APPROVED

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**Safety Guide**

**“Recommended Practice for the Development of Industrial Safety Management Systems in Organizations Operating Hazardous Production Facilities”**

# I. General

1. The Safety Guide “Recommended Practice for the Development of Industrial Safety Management Systems in Organizations Operating Hazardous Production Facilities” (hereinafter referred to as the Guide) has been developed to facilitate compliance with the requirements of:

Article 11 of Federal Law No. 116-FZ of July 21, 1997 “On Industrial Safety of Hazardous Production Facilities" in terms of the establishment by organizations operating hazardous production facilities of industrial safety management systems (hereinafter ISMS) and ensuring their functioning;

Decree of the Government of the Russian Federation No. 1243 of August 17, 2020 “On Approval of Requirements for Documentation Support of Industrial Safety Management Systems” in terms of the development of ISMS documentation in organizations operating hazardous production facilities;

Decree of the Government of the Russian Federation No. 2168 of December 18, 2020 “On the Organization and Implementation of Production Control over Compliance with Industrial Safety Requirements” in terms of integrating production control over compliance with industrial safety requirements into the functioning of the safety management system in organizations operating hazardous production facilities;

Decree of the Government of the Russian Federation No. 1082 of June 30, 2021 “On Federal State Supervision in the Field of Industrial Safety" in terms of organizing the processes of functioning of the industrial safety management system in organizations operating hazardous production facilities.

2. The Guide applies to organizations operating hazardous production facilities of hazard class I or II, which are required to establish the ISMS and ensure its operation, as well as to organizations operating hazardous production facilities of hazard class III or IV, which can establish the ISMS and ensure its operation at voluntary basis.

3. The Guide contains general recommendations for the development of the ISMS documentation, recommendations for the implementation of the ISMS, as well as recommendations for improving the performance of the ISMS in organizations operating hazardous production facilities.

4. In accordance with paragraph 4 of Article 11 of Federal Law No. 116-FZ of July 21, 1997 “On Industrial Safety of Hazardous Production Facilities,” the ISMS must:

determine the goals and objectives of the organization operating hazardous production facilities in the field of industrial safety, inform the public about these goals and objectives;

identify, analyze and forecast the risk of accidents at hazardous production facilities and threats associated with such accidents;

plan and implement measures to reduce the risk of accidents at hazardous production facilities, including that when third-party organizations or individual entrepreneurs perform work or provide services at hazardous production facilities;

coordinate work to prevent accidents and incidents at hazardous production facilities;

implement production control over compliance with industrial safety requirements;

provide for safe experimental application of technical devices at hazardous production facilities in accordance with the requirements of the current legislation;

timely adjust measures to reduce the risk of accidents at hazardous production facilities;

provide for participation of employees of an organization operating hazardous production facilities in the development and implementation of measures to reduce the risk of accidents at hazardous production facilities;

provide for information support for the implementation of activities in the field of industrial safety.

5. The ISMS should be established as an integral part of the management and/or production system of the operating organization.

# II. General recommendations for the development of ISMS documentation in organizations operating hazardous production facilities

6. In accordance with paragraph 3 of the requirements for documentary support of industrial safety management systems approved by Decree of the Government of the Russian Federation No. 1243 of August 17, 2020, ISMS documentation is developed for one operating organization or for two or more operating organizations that are a group of persons in accordance with the antimonopoly legislation of the Russian Federation.

7. In accordance with paragraph 4 of the requirements for documentary support of industrial safety management systems, approved by Decree of the Government of the Russian Federation No. 1243 of August 17, 2020, ISMS documentation must contain:

a) statement of the policy of the operating organization in the field of industrial safety;

b) regulation on the ISMS;

c) regulation(s) on production control over compliance with industrial safety requirements at hazardous production facilities;

d) documents for planning measures to reduce the risk of accidents at hazardous production facilities;

e) other documents that ensure the functioning of the ISMS as provided for by the regulation on the ISMS.

8. When developing the ISMS documentation, the operating organization has the right to apply international, national and regional standards, safety guides, and other recommended practices to the extent that does not contradict industrial safety requirements.

9. The ISMS documentation should be coordinated with all involved structural divisions of the organization that operate hazardous production facilities.

10. The statement on the policy of the operating organization in the field of industrial safety in accordance with paragraph 5 of the requirements for documentary support of industrial safety management systems, approved by Decree of the Government of the Russian Federation No. 1243 of August 17, 2020, must contain:

a) goals and commitment to reduce the risk of accidents at hazardous production facilities;

b) commitment to consult with employees of hazardous production facilities and their representatives on issues of industrial safety;

c) commitment to improve the SMS.

11. In accordance with paragraph 6 of the requirements for documentary support of industrial safety management systems approved by Decree of the Government of the Russian Federation No. 1243 of August 17, 2020, a statement on the policy of the operating organization in the field of industrial safety is approved by the head of the operating organization and posted on the website (if any) of the operating organization in information and telecommunications network “Internet,” other information resources of the operating organization or is published in the media within 30 calendar days from the date of its approval.

12. Acquaintance with the statement on the policy of the operating organization in the field of industrial safety should be included in the program of induction training on HSE conducted in accordance with Article 219 of the Labor Code of the Russian Federation.

13. In accordance with paragraph 7 of the requirements for documentary support of industrial safety management systems, approved by Decree of the Government of the Russian Federation No. 1243 of August 17, 2020, the regulation on the industrial safety management system of the operating organization must contain the following information:

a) tasks in the field of industrial safety;

b) a description of the structure of the ISMS and its place in the overall management system;

c) a list of hazardous production facilities to which the ISMS applies (it is allowed to indicate the number of the certificate of registration of a hazardous production facility in the state register of hazardous production facilities);

d) functions, rights and obligations of heads of operating organizations, their deputies, employees in the field of industrial safety;

e) a procedure for holding consultations with employees of hazardous production facilities and their representatives on issues of industrial safety;

f) organization of material and financial support for activities carried out within the framework of the ISMS;

g) a procedure for planning work carried out within the framework of the ISMS, and a list of documents for planning measures to reduce the risk of accidents at hazardous production facilities;

h) a procedure for analyzing the functioning of the ISMS, developing and implementing corrective and preventive measures aimed at eliminating identified non-compliances with industrial safety requirements and increasing the level of industrial safety;

i) organization of information support within the framework of the ISMS;

j) a procedure for training managers and employees of operating organizations in the field of industrial safety;

k) organization of documentation support for activities carried out within the framework of the ISMS;

l) a procedure for working with contractors operating at hazardous production facilities;

m) a procedure for identifying hazards and assessing the risk of accidents and incidents.

If the above information is contained in other documents approved by the heads of the operating organizations, the details of such documents are indicated in the regulation on the ISMS. The information contained in these documents may not be included in the regulations on the ISMS.

14. In accordance with paragraph 9 of the requirements for documentary support of industrial safety management systems, approved by the Decree of the Government of the Russian Federation No. 1243 of August 17, 2020, the regulation on the ISMS is approved by the head of the operating organization.

15. The description of the interaction between the structural units of the operating organization is based on the current organizational structure. The management tools existing in the operating organization should be used to the fullest extent possible: a document management system, a responsibility allocation system, a budgeting system, a procurement and logistics system, an information system, and other systems.

16. All ISMS documentation of the operating organization should be placed on an internal network resource in a non-editable format, ensuring its safety and relevance, or other methods to provide access to the operating organization’s employees to the current versions of documents should be used.

17. The main tasks in the field of industrial safety should be indicated in the subsection of the provision on the ISMS of the operating organization, “Tasks in the Field of Industrial Safety”:

a) control over compliance with the industrial safety requirements established by federal laws and other regulatory legal acts of the Russian Federation, the requirements of the safety justification of a hazardous production facility in the event that activities in the field of industrial safety are carried out using such a safety justification;

b) establishing conditions for strengthening industrial and technological discipline by motivating employees to form an interest in organizing conditions for the safe operation of hazardous production facilities;

c) ensuring emergency stability and reducing the number of accidents, incidents and injuries;

d) developing methods for collecting information in the field of industrial safety and assessment of the level of production safety;

e) identifying hazardous technologies, sites, workplaces and prevention of accidents, incidents and injuries;

f) financing the measures in the field of industrial safety;

g) managing the main production risks;

h) interaction with:

federal executive authorities in exercising federal state supervision in the field of industrial safety in the manner prescribed by the legislation of the Russian Federation;

local authorities;

trade unions exercising control over the observance of the rights and interests of employees of hazardous production facilities;

scientific organizations whose activities are related to visiting hazardous production facilities;

i) preparing and disseminating by the operating organization of information on the state of industrial safety.

j) training employees to act in the event of an accident or incident at a hazardous production facility;

k) controlling the establishment of a system for monitoring, warning, communication and support of actions in the event of an accident and controlling the maintenance of these systems in a usable condition;

l) interacting with professional emergency services (teams), which are involved in localization and mitigation of accidents at a facility.

18. The subsection of the regulation on the ISMS, “Description of the Structure of the ISMS and its Place in the Overall Management System of the Operating Organization,” should indicate the levels of management of the operating organization.

The following can be considered as management levels of the operating organization:

a) the level of a production team;

b) the level of a production section;

c) the level of a production shop (structural unit);

d) the level of a branch (separate structural subdivision);

e) the level of a service (set of several structural units);

f) the level of the head of the operating organization as a whole.

Taking into account the specifics of the operating organization, other levels of management may be considered for the purposes of the ISMS.

19. The subsection of the regulation on the ISMS, “List of Hazardous Production Facilities of the Operating Organization to Which the ISMS Applies,” the following should be indicated: description, hazard class, location address, number of the certificate of registration of the hazardous production facility in the state register of hazardous production facilities.

20. Based on the specifics of the organization of the ISMS in the operating organization, the subsection of the regulation on the ISMS, “Functions, Rights and Obligations of the Heads of the Operating Organization, Their Deputies, Employees in the Field of Industrial Safety,” should indicate the following functions of the employees of the operating organization:

a) organization and coordination of the ISMS;

b) making decisions to ensure industrial safety, including the provision of necessary and timely financing in the field of industrial safety;

c) annual preparation and submission of reporting information to the head of the operating organization and the managing commission for assessing the state of industrial safety:

on implementation of the action plan to ensure industrial safety;

on inspections conducted to ensure that the employees of hazardous production facilities comply with industrial safety requirements;

on identification of hazards, assessment and management of risks at hazardous production facilities;

d) acquaintance with documents, photo and video material necessary for assessing the state of industrial safety at hazardous production facilities;

e) consideration of acts of inspections conducted to ensure that industrial safety requirements are complied with carried out by the control and supervisory authorities, as well as documents drawn up by the control and supervisory authorities as part of permanent state supervision;

f) consideration of acts of investigation of the causes of accidents, incidents and injuries at hazardous production facilities;

g) analysis of accidents, incidents and injuries at hazardous production facilities;

h) annual (at the end of the calendar year) development of an action plan to ensure industrial safety, taking into account the analysis of the causes of accidents, incidents and injuries both at the hazardous production facility of the operating organization and at similar hazardous production facilities of other operating organizations;

i) annual (at the end of the calendar year) analysis of the efficiency of the operating organization’s ISMS;

j) annual (at the end of the calendar year) development of a plan of preventive actions to prevent accidents, incidents and injuries at hazardous production facilities (hereinafter referred to as the plan of preventive measures) and an action plan to improve the ISMS, taking into account the analysis of ISMS effectiveness;

k) dismissal from work of persons who do not have appropriate qualifications, who have not undergone timely training and certification in the field of industrial safety, as well as persons who have medical contraindications to work at a hazardous production facility;

l) suspension of work carried out with violation of industrial safety requirements, endangering the life and health of employees of a hazardous production facility, or work that may lead to an accident or incident;

m) bringing to justice persons who violated industrial safety requirements, as well as encouraging employees who took part in the development and implementation of measures to increase the level of industrial safety;

n) bringing information about the state of industrial safety and changes in industrial safety requirements to the attention of the employees of a hazardous production facility, as well as ensuring that the workplaces of the operating organization have valid regulatory legal acts that establish requirements in the field of industrial safety;

o) interaction with the regulatory and supervisory authorities, local authorities, public organizations, and scientific organizations on industrial safety issues;

p) study and dissemination of best practices in the field of industrial safety.

The rights and obligations of employees of the operating organization in the field of industrial safety should be established depending on the level of management. At the same time, at each level of management, rights and obligations in the field of industrial safety can be established personally for each employee of the operating organization based on the specifics of the operated hazardous production facilities.

21. The subsection of the regulation on the ISMS, “Procedure for Holding Consultations with Employees of a Hazardous Production Facility and Their Representatives on Issues of Industrial Safety,” should indicate the following:

positions of the employees of the operating organization who provide advice to the employees of hazardous production facilities and representatives of the employees of hazardous production facilities on issues of industrial safety, as well as on the consequences of violations of the safety justification requirements of a hazardous production facility in the event that activities in the field of industrial safety are carried out using such safety justification;

the form and time term for the provision of written consultations.

The subsection should indicate the issues considered during oral and written consultations, including:

rights and obligations of the employees of a hazardous production facility in terms of fulfilling industrial safety requirements at workplaces;

changes in existing industrial safety requirements;

actual compliance of hazardous production facilities with industrial safety requirements;

consequences of violation of industrial safety requirements;

other issues related to the competence of the employees of a hazardous production facility.

22. The subsection of the regulation on the ISMS, “Organization of Material and Financial Support for Activities Carried Out within the Framework of the ISMS,” should indicate the procedure for financing activities carried out within the framework of the ISMS, and information on the organization of material support for activities carried out within the framework of the ISMS. The head of the operating organization should determine the source of funds for financing activities carried out within the framework of the ISMS.

23. The subsection of the regulation on the ISMS, “Procedure for Planning Work Carried Out within the Framework of the ISMS, and the List of Documents for Planning Measures to Reduce the Risk of Accidents at a Hazardous Production Facility", should indicate the procedure for the formation of action plans to ensure industrial safety, preventive measures and action plans to improve the ISMS (hereinafter referred to as action plans).

The structure and content of the action plans can be determined by the head of the operating organization and reviewed at the end of the calendar year based on an analysis of accidents, incidents and injuries at a hazardous production facility, as well as the effectiveness of the operating organization’s ISMS.

The documents for planning measures to reduce the risk of accidents at a hazardous production facility should be formed for a period of more than one calendar year.

24. The subsection of the regulation on the ISMS, “Procedure for Analysis of the Functioning of the ISMS, Developing and Implementing Corrective Measures Aimed at Eliminating Identified Non-compliances with Industrial Safety Requirements and Increasing the Level of Industrial Safety,” should indicate:

the procedure and references to the results of assessing the achievement of the goals and objectives of the operating organization in the field of industrial safety, as defined in the ISMS, for the reporting period;

links to the comparative analysis of the effectiveness of the organization of the ISMS for the reporting period with previous periods;

identified shortcomings in the organization of the ISMS for the reporting period.

When analyzing the functioning of the ISMS, the results of the investigation of accidents, incidents and injuries at a hazardous production facility, as well as additional factors that may affect the functioning of the ISMS should be taken into account.

Employees of a hazardous production facility should be familiar with the results and conclusions of the analysis of the functioning of the ISMS.

Based on the conclusions of the analysis of the functioning of the ISMS, a decision is made, if necessary, to develop and implement corrective measures aimed at eliminating the identified non-compliances with industrial safety requirements and increasing the level of industrial safety.

25. The subsection of the regulation on the ISMS, “Organization of Information Support within the Framework of the ISMS,” should indicate:

the means used to obtain information on industrial safety issues;

information on the current number of accidents, incidents and injuries at hazardous production facilities;

links to videos on safe work practices;

reviews of accidents, incidents and injuries at hazardous production facilities;

legal reference systems at the workplace for persons responsible for industrial safety.

Information support within the framework of the ISMS should be established for the following purposes:

prompt notification of the employees of a hazardous production facility and contractors operating at the hazardous production facility;

familiarization of the employees of a hazardous production facility with the results of the investigation of accidents, incidents and injuries at the hazardous production facility and a plan of preventive measures;

disclosure of information about accidents, incidents and injuries at a hazardous production facility;

accessibility of the use of regulatory legal acts in the field of industrial safety.

26. The subsection of the regulation on the ISMS, “Procedure for Training in the Field of Industrial Safety for Managers and Employees of Operating Organizations,” should be developed in accordance with the requirements of Article 14.1 of Federal Law No. 116-FZ of July 21, 1997 “On Industrial Safety of Hazardous Production Facilities” and the relevant requirements of the regulatory acts in the field of industrial safety.

27. The subsection of the regulation on the ISMS, “Organization of Documentation Support for Activities Carried Out within the Framework of the ISMS” for assessing the state of industrial safety, should describe the procedure for organizing the documentation support of the ISMS, as well as the procedure for familiarization with technical and organizational types of documentation, such as:

design documentation for a hazardous production facility;

process regulations;

documentation on measures to reduce the risk of accidents at hazardous production facilities for a period of more than one calendar year;

datasheets for technical devices used at hazardous production facilities;

documentation for carrying out hazardous types of work;

documentation on the issues of industrial safety in all major areas of activity of hazardous production facilities;

documentation on the implementation of preventive measures at hazardous production facilities.

28. The subsection of the regulation on the ISMS, “Procedure for Working with Contractors Operating at Hazardous Production Facilities,” should describe the procedure for interaction during joint work between the employees of hazardous production facilities and the contractors operating at hazardous production facilities. This section should indicate:

requirements for the contractors operating at hazardous production facilities;

the system for checking the compliance of the contractors operating at hazardous production facilities with industrial safety requirements;

the authorization system for the contractors operating at hazardous production facilities;

details of the local regulatory act of the organization that determines the interaction with contractors.

29. The subsection of the regulation on the ISMS, “Procedure for Identifying Hazards and Assessing the Risk of Accidents and Incidents,” should indicate:

the procedure for identifying hazards and assessing the risks of accidents and incidents;

the membership of the commission for identification of hazards and assessment of the risks of accidents and incidents.

Identification of hazards and assessment of the risks of accidents and incidents can be carried out again when:

performing works for which technical documentation has not been developed;

there are significant changes in the process of work;

replacement of technical devices used in technological processes;

conducting pilot tests of technical devices, if the hazards and risk assessment of accidents and incidents are not defined in the technical documentation for these technical devices;

contractors operating at a hazardous production facility are involved;

accidents, incidents and injuries occur at hazardous production facilities.

# III. General Recommendations for Improving the Effectiveness of the Functioning of the Safety Management System in Organizations Operating Hazardous Production Facilities

30. In order to improve the effectiveness of the ISMS functioning in the operating organization, a mechanism for regular monitoring of progress towards achieving goals and planned activities should be established. The progress of the planned activities and the status of achieving the goals should be regularly monitored. In the event of deviations, measures to correct the situation should be promptly developed.

31. When monitoring the implementation of planned activities, special attention should be paid to the achievement of the planned result.

32. All identified violations within the framework of the ISMS functioning, in addition to mandatory elimination, should be analyzed to identify their causes. As part of the operation of the ISMS, corrective actions aimed at eliminating these causes should be taken in order to prevent their recurrence, as well as to evaluate the effectiveness of such actions.

33. In the event of accidents at operated hazardous production facilities, the available results of the assessment of the risk of accidents and incidents should be updated.

34. In accordance with paragraph 12 of the requirements for documentary support of industrial safety management systems, approved by Decree of the Government of the Russian Federation No. 1243 of August 17, 2020, the results of the analysis of the functioning of the ISMS are documented in the operating organization at least once during a calendar year.

35. When analyzing the performance of the ISMS, the following should be considered:

results of the implementation of the decisions of the previous analysis;

the extent to which the goals in the field of industrial safety have been achieved;

trends in accidents and the number of incidents at operated hazardous production facilities;

results of fulfillment of legislative requirements in the field of industrial safety;

changes in industrial safety requirements;

accident risk assessment results;

sufficiency of available resources;

actions to further reduce the risk of accidents at hazardous production facilities.

36. Based on the results of the analysis of the ISMS functioning, measures should be taken to improve the ISMS and reduce the risk of accidents at hazardous production facilities.

37. The results of the analysis of the ISMS functioning should be drawn up in the form of a report approved by the head of the operating organization. The report with the results of the analysis of the ISMS functioning should be placed on the internal network resource of the operating organization.

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