of the separation efficiency for welding fume</td>
</tr>
</tbody>
</table>

A listing of relevant countries where the subject of the proposal is important to their national commercial interests.

The subject of occupational health and safety management is important to all countries and to their national commercial interests.

A listing of relevant external international organizations or internal parties (other ISO and/or IEC committees) to be engaged as liaisons in the development of the deliverable(s). (In order to avoid conflict with, or duplication of efforts of, other bodies, it is important to indicate all points of possible conflict or overlap. The result of any communication with other interested bodies shall also be included.)

The International Labour Organization and the Safety Checklist Contractor organization should be invited to participate in the activities of this TC.

ISO/TC207/SC1 and ISO/TC 176/SC2 should be invited to co-ordinate their developments of ISO 14001 and ISO 9001 respectively with the proposed initial standard on OH&S management systems - Requirements. The ISO/TMB/TAG13-JTCG should be kept informed of this work to ensure alignment of the proposed standards with other ISO MSS.

A simple and concise statement identifying and describing relevant affected stakeholder categories (including small and medium sized enterprises) and how they will each benefit from or be impacted by the proposed deliverable(s).

Health and safety management guidelines and practices are usually agreed under a tripartite system involving representation by governments/regulators, industry and labour organizations.

It would be extremely helpful to the development of the proposed standards if a similar tripartite representation could be achieved amongst the experts participating on the TC, and particularly if representatives from labour organizations could be encouraged to participate.

In looking at the benefits that each group of stakeholders might achieve:

1) **Governments and regulators** would have access to international standards that they could require their national industries to follow, in lieu of creating new legislation in this field. In comparison to the development process for such legislation, the development of a standard can be a quicker and more effective process, and can be updated on a more regular basis. In addition governments and regulators would have the knowledge that their industries would not be at a competitive disadvantage when compared to those in other countries when applying such international standards.
2) **Industry** would benefit by knowing that it was working to the most up to date agreed set of international practices for health and safety management and that national differences would no longer represent a barrier to trade. In addition, as globalization is moving more towards showing concern for issues on social responsibility and sustainability, industry would be able to take comfort in knowing that its supply chains around the world were working to an internationally agreed set of criteria, thus giving their brands a degree of additional protection. Further, the availability of an aligned OH&S MSS would facilitate the “integration” of OH&S into organizations' management systems.

3) **Labour** would benefit by knowing that organizations using the standards were being proactive in their approach to health and safety management in order to safeguard their workforces, or other persons under the organizations' control.

4) **Visitors, neighbours and people passing the organization’s sites** would benefit by knowing that the organization had considered their health and safety, and should not be putting them at risk.

5) **For SMEs:** As with other ISO MSS the proposed initial standards would be generic and applicable to all types and sizes of organization; consequently a small or medium sized enterprise may be able to employ a simpler OH&S management system than the more complex systems that larger organizations may need to use, as applicable to their needs.

The issue of health and safety in small organizations is known to be a problem that is common to many countries, with a disproportionate number of incidents and accidents occurring in such organizations. The promotion of an agreed international standard to such organizations, along with the supporting infrastructure of training courses etc. to support it, may create a level of awareness of health and safety issues in such organizations that other programmes have not yet managed to achieve. Additionally, while the initial proposal is for a full OH&S ISO MSS, the proposed TC could look in the future at producing deliverables specifically for smaller organizations.

An expression of commitment from the proposer to provide the committee secretariat if the proposal succeeds.

BSI is pleased to confirm that it is willing to provide the committee secretariat if the proposal succeeds.

BSI has received a number of expressions of interest in sharing the functions of the secretariat (i.e. the position of Chairman versus the position of Secretary) or in twinning such functions, from a number of Member Bodies. BSI would be pleased for the ISO/TMB to consider these requests.
Purpose and justification for the proposal. (The purpose and justification of the standard to be prepared shall be made clear and the need for standardization of each aspect (such as characteristics) to be included in the standard shall be justified. Clause C.4.12.1 through C.4.12.10 of Annex C of the ISO/IEC Directives, Part 1 contain a menu of suggestions or ideas for possible documentation to support and purpose and justification of proposals. Proposers should consider these suggestions, but they are not limited to them, nor are they required to comply strictly with them. What is most important is that proposers develop and provide purpose and justification information that is most relevant to their proposals and that makes a substantial business case for the market relevance and the need for their proposals. Thorough, well-developed and robust purpose and justification documentation will lead to more informed consideration of proposals and ultimately their possible success in the ISO IEC system.)

The statistics for health and safety incidents, accidents and their related costs (to the individual, to organizations and to society) continue to be horrific. The need for organizations worldwide to improve their OH&S performance is immediate, and will definitely continue into the future. Any tool, such as an OH&S management system, that can help diminish these figures should be supported.

Even before the 1996 ISO workshop on OH&S there were growing demands for a "Requirements" standard on OH&S management systems, to enable organizations to demonstrate that they had adopted good OH&S practices.

The OHSAS "Standards and Certificates Survey" has shown a rapid rise in the rate of use of OHSAS 18001 and equivalent standards over the past 10 years. More importantly, it has shown that the standards are now being used in 127 countries around the world, which strongly suggests that there would be value to seeking to harmonize OH&S management system requirements into an international standard, and to share best practices.

It has been noted that there has been consistent opposition to the development of OH&S management system standards both in ISO and in CEN since the early 1990s. The main reason being cited is that each country has its own OH&S regulations, and that is sufficient. In contrast, a key requirement of OHSAS 18001 is that organizations should demonstrate legal compliance, which would support such national regulations. Additionally, while the regulations may differ from country to country, the OH&S problems, and their potential solutions, remain the same.

The other issue that has consistently been raised in opposition to the development of such standards is that the actual balance of participants in the drafting process does not follow the tripartite approach and would not be adequate. ISO has demonstrated through the development of deliverables such as ISO 26000 that it is willing to facilitate new approaches in its drafting processes, and this issue should no longer be considered as a valid barrier.

(The OHSAS survey has shown that there is significant levels of use of OHSAS 18001 occurring even in those states that have previously expressed such opposition)

As the initial deliverable proposed is for the development of an ISO MSS, a separate Annex SL Justification Study is provided to give the purpose and justification for this proposal.

In addition a copy of the OHSAS "Standards and Certificates Survey" for data up to the end of 2011 is provided in order to support this proposal.
Further information to assist with understanding the requirements for the items above can be found in the Directives, Part 1, Annex C.

Comments of the Secretary-General (to be completed by the Central Secretariat)

Signature
ISO and OSH management system standards

1. In early 1990s, with the popularity of the ISO management system standards in the field of Quality Management System (ISO 9000 Series) and Environmental Management Systems (14000 Series), the ISO and its members became interested in the development of similar standards in the field of Occupational Safety and Health (OSH). The ISO convened an international consultation meeting on OSH management system in 1996, but the meeting did not support the ISO work in this field.

2. Recognizing the usefulness of management systems approach to OSH and considering the outcome of the above meeting in 1996, the ILO (SafeWork) started its work on OSH management systems in 1997. When the ILO was drafting OSH management systems guidelines, in 1999 the ILO informed the ISO Secretariat and asked if they are interested in supporting ILO work. In response, BSI (ISO member) immediately initiated a voting process to initiate the work in this field by the ISO. The voting was concluded in March 2000 and the proposal did not obtain enough support (29 voted in favour, 20 against: 2/3 majority required under ISO rules.

3. The ILO Guidelines on OSH management systems (ILO-OSH 2001) was adopted by a tripartite meeting of experts in 2001. Since then, the ILO has been promoting the ILO Guidelines as an important tool for OSH promotion. The importance of ILO-OSH 2001 was recognized in the ILO Global Strategy on OSH adopted by the 2003 ILC and recent Recommendation No.197 adopted in 2006.


5. At the March 2007 Session, the Governing Body decided:

"Taking into account the Governing Body discussion of documents GB.298/15/5 and GB.298/15/5(Add.), the Governing Body:
(a) reaffirmed the mandate of the ILO in the field of occupational safety and health and, in that context, asked ISO to refrain from developing an international standard on occupational safety and health management systems;
(b) requested the Office to continue consultations with ILO constituents on possible collaboration between the ILO and ISO and to report back to the Governing Body at its November 2007 session with recommendations reflecting those consultations."

6. Main argument leading to the above decision was that the standards on OSH management system are standards close to the ILO Conventions, Recommendations and Code of Practice, and that they are different from technical standards on machinery specifications for which ISO standards are useful. Also an important aspect is that the ISO standard development process will be dominated by experts from its member bodies. The contributions from ILO social partners will have limited impacts on the outcome, even if there could be arrangement for ensuring the participation of ILO social partners in the ISO standardization process.

7. Another important aspect of ISO standards on management systems is that they are certified by third party auditing companies. While the third party auditing itself is a good practice for better functioning of management systems. There has been a strong commercial drive for a quite expensive certification and there has been a concern for this move among the social partners.

8. For OSH management system, it is important to use this approach as a part of national OSH strategy formulated by the national authority in consultation with social partners. There are different ways to promote OSH management systems such as legislative approach and voluntary approach which could include the arrangements for certification.

9. In May 2007, the Director-General wrote to the ISO Secretary General informing the above ILO GB decisions.

10. In March 2008, the Office submitted another paper on the subject to the Governing Body. In this paper, the Office informed the actions taken and planed by the Office to promote the ILO Guidelines. The Office also reported a new move by the ISO which has an implication on OSH management system: “Recently, the ISO requested its members to vote on a proposal for the revision of ISO 19011 – Management systems auditing. The purpose of the proposal is to develop a generic guideline for auditing non-financial management systems in order to expand the coverage of ISO 19011 to other disciplines, including occupational safety and health and information security management systems.”.

11. In December 2012, BSI (secretariat of OSHAS Group) circulated to its members informing BSI’s intention to submit a proposal for establishing an ISO Technical Committee to develop OSH Management System standards and asking the views of members. This group is an informal working group which developed OHSAS 18001 in 1990s and has been updating regularly.

12. In addition to the information from OHSAS Group, some other OSH contacts informed us about the BSI’s plan to submit the proposal during the second week of January 2013. While the final decision to initiate this work by ISO is subject to the decision of TMB (ISO Governing Board) after the voting by its members, this move is against the request of the ILO Director-General in his letter to the ISO in 2007.

December 2012/SafeWork

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