

4 OH&S management system elements

4.1 General requirements

The organization shall establish and maintain an OH&S management system, the requirements of which are set out in clause 4.

4.2 OH&S policy

There shall be an occupational health and safety policy authorized by the organization's top management, that clearly states overall health and safety objectives and a commitment to improving health and safety performance.

The policy shall:

- (a) be appropriate to the nature and scale of the organization's OH&S risks;
- (b) include a commitment to continual improvement;
- (c) include a commitment to at least comply with current applicable OH&S legislation and with other requirements to which the organization subscribes;
- (d) be documented, implemented and maintained;
- (e) be communicated to all employees with the intent that employees are made aware of their individual OH&S obligations;
- (f) be available to interested parties; and
- (g) be reviewed periodically to ensure it remains relevant and appropriate to the organization.

4.3 Planning

4.3.1 Planning for hazard identification, risk assessment and risk control

The organization shall establish and maintain procedures for the ongoing identification of hazards, the assessment of risks, and the implementation of necessary control measures. These shall include:

- routine and non-routine activities
- activities of all personnel having access to the workplace
- facilities at the workplace, whether provided by the organization or others.

The organization shall ensure that the results of these assessments and the effects of these controls are considered when setting its OH&S objectives. The organization shall document and keep this information up to date.

The organization's methodology for hazard identification and risk assessment shall:

4.安全衛生管理系統要素

4.1 一般要求事項

組織應建立並維持一個安全衛生管理系統，本(4)節將說明此系統的要求。

4.2 安全衛生政策

組織應有高階主管授權之職業安全衛生政策，清楚陳述整體安全衛生目標與改善安全衛生績效之承諾。

該政策應：

- a) 對組織之安全衛生風險的性質及規模是合宜的；
- b) 包括對持續改善之承諾；
- c) 包括對至少符合目前適用的安全衛生法令規章及組織須遵守的其他要求事項之承諾；
- d) 已文件化、實施及維持；
- e) 傳達給所有員工，使其認知個人的安全及衛生責任；
- f) 可向利害相關者公開；以及
- g) 定期審查以確認該政策保持對組織的相關性及合宜性。

4.3 規劃

4.3.1 危害鑑別、風險評估及風險控制之規劃

組織應建立並維持程序以持續鑑別危害，評估風險及實施必要的控制方法。此應包括：

- 例行性及非例行性活動
- 所有人員進入工作場所之活動
- 工作場所中由組織或其他單位所提供之設施

組織在設定本身的安全衛生目標時，應確認已將評估的結果及控制的效果納入考慮。組織應將此項資訊文件化並保持其更新。

組織之危害鑑別及風險評估的方法應：

- a) 依據組織之相關範圍、性質及時機定義，以確保其為主動式而非被動式；
- b) 提供風險之分類及鑑別那些將被如 4.3.3

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- (a) be defined with respect to its scope, nature and timing to ensure it is pro-active rather than reactive ;
- (b) provide for the classification of risks and identification of those that are to be eliminated or controlled by measures as defined in 4.3.3 and 4.3.4;
- (c) be consistent with operating experience and the capabilities of risk control measures employed;
- (d) provide input into the determination of facility requirements, identification of training needs and/or development of operational controls;
- (e) provide for the monitoring of required actions to ensure both effectiveness and timeliness of their implementation.

NOTE: For further guidance on hazard identification, risk assessment and risk control, see OHSAS 18002.

4.3.2 *Legal and other requirements*

The organization shall establish and maintain a procedure to identify and have access to the legal and other OH&S requirements that are applicable to it.

The organization shall keep this information up-to-date. It shall communicate relevant information on legal and other requirements to its employees and other relevant interested parties.

4.3.3 *Objectives*

The organization shall establish and maintain documented occupational health and safety objectives, at each relevant function and level within the organization.

When establishing and reviewing its objectives, an organization shall consider its legal and other requirements, its OH&S hazards and risks, its technological options, its financial, operational and business requirements, and the views of interested parties. The objectives shall be consistent with the OH&S policy, including the commitment to continual improvement.

4.3.4 *OH&S management programme(s)*

The organization shall establish and maintain (an) OH&S management programme(s) for achieving its objectives. This shall include documentation of:

- (a) the designated responsibility for achievement of objectives at relevant functions and levels of the organization; and
- (b) the means and time-scale by which objectives are to be achieved.

The OH&S management programme (s) shall be reviewed at regular and planned intervals. Where necessary the OH&S management programme (s) shall be amended to address changes to the activities, products, services, or operating conditions of the organization.

- 節及 4.3.4 節所定義之方法消除或控制的風險；
- c) 與運作經驗及使用風險控制方法之能力相一致；
- d) 提供資訊輸入以決定設施要求，訓練需求之鑑別及／或作業管制之發展；
- e) 提供需求行動之監督以確認其實施之有效性與適時性。

備考：危害鑑別、風險評估及風險控制之進一步指導綱要，見 OHSAS 18002。

4.3.2 法令規章與其它其要求事項

組織應建立並維持一程序，以鑑別並取得適用之法令規章與其它安全衛生要求事項。

組織應保持此項資訊之更新。法令規章與其它要求事項之相關資訊應傳達給員工及其他利害相關者。

4.3.3 目標

組織於內部各個相關部門與階層，應建立業維持其文件化的職業安全衛生目標。

在建立與審查目標時，組織應考慮到法令規章與其它要求事項，本身的安全衛生危害因子及風險，技術面取捨與財務、作業及業務等要求事項，以及利害相關者的觀點。目標應與安全衛生政策一致，包括對持須改善的承諾。

4.3.4 安全衛生管理方案

組織應制定並維持一個或多個安全衛生管理方案，以達成其目標。

方案中應包括之文件：

- a) 組織內各個相關部門與階層為達成目標之權責分工；以及
- b) 達成目標之方法與時程。

安全衛生管理方案應於定期及規劃之階段審查。必要時，應修訂安全衛生管理方案，以說明組織之活動、產品、服務或運作狀況的變更。

4.4 實施與運作

4.4.1 架構與責任

4.4 Implementation and operation

4.4.1 Structure and responsibility

Roles, responsibilities and authorities shall be defined, documented and communicated in order to facilitate effective OH&S management. In particular the roles, responsibilities and authorities shall be defined of those personnel who manage, perform and verify activities having an effect on the OH&S risks of the organization's activities, facilities and processes.

Ultimate responsibility for occupational health and safety rests with top management. The organization shall appoint a member of top management (e.g. in a large organization, a Board or executive committee member) with 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.

Management shall provide resources essential to the implementation, control and improvement of the OH&S management system. Resources include human resources and specialized skills, technology and financial resources.

The organization's management appointee shall have defined roles, responsibilities and authority for:

- a) ensuring that OH&S management system requirements are established, implemented and maintained in accordance with this OHSAS Specification;
- b) ensuring that reports on the performance of the OH&S management system are presented to top management for review and as a basis for improvement of the OH&S management system.

All those with management responsibility shall demonstrate, by example, their commitment by being actively involved in the continual improvement of OH&S performance.

4.4.2 Training, awareness and competence

The organization shall identify training needs. It shall require that all persons shall receive training appropriate to the OH&S risks they face. The organization shall maintain records of OH&S related training provided to its individual employees.

It shall establish and maintain procedures to make its employees working at each relevant function and level aware of:

- a) The importance of conformance to the OH&S policy and procedures and with the requirements of the OH&S management system;
- b) The OH&S consequences, actual or potential, of their work activities and the OH&S benefits of improved personal performance;
- c) Their roles and responsibilities in achieving

爲了達成有效的安全衛生管理，對角色、責任及權限應加以界定、文件化及宣導溝通。特別是對於管理、執行及驗證組織活動、設施及製程中具有安全衛生風險者，其角色、責任及權限應加以界定。

高階主管負有職業安全衛生之最終責任。組織應指派高階主管中之一員(例如大型組織中之執行委員會成員)負特殊責任，以確認安全衛生管理系統在組織中之所有地點及領域的運作皆能依照要求事項適切地實施及執行。

管理階層應提供實施、管制及改善安全衛生管理系統所需要的資源，包括人力資源、專門技能、技術及財務的資源。

組織的管理代表應具有界定之角色責任及權限以進行下列任務：

- a) 確認安全衛生管理系統的各項要求係根據本標準而建立實施及維持的；
- b) 確認向高階主管報告安全衛生管理系統的績效以供審查並做爲改進安全衛生管理系統之依據。

所有負管理責任者應藉實例展現其積極參與安全衛生績效持續改善的承諾。

4.4.2 訓練、認知及能力

組織應確認訓練需求，對於工作上會面臨安全衛生風險的每位員工應要求其接受合適的訓練。組織應維持提供給其個別員工安全衛生相關訓練的紀錄。

組織應建立並維持適當的程序，俾利各相關部門與階層的人員具有下列之認知：

- a) 符合安全衛生政策與程序以及安全衛生管理系統之各項要求的重要性；
- b) 員工之作業活動對安全衛生所造成之實際或潛在的影響，以及提昇個人績效能夠帶來的安全衛生效益；
- c) 爲了合安全衛生政策與程序以及安全衛生管理系統之各項要求，包括緊急事件準備與應變之要求，每個人所必須扮演的角色和負擔的責任；

conformance with the OH&S policy and procedures and with the requirements of the OH&S management system including emergency preparedness and response requirements;

- d) The potential consequences of departure from specified operating procedures.

The training procedures shall take into account differing levels of:

- a) responsibility, ability and literacy; and
- b) risk.

Personnel performing tasks, which may impact on OH&S in the workplace, shall be competent on the basis of appropriate education, training and/or experience.

4.4.3 Consultation and communication

The organization shall have procedures for ensuring that pertinent OH&S information is communicated to and from employees and other interested parties.

Employee involvement and consultation arrangements shall be documented and interested parties informed.

Employees shall be:

- a) involved in the development and review of policies and procedures to manage risks;
- b) consulted where there are any changes that affect workplace health and safety;
- c) represented on health and safety matters; and
- d) informed as to who is their employee OH&S representatives and specified management nominee (see clause 4.4.1).

4.4.4 Documentation

The organization shall establish and maintain information, in a suitable medium such as paper or electronic form, to:

- (a) describe the core elements of the management system and their interaction; and
- (b) provide direction to related documentation.

NOTE It is important that documentation is kept to the minimum required for effectiveness and efficiency.

4.4.5 Document and data control

The organization shall establish and maintain procedures for controlling all documents and data required by this OHSAS Specification to ensure that:

- (a) they can be located;
- (b) they are periodically reviewed, revised as necessary and approved for adequacy by authorized personnel;

- d) 偏離特定作業程序時可能造成的後果。

訓練程序應考慮不同階層員工之：

- a) 責任、能力及讀寫能力；以及
- b) 風險。

擔任可能造成安全衛生衝擊之工作的員工，應擁有適當的學歷、訓練及(或)經驗，以便勝任所負責的任務。

4.4.3 諮詢及溝通

組織應有適當的程序，以確認能向員工及其他利害相關者傳達及諮詢適切的安全衛生資訊。

員工之參與及諮詢之安排應予文件化，應通知利害相關者。

員工應：

- a) 參與政策及程序之發展與審查以管理風險；
- b) 被諮詢如有任何改變會影響工作場所之安全衛生
- c) 被告知安全衛生相關事務；以及
- d) 被通知誰是安全衛生員工代表，以及誰是特定管理代表（見 4.4.1 節）。

4.4.4 文件化

組織應建立並維持適用的書面或電子形式之資訊，以

- a) 說明管理系統的核心要項，以及彼此間的關連；
- b) 供做相關文件的指南。

4.4.5 文件及資料管制

組織應建立並維持適當的程序，俾能管制本標準所要求的各項文件及資料，以確認：

- a) 文件易於檢索；
- b) 視情況需要定期審查和改訂文件及資料，並由權責人員認可其適切性；
- c) 在所有關係到安全衛生管理系統有效運作之重要作業地點都可以取得相關文件及資料的視用版本；
- d) 即時地將失效的文件及資料自所有發行

- (c) current versions of relevant documents and data are available at all locations where operations essential to the effective functioning of the OH&S system are performed;
- (d) obsolete documents and data are promptly removed from all points of issue and points of use or otherwise assured against unintended use; and
- (e) archival documents and data retained for legal and knowledge preservation purposes or both, are suitably identified.

4.4.6 Operational control

The organization shall identify those operations and activities that are associated with identified risks where control measures need to be applied. The organization shall plan these activities, including maintenance, in order to ensure that they are carried out under specified conditions by:

- a) Establishing and maintaining documented procedures to cover situations where their absence could lead to deviations from the OH&S policy and the objectives;
- b) Stipulating operating criteria in the procedures;
- c) Establishing and maintaining procedures related to the identified OH&S risks of goods, equipment and services purchased and/or used by the organization and communicating relevant procedures and requirements to suppliers and contractors;
- d) Establishing and maintaining procedures for the design of workplace, process, installations, machinery, operating procedures and work organization, including their adaptation to human capabilities, in order to eliminate or reduce OH&S risks at their source.

4.4.7 Emergency preparedness and response

The organization shall establish and maintain plans and procedures to identify potential for and response to incidents and emergency situations, and for preventing and mitigating the likely illness and injury that may be associated with them.

The organization shall review its response plans and emergency preparedness and response plans and procedures, in particular, after the occurrence of incidents or emergency situations.

The organization shall also periodically test such procedures where practicable.

4.5 Checking and corrective action

4.5.1 Performance measurement and monitoring

- 處和使用處收回，否則要確保其不被誤用；
- e) 為法律及保存知識目的而保留的檔案文件及資料有適當標明。

4.4.6 作業管制

組織應鑑別出有那些作業與活動項目係與已確認需使用控制方法的風險有關，組織應規劃包括維修在內的上述活動，透過下列各項方式以確認作業時能符合規定的條件：

- a) 建立並維持文件化之程序俾能涵蓋如缺少那些程序時可能造成偏離安全衛生政策和目標之情況；
- b) 在這些程序中明訂作業準則；
- c) 建立並維持有關於組織所購買及(或)使用的商品設備和服務中可鑑別之相關安全衛生風險的程序，同時把相關程序與其要求傳達給供應商和承包商；
- d) 建立並維持設計工作場所、製程、安裝、機械、作業程序及工作組織的程序，包括順應員工能力，俾消除或降低其源頭之安全衛生風險。

4.4.7 緊急事件準備與應變

組織應建立並維持適當的計畫及程序，以鑑別可能發生和回應所發生之意外事件或緊急狀況，並防止或減輕此類事件所可能造成的疾病及傷害。

組織應審查其緊急事件準備與應變計畫及程序，特別是在意外事件或緊急狀況發生之後。

如實際可行，組織應定期測試這些應變程序。

4.5 檢查與矯正措施

4.5.1 績效量測與監督

組織應建立並維持適當的參數及程序，以定期監督與量測安全生績效。

此程序應提供：

- a) 監督組織安全衛生目標之達成程度；
- b) 主動性績效量測以監督安全衛生管理方案、作業準則、適用之法令及規章要求。

The organisation shall establish and maintain parameters and procedures to monitor and measure OH&S performance on a regular basis. These procedures shall provide for:

- (a) monitoring of the extent to which the organisations OH&S objectives are met;
- (b) proactive measures of performance that monitor compliance with the OH&S management programme, operational criteria and applicable legislation and regulatory requirements
- (c) reactive measures of performance to monitor accidents, near misses, ill health, incidents and other historical evidence of deficient OH&S performance
- (d) recording of data and results of monitoring and measurement sufficient to facilitate subsequent corrective and preventative action analysis.

Both qualitative and quantitative measures shall be considered, as appropriate, and shall be tailored to the needs of the organisation.

If monitoring equipment is required for performance measurement and monitoring it shall be calibrated and maintained and records of this process shall be retained.

4.5.2 Accidents, incidents, nonconformances and corrective and preventative action

The organization shall establish and maintain procedures for defining responsibility and authority for:

- (a) the handling and investigation of:
 - accidents
 - incidents
 - nonconformances
- (b) taking action to mitigate any consequences arising from accidents, incidents or nonconformances;
- (c) the initiation and completion of corrective and preventive actions;
- (d) confirmation of the effectiveness of corrective and preventive actions taken.

These procedures shall require that all proposed corrective and preventive actions shall be reviewed through the risk assessment process prior to implementation.

Any corrective or preventive action taken to eliminate the causes of actual and potential non-conformances shall be appropriate to the magnitude of problems and commensurate with the OH&S risk encountered.

The organization shall implement and record any changes in the documented procedures resulting from corrective and preventive action.

- c) 被動性績度量測以監督意外事件、虛驚事件、疾病、事故及其他缺乏安全衛生績效的歷史證據。
- d) 記錄資料足夠幫助後續矯正及預防措施分析之監督與量測結果。

定性及定量的量測方法皆應適當考慮，並使其適合於組織的需求。

用於監督與量測績效的監督設備應予校正和維修，其過程之紀錄加以保存。

4.5.2 意外事件、事故、不符合、矯正及預防措施

組織應建立並維持適當的程序以界定權責，俾：

- a) 處理及調查
 - 意外事件
 - 事故
 - 不符合狀況
- b) 採取行動以減輕因意外事件、事故或不符合狀況所造成的影響；
- c) 展開並完成矯正及預防措施
- d) 確認控取之矯正及預防措施的有效性。此程序應要求所有提議之矯正及預防措施，應於實施前藉由風險評估過程加以審查。

採取任何矯正或預防措施以消除造成實際或潛在之不符合狀況的根本原因時，應根據問題的大小和安全衛生風險的程序採取適當的作法。

由於矯正及預防措施所產生的文件化程序之變更，組織應實施並記錄之。

4.5.3 紀錄及紀錄管理

組織應建立並維持適當的程序，以進行安全衛生紀錄的鑑別、維護及處置。這些紀錄應包括稽核及審查結果。

安全衛生紀錄應清楚易讀、可辨識，並可追溯到相關的活動。

安全衛生紀錄的保存與維護應做到容易檢索，保護其不受到損壞、變質或遺失，而且應規定並記錄其保存期限。

4.5.3 Records and records management

The organization shall establish and maintain procedures for the identification, maintenance and disposition of OH&S records, as well as the results of audits and reviews.

OH&S records shall be legible, identifiable and traceable to the activities involved. OH&S records shall be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times shall be established and recorded.

Records shall be maintained, as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this OHSAS Specification.

4.5.4 Audit

The organization shall establish and maintain an audit program and procedures for periodic OH&S management system audits to be carried out, in order to:

- (a) determine whether or not the OH&S management system:
 - (i) conforms to planned arrangements for OH&S management including the requirements of this OHSAS Specification;
 - (ii) has been properly implemented and maintained; and
 - (iii) is effective in meeting the organization's policy and objectives;
- (b) review the results of previous audits;
- (c) provide information on the results of audits to management.

The audit program, including any schedule, shall be based on the OH&S importance of the activity concerned, and the results of previous audits. The audit procedures shall cover the scope, frequency, methodologies and competencies, as well as the responsibilities and requirements for conducting audits and reporting results.

4.6 Management review

The organization's top management shall, at intervals that it determines, review the OH&S management system, to ensure its continuing suitability, adequacy and effectiveness. The management review process shall ensure that the necessary information is collected to allow management to carry out this evaluation. This review shall be documented.

The management review shall address the possible need for changes to policy, objectives and other elements of the OH&S management system, in the light of OH&S management system audit results, changing circumstances and the commitment to continual improvement.

紀錄應以適合於系統與組織的方式維護，以展現其符合本規範之各項要求。

4.5.4 稽核

組織應建立並維持一個稽核方案與適當的程序，俾能定期執行安全衛生管理系統之稽核工作，以

- a) 判斷安全衛生管理系統是否
 - (I)符合安全衛生管理的各項規劃事項，包括本規範的要求在內；
 - (II)實施與維持；與
 - (III)有效滿足組織的政策及目標；
- b) 審查以往的稽核結果；
- c) 將稽核結果之資訊提交管理階層。

稽核方案包括時程，應以有關活動之安全衛生重要性與以往的稽核結果為依據。稽核程序中應包括範圍、頻率方法與能力，以及執行稽核工作與結果報告的責任與要求。

4.6 管理階層審查

組織的高階主管應依其自行決定的時程審查安全衛生管理系統，以確認其持續適用性、適切性及有效性。管理階層審查的過程，應確保管理階層能獲得必要的資訊以進行評估。審查過程與結果應予文件化。

管理階層審查應依據安全衛生管理系統之稽核結果、情勢的變化以及持續改善的承諾，提出修改的安全衛生管理系統政策、目標及其他構成要項的可能需