



**Training on ISO 45001:2018 and IAF
MD22:2018**
(Certification and accreditation for OH&SMS)

*Hosted by ACCREDIA,
via Tonale 26, Milan, Italy
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- Accreditation assessments performed in Italy, USA, Russia, India, Korea, Argentina, Brasil, Israel, Rumania, Bulgaria, Poland, Iran, Egypt.
- Joint assessments performed with ANAB (USA), UKAS (UK), NABCB (India), INMETRO (Brasil), SWEDAC (Sweden), RENAR (Rumania), ISRAC (Israel), SNAS (Slovakia), KAB (Korea), BAS (Bulgaria), ESYD (Greece), EGAC (Egypt), NACI (Iran), Albanian Directorate (Albania), GOST (Russia).
- Convener of the IAF Task Force for the preparation of IAF MD22 “Document on the Application of ISO/IEC 17021-1 for the Certification of OH&SMSs”
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IAF MD22:2018
Application of ISO/IEC 17021-1 for the Certification
of Occupational Health and Safety Management
Systems (OH&SMS)

INTRODUCTION
TO IAF MD22:2018



THE MANDATE OF THE IAF TF OH&SMS, VANCOUVER (OCTOBER 2017)

Preparation of the new **IAF MD22:2018**:

- **mandatory** for the consistent application of ISO/IEC 17021-1:2015 for the accreditation of Certification Bodies providing certification of OH&SMS
- conceived as a **tool applicable** to the accreditation of **all** the OH&SMS schemes
- **not aimed at the** interpretation of ISO 45001 or OHSAS 18001
- based on the document **EA-3/13M:2016** already mandatory in Europe since 20 June 2016.

IAF MD22 – INTRODUCTION

FROM EA 3/13 M:2016 TO IAF MD22:2018

EA – 3/13 • EA Document on the Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)

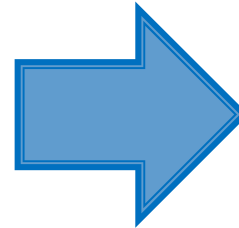
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Publication
Reference

EA-3/13 M: 2016

**EA Document
on the Application
of ISO/IEC 17021-1
for the Certification
of Occupational Health and Safety
Management Systems
(OH&SMS)**



 **IAF Mandatory Document**


**Application of ISO/IEC 17021-1 for the
Certification of Occupational Health and
Safety Management Systems (OH&SMS)**

Issue 1

(IAF MD 22:2018)

PURPOSE

This document has been prepared by a working group under the direction of the European co-operation for Accreditation (EA) Certification Committee to facilitate a harmonized approach for accreditation of certification bodies providing certification of Occupational Health and Safety management systems (OH&SMS).

June 2016 – Rev00

Page 1 of 28

Issued: 25 January 2018

Application Date: 25 January 2018

IAF MD 22:2018 Issue 1

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DIFFERENT APPROACH TO ACCREDITATION

A huge **worldwide increase** of OH&SMS certifications, but **different approaches** from country to country to the accreditation of CABs operating the certification of OH&SMS by respective NABs:

- **Focus on opportunities for commercial activities**

Some ABs decided just to apply the requirements of ISO/IEC 17021.

- ***Such approach did not consider that the risks of a certification of OH&SMS are normally higher than the risk of certification of other management systems.***

- **Focus on risks of technical activities**

Few other NABs gave priority to governing risks associated with the OH&SMS certification and decided to apply additional national requirements more stringent than the sole ISO/IEC 17021 (ACCREDIA, etc.).

- ***Such approach generally required planning higher audit times***

EFFECTS OF SUCH DIFFERENT APPROACH

In some country, such different approaches:

- led to unfair competition, with **significant differences in audit times and an increase of costs** for companies,
- created a **double market of accreditation** (with or without additional requirements)
- might have caused **damages to the credibility of accreditation** performed with such different approaches

REASONS FOR THE PREPARATION OF IAF MD 22:2018

- To promote a **harmonized approach** by CABs accredited for the OH&SMS certification, according to BS OHSAS 18001 (including the upcoming ISO 45001 and other OH&SMS)
- To ensure a **homogeneous application** of the certification rules by all national ABs signatories to the MLA agreements
- To reaffirm the responsibility of the CAB for the decisions taken: any **decision shall be based on the awareness of risks** associated with the effects of the decision itself
- To provide evidence of **justifications supporting the decisions** taken
- To ensure the **preparation of audit plans, programs and reports consistent** with processes and activities included in the scope of certification, and sites to be audited.

MANDATORY DOCUMENT IAF MD22:2018

IAF MD 22:2018 International Accreditation Forum, Inc.



IAF Mandatory Document

Application of ISO/IEC 17021-1 for the
Certification of Occupational Health and
Safety Management Systems (OH&SMS)

Issue 1

(IAF MD 22:2018)

Application date: 25 January 2018

Issued: 25 January 2018 Application Date: 25 January 2018 IAF MD 22:2018 Issue 1

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OBJECTIVES OF IAF MD 22:2018

With the introduction of the new ISO 45001:2018 for the certification of OH&SMSs, it has to be clear for all the NABs and CABs:

- how to **interpret and implement** some clauses of ISO/IEC 17021-1 for accreditation of CABs, **including the topic of evaluation of legal compliance**
- how to extend to OH&SMS the application of some **IAF MDs until now limited to QMS and EMS**:
 - IAF MD5 for calculation of audit time
 - IAF MD17 for witness assessments
 - IAF MD1 for multisite certification

EVOLUTION OF IAF MD 22:2018

- 2012: Task Force Group for preparation of a guideline EA to integrate the requirements of ISO 17021:2011. Responsibility assigned to a first NAB
- Feb 2015: first partial draft (ref. old ISO/IEC 17021:2011). Responsibility assigned to new NAB.
- Mar 2015/Sep 2016: draft completely rewritten to refer the new ISO/IEC 17021-1:2015, IAF MD5:2015 e IAF MD17:2015, ISO CD 45001, etc.
- 20 Jun 2016: EA 3/13M published as mandatory document
- Apr 2017 Frankfurt: IAF decided to migrate EA 3/13 M to a new IAF MD document.
- Oct 2017 Vancouver: IAF approved the new IAF MD document.
- 25 Jan 2018: IAF MD22:2018 published as mandatory document

IAF MD 22:2018 STRUCTURE

The document consists of a part of **TEXT** and **5 Normative Appendices**:

- ❑ The **TEXT** contains **15 additional requirements of ISO/IEC 17021-1: 2015** identified by the letter "G" followed by the reference number of the relevant criteria of the standard.
- **Appendix A** - Specific Knowledge and Skills for Certification Functions in OH&SMS (*input to ISO/IEC TS 17021-10:2018*)
- **Appendix B** - Determination of Audit Time of Occupational Health and Safety Management Systems (*14 additional requirements to IAF MD5:2015*)
- **Appendix C** - Legal Compliance as a Part of Accredited OH&SMS Certification (*19 additional requirements – source EA-7/04 M:2017*)
- **Appendix D** - Scope of Accreditation (*added OH&SMS table to IAF ID1:2014*)
- **Appendix E** - Witnessing Activities for the Accreditation of OH&SMS Certification Bodies (*added OH&SMS clusters to IAF MD17:2015*)

SOURCES DOCUMENTS OF APPENDICES

Appendices	Source document
Appendix A - Specific Knowledge and Skills for Certification Functions in OH&SMS	Annex A of ISO/IEC 17021-1:2015
Appendix B - Determination of Audit Time of Occupational Health and Safety Management Systems	IAF MD5:2015
Appendix C - Legal Compliance as a Part of Accredited OH&SMS Certification	EA-7/04 M:2017
Appendix D - Scope of Accreditation	IAF-ID1:2014
Appendix E - Witnessing Activities for the Accreditation of OH&SMS Certification Bodies.	IAF MD17:2015

TO REMEMBER

In this document, the following verbal forms are used:

- “**shall**” indicates a **requirement**;
- “**should**” indicates a **recommendation**;
- “**may**” indicates a **permission**;
- “**can**” indicates a **possibility** or a **capability**.



IAF MD22:2018
Application of ISO/IEC 17021-1 for the Certification
of Occupational Health and Safety Management
Systems (OH&SMS)

ADDITIONAL REQUIREMENTS TO
ISO 17021-1:2015



ADD-ONS TO ISO/IEC 17021-1

The text of IAF MD22:2012 contains **15 additional requirements** to those of ISO/IEC 17021-1: 2015 identified by the letter "G" followed by the reference number of the relevant criteria of the standard.

INTERNATIONAL
STANDARD

ISO/IEC
17021-1

First edition
2015-06-15

Conformity assessment —
Requirements for bodies
providing audit and certification of
management systems —

Part 1:
Requirements

*Évaluation de la conformité — Exigences pour les organismes
procédant à l'audit et à la certification des systèmes de management —
Partie 1: Exigences*

Source document



Reference number
ISO/IEC 17021-1:2015(E)

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SUMMARY

- **UPDATED DEFINITIONS**
- **MANAGEMENT OF IMPARTIALITY**
- **RESOURCES REUIREMENTS**
 - TECHNICAL AREAS
- **NEW OBLIGATION OF INFORMATION**
- **APPLICATION**
- **AUDIT TIME**
- **MULTISITE, TEMPORARY SITES**
- **DETERMINATION OF AUDIT SCOPE**
- **MANDATORY INTERVIEWS**
- **DECISION IN CASE OF ACCIDENTS OR BREACHES OF REGULATION**

UPDATED DEFINITION (CLAUSE 3)

- **G3.3: updated list of services provided by CABs in the field of OH&S to clients certified/being certified for OH&SM to be considered as management system consultancy**

MANAGEMENT OF IMPARTIALITY (CLAUSES 4 AND 5)

- **G4.1.2 - updated impartiality list of parties interested in OH&SMS certification**
- **G5.2.3: for management of impartiality specified key interests in relation to the interested parties listed in G.4.1.2**

RESOURCES REQUIREMENT (CLAUSE 7)

- **G7.1.2:** added definition of **technical areas** in relation to **commonalities** of processes and services which can expose workers to OH&S risks

NEW OBLIGATION OF INFORMATION (CLAUSE 8)

- **G8.5.3: certified clients shall inform CAB when incidents or breaches of regulation necessitating the involvement of the regulatory authority occur.**

PRE-CERTIFICATION ACTIVITIES (CLAUSE 9 - PROCESS)

- **G9.1.1 Application:** added request for specific OH&S information such as:
 - ✓ key hazards,
 - ✓ key OH&S risks
 - ✓ main hazardous materials,
 - ✓ relevant legal obligations,
 - ✓ personnel working **on as well as away** from the client premises

PRE-CERTIFICATION ACTIVITIES (CLAUSE 9 - PROCESS)

- **G9.1.4 AUDIT TIME** to be determined in accordance with Appendix B:
 - ✓ **Employees to be taken in consideration:** when the client provides services at another organization's premises, the CAB shall verify that the client's OH&SMS covers these offsite activities
 - ✓ **Decision to audit only part of the sites depending on various factors** such as OH&S risks associated with the activities therein performed, contract agreements, being certified by another accredited CAB, internal audit system, statistics on accidents and near misses).
 - ✓ **justification** for such decision shall be **recorded**.

PRE-CERTIFICATION ACTIVITIES (CLAUSE 9 - PROCESS)

G 9.1.5 MULTISITE SAMPLING

- to decide if **sampling is permitted or not based on the evaluation of OH&S risks** associated to processes carried out in each site included in the scope of certification (see new MD1:2018)
- **the rationale** of such decision and frequency of visiting each **site to be documented** (clause B.10 applicable)
- **sampling not appropriate** in case multiple sites not covering the same activities, processes and OH&S risks

PRE-CERTIFICATION ACTIVITIES (CLAUSE 9 - PROCESS)

G 9.1.5 MULTISITE SAMPLING

- Also in case of similar processes and products, the **differences between operations in each site shall be considered** (technology, equipment, quantities of hazardous, working environment, premises etc.).
- When permitted, the **sampling of sites shall be representative of the processes and OH&S risks** existing in the organization to be audited.
- **temporary sites to be audited on a sample basis** to provide evidence of the operation and effectiveness of the OH&SMS (also see B3.7 and B.10, Appendix B)

LEGAL COMPLIANCE - PLANNING (CLAUSE 9 - PROCESS)

- **G9.2.1.2b** - in order to determine the ability of the client's **OH&SMS to meet applicable statutory and regulatory requirements, the Appendix C shall be applied**
- **G9.4.5.3** the CAB shall have procedures detailing actions to be taken when it finds a **non-compliance with relevant regulatory requirements**

AUDIT SCOPE - PLANNING (CLAUSE 9 - PROCESS)

- **G9.2.1.3 - audit scope to be determined** with reference to:
 - ✓ activities, products and services **within the organization's control or influence** that can impact the organization's OH&SMS performance
 - ✓ **temporary sites** (e.g. construction sites) **to be covered by the OH&SMS** of the organization that has control of these sites, irrespective of where they are located.

The scope of an individual audit may not cover the full certification scope, but the totality of audit shall be consistent with the scope in the certification document.

CONDUCTING AUDITS (CLAUSE 9 – PROCESS)

- **G9.4.4.2: mandatory interviews of OH&SMS key personnel:**
 - ✓ management with legal responsibility for OH&S
 - ✓ employees' representative(s) for OH&S,
 - ✓ responsible(s) for monitoring employees' health (e.g. doctors, nurses). Mandatory justifications in case of remote interviews.
 - ✓ managers and permanent and temporary employees
 - ✓ recommended interview of contractors' management and employees
- **G9.4.7.1 closing meeting:** the organization representative is requested to invite the OH&SMS key personnel. Justification in case of absence shall be recorded

MAINTAINING CERTIFICATION (CLAUSE 9 – PROCESS)

- **G9.6.4.2:** to decide if a **special or unannounced audit is needed** when CABs become aware **serious accidents or breaches of regulation**, in order to investigate if the OH&SMS has not been compromised and did function effectively. The outcome of the investigation to be documented
- **G9.6.5.2** – to decide on the actions to be taken, **including a suspension or withdrawal of the certification**, in cases where it can be demonstrated that **the system seriously failed** to meet the OH&S certification requirements



IAF MD22:2018
Application of ISO/IEC 17021-1 for the Certification
of Occupational Health and Safety Management
Systems (OH&SMS)

APPENDIX A
Specific knowledge and skills for certification
functions in OH&SMS



APPENDIX A

Specific knowledge and skills for certification functions in OH&SMS

- ✓ It adds three specific competence requirements for OH&SMS auditors to the generic competence requirements of Annex A of ISO/IEC 17021-1:2015,
- ✓ This Appendix was used as an input by CASCO JWG 48
- ✓ **This Appendix will be superseded when the ISO/IEC TS 17021-10 will become applicable (March 2018).**

ISO/IEC 17021-1:2015(E)

Annex A (normative)

Required knowledge and skills

A.1 General

Table A.1 specifies the knowledge and skills that a certification body shall define for specific certification functions. "X" indicates that the certification body shall define the criteria and depth of knowledge and skills. The knowledge and skill requirements specified in Table A.1 are explained in more detail in the text following the table and are referenced by the number in parenthesis.

Table A.1 — Table of knowledge and skills

Knowledge and skills	Certification functions		
	Conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time	Reviewing audit reports and making certification decisions	Auditing and leading the audit team
Knowledge of business management practices			X (see A.2.1)
Knowledge of audit principles, practices and techniques		X (see A.3.1)	X (see A.2.2)
Knowledge of specific management system standards/normative documents (see A.4.1)	X (see A.4.1)	X (see A.3.2)	X (see A.2.3)
Knowledge of certification body's processes	X (see A.4.2)	X (see A.3.3)	X (see A.2.4)
Knowledge of client's business sector	X (see A.4.3)	X (see A.3.4)	X (see A.2.5)
Knowledge of client products, processes and organization	X (see A.4.4)		X (see A.2.6)
Language skills appropriate to all levels within the client organization			X (see A.2.7)
Note-taking and report-writing skills			X (see A.2.8)
Presentation skills			X (see A.2.9)
Interviewing skills			X (see A.2.10)
Audit-management skills			X (see A.2.11)

NOTE: Risk and complexity are other considerations when deciding the level of expertise needed for any of these functions.

FROM IAF MD22:2018, APP.A TO ISO/IEC TS 17021-10


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ISO/IEC DTS 17021-10

ISO CASCO/PC283/JWG48

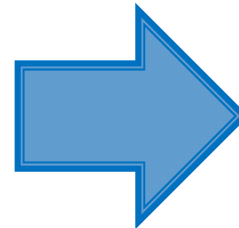
Secretariat: CASCO

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**Appendix A to be superseded
by ISO/IEC TS 17021:2010**



ISO/IEC 17021-10 Conformity Assessment — Requirements for
bodies providing audit and certification of management systems -
Part 10 Competence requirements for auditing and certification of
occupational health and safety management systems.

DTS stage

Warning for WDs and CDs

This document is not an ISO International Standard. It is distributed for comment. It is subject to change without notice and may not be referred to as an International Standard. Recipients of this draft are invited to submit, with their comments, identification of any relevant patent rights of which they are aware and to provide supporting documentation.

NOT PUBLISHED YET!

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CLAUSES OF “KNOWLEDGE” ED “SKILLS”

The specific clauses of “knowledge” and “skills” are additional to those listed in the first column and specified under the letter X in the other columns of Table A.1, for each certification function.

The knowledge levels are different in order to satisfy the requirements specified for each function involved in the certification process and listed in 3 columns of Table 1AA

They refer to the following specific categories:

- **A.1.3 Knowledge of specific management system standards/normative documents**
- **A.1.5 Knowledge of client business sector**
- **A.1.6 Knowledge of client products, processes and organization**

A.1.3 KNOWLEDGE OF STANDARDS & NORMATIVE DOCS

A.1.3 Knowledge of **specific management system standards/ normative documents** shall include, but not be limited to:

- ✓ OH&S terminology,
- ✓ OH&S legislation valid in countries where the Certification Body is conducting audits,
- ✓ applicable standards for OH&S management system certification (such as OHSAS 18001, upcoming ISO 45001 or other standards),
- ✓ methods for monitoring, measurement, analysis to evaluate the OH&S performance, and the conformance of the OH&S management system,
- ✓ surveys and other evaluation tools, and
- ✓ OH&S risk assessments methodologies and guidance.

The level of knowledge shall be sufficient to fulfil the different requirements specified in § A.2.3, A.3.2 and A.4.1 for each certification function

A.1.5 KNOWLEDGE OF CLIENT BUSINESS SECTOR

A.1.5 Knowledge of client business sector shall include:

- ✓ **specific OH&S risks and controls relevant to the business sector.**

The level of knowledge shall be sufficient to fulfil the different requirements specified in § A.2.5, A.3.4 and A.4.3 for each certification function

A.1.6 KNOWLEDGE OF CLIENT PRODUCTS AND PROCESSES

A.1.6 Knowledge of client products, processes and organization shall include :

- ✓ **applicable country-specific OH&S laws and regulations, in each technical area of the organisation to be certified**

(e.g.in order to show evidence of competence on the EU Directive for OH&S is sufficient to comply with knowledge and skill criteri defined by memeber states according to [89/391/CEE](#), art 7, par.8, a)

- ✓ **risks of accidents, incidents and occupational diseases (not exhaustive): physiological, psychological and social aspects; ergonomic aspects; chemical and biological factors; physical factors (e.g. vibration, noise, electricity, fire and explosion, exposure to radiation and magnetic fields); working environment (lighting, temperature, humidity); equipment, devices, machinery; and technical systems**

- ✓ *The level of knowledge shall be sufficient to fulfil the different requirements specified in § A.2.6 and A.4.4 for each certification function.*



IAF MD22:2018
Application of ISO/IEC 17021-1 for the Certification
of Occupational Health and Safety Management
Systems (OH&SMS)

APPENDIX B
DETERMINATION OF AUDIT TIME OF
OCCUPATIONAL HEALTH AND SAFETY
MANAGEMENT SYSTEMS



APPENDIX B

Determination of Audit Time of Occupational Health and Safety Management Systems

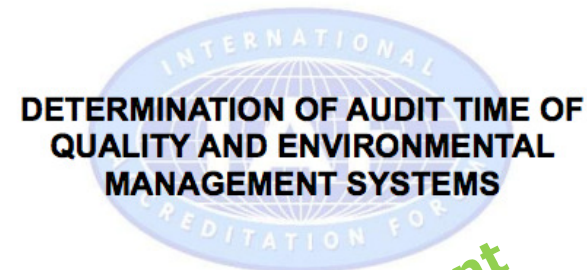
- ✓ It incorporates **14 additional requirements** to document [IAF MD5:2015](#), **specific for the OH&SMS scheme.**
- ✓ All requirements of the IAF MD5:2015:
 - ✓ If not modified continue to be applicable
 - ✓ if modified include all relevant original requirements of the IAF MD5:2015

IAF MD 5:2015

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IAF Mandatory Document



Issue 3

(IAF MD 5:2015)

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SUMMARY

- **DIFFERENT APPROACH: RISK AND COMPLEXITY CATEGORIES**
- **COMPLEXITY CATEGORY BASED ON OH&SMS RISKS**
- **METHODOLOGY FOR CALCULATION OF AUDIT TIME**
- **NEW DEFINITIONS**
- **REDUCTION OF NUMBER OF PERSONNEL BASED ON RISK**
 - HIGH NUMBER OF UNSKILLED PERSONNEL
 - SIMILAR ACTIVITIES
 - REPETITIVE JOBS
- **AUDIT ON MORE THAN ONE SHIFT**
- **AUDIT ON MORE THAN ONE SITE**
 - (MULTI-SITE, TEMPORARY SITES)
- **LIMITATIONS FOR REMOTE AUDIT ACTIVITIES**
- **CONTROL OF OUTSOURCING**

FOREWORD

- Appendix B of IAF MD22 is **mandatory** for use with ISO/IEC 17021-1 with OH&SMS, meaning that **CBs shall use it as part of their contract review and audit planning processes.**
- The expectation is that the **CB is able to demonstrate to the AB assessment team that they have considered the required activities for the audit and based the duration on being able to effectively complete these activities**
- Therefore Appendix B of IAF MD22 **shall be used to identify if the calculated audit time to achieve this clause is within the audit time** resulting from the application of the methodology herein presented.

DIFFERENT APPROACH: RISK AND COMPLEXITY CATEGORIES

IAF MD5:2015 uses a different approach for the calculation of audit time of QMS and EMS:

Risk category for QMS (IAF-MD5, § 1.10)

For QMS, the provisions are based on three categories, dependant on the **risks posed by failure of the product or service** of the client organization...

(See IAF MD5, Annex A, Table QMS 2)

Complexity category for EMS (IAF-MD5, § 1.11)

For EMS, the provisions specified are based on five primary complexity categories of the **nature, number and gravity of the environmental aspects** of an organization that fundamentally affect the audit time.

(See IAF MD5, Annex B, Table EMS 2)

DIFFERENT APPROACH: RISK AND COMPLEXITY CATEGORIES

Consistently § B.1.12 of IAF MD22 introduces for OH&SMs the more appropriate concept of:

Complexity category based on **OH&S** risks

For OH&SMS, the provisions are based on three primary complexity categories based on the **nature, number and severity of the OH&S risks** of an organization that fundamentally affect the audit time.

(See IAF MD22, Appendix B, Table OH&SMS 2)

High risk activities normally require more audit time to carry out an effective audit, while medium and low risk activities require less time proportionally

THREE CATEGORIES OF COMPLEXITY OF OH&SMS RISKS

Section B3 / Tables OH&SMS 1 e 2: the calculation is based on **three categories** of complexity classified according to **nature and severity of the OH&S risks** of an organization, which significantly affect the audit time:

- ✓ **“High”**: OH&S risks with significant nature and severity (typically the construction industry, heavy manufacturing or processing type organizations);
- ✓ **“Medium”**: OH&S risks with medium nature and severity (typically light manufacturing organizations with some significant risks);
- ✓ **“Low”**: OH&S risks with low nature and severity (typically office based organizations);

“limited” e “special” categories are withdrawn for OH&SMS

METHODOLOGY FOR CALCULATION OF AUDIT TIME

Based on the combination of **three steps that may cause significant differences** in the results among the OH&SMS, QMS and EMS certification schemes.

- 1. Effective number of personnel** linked to complexity categories of OH&S risk (table OH&SMS 1)
 - 2. Business sectors** linked to complexity categories of OH&S risk (table OH&SMS 2)
 - 3. Additional factors for adjustments of audit time** (clause B.8)
- *Step 1 and 2 above are used as inputs in the 2-ways table OH&SM 1 to calculate the full audit time (m-days)*
 - *Step 3 determines the **mandatory increases** (or **decreases**) to the above calculated audit time*

STEP 1 – TABLE OH&SMS1 FOR AUDIT TIME

In table OH&SMS 1, it was decided to maintain the **same audit time** as in the table EMS 1, since:

- the EMS table of IAF-MD5 has been historically widely used for OH&SMS also
- any increase could have been hardly supported by technical justifications and did not find consensus

TABLE OH&SMS 1

**Relationship between Effective Number of Personnel,
Complexity Category of OH&S Risk and Audit Time
(Initial Audit only – Stage 1 + Stage 2)**

Effective Number of Personnel	Audit Time Stage 1 + Stage 2 (days)			Effective Number of Personnel	Audit Time Stage 1 + Stage 2 (days)		
	High	Med	Low		High	Med	Low
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
66-85	9	7	5	3451-4350	27	20	15
86-125	11	8	5.5	4351-5450	28	21	16
126-175	12	9	6	5451-6800	30	23	17
176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20
426-625	16	12	9	>10700	Follow progression above		

STEP 2 - TABLE OH&SMS 2 FOR BUSINESS SECTORS

Introduction of more “business sectors” at high complexity category of OH&SMS risk compared to EMS:

- ✓ High: **28 for OH&SMS vs 12 for EMS,**
- ✓ Medium: **23 for OH&SMS vs 20 for EMS,**
- ✓ Low: **11 for OH&SMS vs 8 for EMS**

TABLE OH&SMS 2 - Examples of linkage between business sectors and Complexity Categories of OH&S Risks

Complexity category of OH&S risk	Business sector
High	<ul style="list-style-type: none"> • fishing (offshore, coastal dredging and diving) • mining and quarrying • manufacture of coke and refined petroleum products • oil and gas extraction • tanning of textiles and clothing <p style="text-align: center;">*****</p>
Medium	<p>types of water environments)</p> <ul style="list-style-type: none"> • fishing (offshore fishing is high) • farming/forestry (depending on the activities could be high) • food, beverage and tobacco – processing • textiles and clothing except for tanning <p style="text-align: center;">*****</p>
Low	<ul style="list-style-type: none"> • corporate activities and management, HQ and management of holding companies • wholesale and retail (depending on the product, could be medium or high, e.g. fuel) • general business services except industrial cleaning, hygiene cleaning, dry cleaning and education services).

STEP 3 – B8 ADDITIONAL FACTORS FOR ADJUSTMENT

Introduction of **more severe adjustment factors**

- Increasing factors: **13 for OH&SMS vs 9 for EMS**
- Decreasing factors: **4 for OH&SMS vs 8 for EMS**

MC1

B.8.1 FACTORS FOR ADJUSTMENTS OF AUDIT TIME OF OH&SMS

.....

.....

All attributes of the client's system, processes, and products/services should be considered and a fair adjustment made for those factors that could justify more or less auditor time for an effective audit. Additive factors may be off-set by subtractive factors.

Any decision taken in relation to the requirements of this clause shall be recorded.

Marco Cerri; 24/03/2018

B8 - MORE SEVERE FACTORS FOR ADJUSTMENT

B8.1 - ... additional factors that **shall** be considered ...:

- **More increasing factors** (13 OH&SMS vs 9 EMS) e.g.:
 - ✓ rate of accidents and occupational diseases higher than average for the business sector
 - ✓ the organization is facing legal proceedings related to OH&S (depending on the severity and impact of risk involved),
 - ✓ temporary large presence of many (sub)contractors causing an increase in complexity or OH&S risks (e.g. periodical shutdowns or turnaround of refineries, chemical plants, steel manufacturing plants and other industrial complexes)
 - ✓ presence of dangerous substances in quantities exposing the site to the risk of major industrial accidents,
 - ✓ organization with sites included in the scope in other countries (if legislation and language are not well known).
- **Less reduction factors** (4 OH&SMS vs 8 EMS)

Any decision taken in relation to the requirements of this clause shall be recorded.



B.8 EXAMPLES OF FACTORS FOR ADJUSTMENTS OF AUDIT TIME

B.8.1 The additional factors that shall be considered include but are not limited to:

i) Increase in audit time of OH&SMS:

- a. complicated logistics involving more than one building or location where work is carried out. e.g., a separate Design Centre shall be audited,
- b. staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently),

ii) Decrease in audit time of OH&SMS:

- a. maturity of the management system,
- b. prior knowledge of the client organisation's management system (e.g. already certified in another voluntary OH&SMS scheme by the same CAB),

FINAL RESULT (STEP 1 + STEP 2 + STEP 3)

The final result of the application of such methodology of audit time calculation for OH&SMS is:

- a general increase in audit time for OH&SMS compared to that for EMS
- with no need to increase the audit time in table OH&SMS 1 vs table EMS 1

DIFFERENT APPROACH FOR DETERMINATION OF AUDIT TIME

- Risk for QMS
- Complexity for EMS
- **Risk-based complexity for OH&SMS**

To determine the audit time, **the riskiest, most complex or unique factors among the applicable processes, activities and control measures** should be taken into consideration, e.g.:

- Activities classifiable at high risk only from the point of view of the type of process, **such as work at height**, do not automatically imply higher audit times since their control measures can be easily identified
- Vice-versa even if the normal welding activities may be considered not at high risk, the **underwater welding activities** which involve more complex control measures should require higher audit time.



NEW DEFINITIONS

- **B1.9: Effective Number of Personnel:**
 - **All personnel** (permanent, temporary, and part-time) **involved within the scope of certification** including those working on each shift.
 - to also include **contractors/subcontractors under control/influence** of the organization that can impact on the organization's OH&SMS performance.
- **B1.12:** introduced the **complexity category based on OH&S risk**



JUSTIFICATION FOR REDUCTION OF NUMBER OF PERSONNEL

- B2.3.4a: reduction permitted for **high percentage personnel performing similar or identical activities**
- B2.3.1/B2.3.6: Reductions due to **employment of large numbers of unskilled personnel** not permitted without consideration of the associated risk, because the lack of awareness may be a source of risk.
- B2.3.4b: Possible reductions for groups of **workers performing repetitive jobs** which can reduce attention, and raise the associated level of OH&S risk shall be documented to include the assessment of the OH&S risk



AUDIT ON MORE THAN ONE SHIFT

B2.3.5/3.7 **Work on shifts**

- need to audit outside normal working hours :
 - ✓ at least **one of the shifts inside and one outside of regular office hours** during the 1st certification cycle
 - ✓ **during surveillance audits of the subsequent cycles, the CB may decide not to audit the second shift** based on the recognised maturity of the OH&SMS.
- Adjustments for delaying the starting time of audit are recommended in order to cover both shifts within the 8 hours audit time
- The justification for not auditing the other shifts shall be documented taking into account the risk for not doing so.



AUDIT ON MORE THAN ONE SITE

Multi-sites

- B10.1/B10.2: New IAF-MD1:2018 applicable. Site sampling is permitted or not, **based on the evaluation of the level of OH&S risks associated** with the activities and processes carried out in each site included in the scope of certification

Temporary sites

- B9.2/9.3: need to visit and the extent of sampling **based on an evaluation of the risks** of failure of the OH&SMS to control the OH&S risks associated with the client's operations.
- B9.2/9.3: Sites included in **sampling to represent the client's scope of certification**, sizes and types of activities and processes, type of hazards involved and associated OH&S risks, and stages of projects in progress



LIMITATIONS FOR REMOTE AUDIT ACTIVITIES

B4.5/9.3 remote audit:

- limited to reviewing documents and records
- limited to interviewing staff and workers
- **excluded for witnessing of operational control** and other OH&SMS activities that need direct observation
- max 30% of onsite time, if more to be justified
- to be identified in the audit plan



CONTROL OF OUTSOURCING

B11.1/B11.2:

- to obtain evidence that the organization has determined type and extent of control to be applied
- to evaluate the effectiveness of the organization 's OH&SMS in managing any supplied activity and the risk this poses to the OH&S performance
- to consider the criteria applied by the organization for the evaluation, selection, monitoring of performance of external providers
- to consider the risk that the external providers can adversely affect the organization's ability to control its own OH&S risks.



CONTROL OF OUTSOURCING

B11.3/B11.4

- auditing the complete provider's MS is not required,
- but the CAB **shall consider outsourced processes / functions** included within the scope of the organization's OH&SMS
 - to plan and accomplish an effective audit
 - to prepare and update the certification programme before every audit





IAF MD22:2018
Application of ISO/IEC 17021-1 for the
Certification of Occupational Health and Safety
Management Systems (OH&SMS)

APPENDIX C
Legal Compliance as a Part of Accredited
OH&SMS Certification



APPENDIX C

Legal Compliance as a Part of Accredited OH&SMS Certification

- ✓ **It extends to OH&SMS** selected requirements based on document [EA-7/04 M, rev.2, 2010](#), already applicable to the EMS scheme.
- ✓ It incorporates **19 requirements** providing information about the **degree of compliance with applicable OH&S laws and regulations to be met** by organizations certified for OH&SMS under accreditation

EA-7/04 – Legal Compliance as a Part of Accredited ISO 14001:2015 Certification



Publication
Reference

EA-7/04 M: 2017

**Legal Compliance
as a part of
Accredited
ISO 14001:2015
Certification**

Source document

PURPOSE

The text of this document has been produced by a working group in the European co-operation for Accreditation (EA). The purpose of this document is to provide useful information on the relationship between an organisation's accredited Environmental Management System (EMS) certification according to ISO 14001:2015 and that organisation's degree of compliance with applicable environmental requirements.

May 2017 Rev03

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FOREWORD

- **C.3.2** The **control of legal compliance** by the organisation is an important component of the OH&SMS assessment and **remains the responsibility of the organization.**
- **C.3.3** It should be stressed that **CAB auditors:**
 - **are not inspectors of the OH&S regulator**
 - should **not provide "statements" or "declarations" of legal compliance.**

NEVERTHELESS

- **C.3.4 An OH&SMS is a proven and effective tool to achieve and maintain legal compliance** and provides top management with relevant and timely information on the organisation's compliance status.
- **C.3.3 CAB auditors shall "verify the evaluation of legal compliance"** in order to assess conformity with the applicable OH&SMS standard.

NEW REQUIREMENTS

- **C01** Introduced definition of “legal compliance” as “**Conformity with the law, in such a way that the intended outcome is realised.**”
- **C01** Accredited OH&SMS certification shall demonstrate that CAB has evaluated and confirmed that the organisation’s OH&SMS ensure the **fulfilment of its policy commitments on legal compliance**
- **C1.3** The CAB shall assure that **conformity is being maintained during all the certification cycle**. Auditors shall verify the management of legal compliance based on the demonstrated implementation of the system and not rely only on planned or expected results.

NEW REQUIREMENTS

- **C1.4** Any organization failing to demonstrate their initial or ongoing commitment to legal compliance, **shall not be certified or continued to be certified**
- **C.1.5** Deliberate or consistent non-compliance shall be considered a serious failure to support the policy commitment on legal compliance and **shall preclude certification** or cause an existing OH&SMS standard **certificate to be suspended, or withdrawn**

NEW REQUIREMENTS

C.2.2 /C.3.6

- **The organisation shall be able to demonstrate that it has achieved compliance** with the legal OH&S requirements that are applicable to it through its own evaluation of compliance **prior to the Certification Body granting certification**

NEW REQUIREMENTS

C.2.3 Where the organization may not be in legal compliance:

- it shall be able to demonstrate it **has activated an implementation a plan to achieve full compliance within a declared date**, supported by a documented agreement with the regulator, wherever possible for the different national conditions.
- **the successful implementation of this plan shall be considered as a priority within the OH&SMS.**

NEW REQUIREMENTS

C.2.4 Exceptionally the CAB may still grant certification but shall seek objective evidence to confirm that the organization's OH&SMS:

- is capable of achieving the required compliance through **full implementation of the above implementation plan within the due date,**
- has **addressed all hazards and OH&S risks to workers and other exposed personnel**
- **that there are no activities, processes or situations that can or will lead to a serious injury and/or ill-health,** and
- during the transitional period **has put in place the necessary actions to ensure that the OH&S risk is reduced and controlled.**



IAF MD22:2018
Application of ISO/IEC 17021-1 for the
Certification of Occupational Health and Safety
Management Systems (OH&SMS)

APPENDIX D
OH&SMS SCOPE OF ACCREDITATION



APPENDIX D

OH&SMS scopes of Accreditation

- It states that the accredited scope of an OH&S CB shall be expressed in terms of one or more elements from a list of economic activities reported in the **new table for OH&SMS**, similar to the those already published for QMS and EMS by document **IAF-ID1:2014**
- The list of scopes of accreditation is based on the statistical nomenclature for economic activities NACE 2 associated to **examples of OH&S hazards common to that IAF code**

IAF ID 1:2014 *International Accreditation Forum, Inc.*



IAF Informative Document



Issued: 10 June 2014

Application Date: 10 June 2014

IAF ID 1:2014, Issue 2

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MODEL FOR OH&SMS ACCREDITATION SCOPE

OH&SMS Accreditation Scope			
No	Description of economic sector /activity	NACE – Division / Group / Class (rev.2)	Examples of Common OH&S hazards (1)
1	Agriculture, forestry and fishing	01, 02, 03	Exposure to pesticide, biological and chemical hazards, farm mobile vehicles and equipment, work at height, manual handling, respiratory disease, zoonoses, noise, repetitive stress, etc.
2	Mining and quarrying	05, 06, 07, 08, 09	Rock fall, fire, explosion, mobile vehicles, machinery, falls from height, entrapment and electrocution, noise, vibration, exposure to radon, crystalline silica exposure, coal dust, hazardous chemicals, working in confined spaces, etc.
3	Food products, beverages	10, 11, 12	Exposure to pesticide, biologic and

MODEL FOR OH&SMS ACCREDITATION SCOPE

- **Examples of common hazards are not supposed to be included in the scope of accreditation.**
- No risk level has been assigned for each IAF code. Each AB would be responsible to define the risk level of each scope taking into account the local legislation, the OH&S hazards and the requirements defined in Appendix B.
- The use of OH&S scopes to describe “technical areas” for a OH&SMS, as referred to in ISO/IEC 17021-1:2015, clause 7.1.2., is limited. While scope 11 “Nuclear Fuel” might constitute a legitimate descriptor for a technical area, few of the other headings would do so.



IAF MD22:2018
Application of ISO/IEC 17021-1 for the
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Management Systems (OH&SMS)

APPENDIX E
Witnessing Activities for the Accreditation of
Occupational Health and Safety Management
Systems (OH&SMS) Certification Bodies

APPENDIX E

Witnessing Activities for the Accreditation of Occupational Health and Safety Management Systems (OH&SMS) Certification Bodies

- Consistently with [IAF MD17:2015](#) (which is fully applicable), this Appendix specifies the **witnessing activities to be performed for OH&SMS**
- All the IAF codes have been merged into a series of **technical clusters for OH&SMS**, similar to those already published by IAF MD 17 for QMS and EMS.

IAF MD 17:2015 International Accreditation Forum, Inc.



IAF Mandatory Document



Witnessing Activities for the Accreditation of Management Systems Certification Bodies

Issue 1, Version 2

(IAF MD 17:2015)

Issued: 09 January 2015

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IAF MD 17:2015
Issue 1, Version 2

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WITNESSING ACTIVITIES FOR THE ACCREDITATION OF OH&SMS

- **All IAF codes have been merged into a table of 13 technical clusters applicable to OH&SMSs.**
- The specific approach for the detailed in section 4 of IAF-MD17. sampling of IAF codes is the same
- **Each AB can decide to designate different critical codes** within each technical cluster, according to national regulations, local market conditions and effective use.
- The technical justification for these modifications shall be recorded.

APPENDIX E (NORMATIVE)

13 TECHNICAL CLUSTERS FOR OH&SMS WITNESS ASSESSMENTS

Technical cluster	IAF code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
Agriculture, forestry and fishing	1	Agriculture, forestry and fishing	1
Food	3	Food products, beverages and tobacco	3
	30	Hotels and restaurants	
Mechanical	17	Limited to "Fabricated metal products"	20 and 21
	18	Machinery and equipment	
	19	Electrical and optical equipment	
	20	Shipbuilding	
	21	Aerospace	
	22	Other transport equipment	
Paper	7	Limited to "Paper products"	9
	8	Publishing companies	
	9	Printing companies	
Construction	28	Construction	28
	34	Engineering services	
Goods production	4	Textiles and textile products	4 (with tanning) and 5 or 6
	5	Leather and leather products	
	6	Wood and wood products	
	23	Manufacturing not elsewhere classified	

IAF MD 22: 2018

**THANK YOU VERY MUCH
FOR YOUR ATTENTION**