



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)

The International Accreditation Forum, Inc. (IAF) facilitates trade and supports regulators by operating a worldwide mutual recognition arrangement among Accreditation Bodies (ABs) in order that the results issued by Conformity Assessment Bodies (CABs) accredited by IAF members are accepted globally.

Accreditation reduces risk for business and its customers by assuring them that accredited CABs are competent to carry out the work they undertake within their scope of accreditation. ABs that are members of IAF and the CABs they accredit are required to comply with appropriate international standards and the applicable IAF application documents for the consistent application of those standards.

ABs that are signatories to the IAF Multilateral Recognition Arrangement (MLA) are evaluated regularly by an appointed team of peers to provide confidence in the operation of their accreditation programs. The structure and scope of the IAF MLA is detailed in IAF PR 4 – Structure of IAF MLA and Endorsed Normative Documents.

The IAF MLA is structured in five levels: Level 1 specifies mandatory criteria that apply to all ABs, ISO/IEC 17011. The combination of a Level 2 activity(ies) and the corresponding Level 3 normative documents is called the main scope of the MLA, and the combination of Level 4 (if applicable) and Level 5 relevant normative documents is called a sub-scope of the MLA.

- The main scope of the MLA includes activities e.g. product certification and associated mandatory documents e.g. ISO/IEC 17065. The attestations made by CABs at the main scope level are considered to be equally reliable.
- The sub scope of the MLA includes conformity assessment requirements e.g. ISO 9001 and scheme specific requirements, where applicable, e.g. ISO TS 22003. The attestations made by CABs at the sub scope level are considered to be equivalent.

The IAF MLA delivers the confidence needed for market acceptance of conformity assessment outcomes. An attestation issued, within the scope of the IAF MLA, by a body that is accredited by an IAF MLA signatory AB can be recognized worldwide, thereby facilitating international trade.

TABLE OF CONTENTS

0. INTRODUCTION	6
1. SCOPE.....	7
2. NORMATIVE REFERENCES.....	7
3. TERMS AND DEFINITIONS.....	7
4. PRINCIPLES.....	7
5. GENERAL REQUIREMENTS	8
6. STRUCTURAL REQUIREMENTS.....	8
7. RESOURCE REQUIREMENTS.....	8
8. INFORMATION REQUIREMENTS.....	8
9. PROCESS REQUIREMENTS	9
9.1 Pre-certification Activities	9
9.2 Planning Activities.....	10
9.3 Initial Certification.....	10
9.4 Conducting Audits.....	10
9.5 Certification Decision	11
9.6 Maintaining Certification.....	11
9.7 Appeals.....	11
9.8 Complaints.....	11
9.9 Client Records	11
10. MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES.....	11
APPENDIX A (normative) - SPECIFIC KNOWLEDGE AND SKILLS FOR CERTIFICATION FUNCTIONS IN OH&SMS	12
APPENDIX B (normative) - DETERMINATION OF AUDIT TIME OF OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS.....	14
APPENDIX C (normative) - LEGAL COMPLIANCE AS A PART OF ACCREDITED OH&SMS CERTIFICATION.....	27
APPENDIX D (normative) - SCOPE OF ACCREDITATION.....	31
APPENDIX E (normative) - WITNESSING ACTIVITIES FOR THE ACCREDITATION OF OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS (OH&SMS) CERTIFICATION BODIES	37

Issue No 1

Prepared by: IAF Technical Committee

Approved by: IAF Members

Issue Date: 25 January 2018

Name for Enquiries: Elva Nilsen

IAF Corporate Secretary

Telephone: +1 613 454-8159

Email: secretary@iaf.nu

Date: 28 December 2017

Application Date: 25 January 2018

Introduction to IAF Mandatory Documents

The term “should” is used in this document to indicate recognised means of meeting the requirements of the standard. A Conformity Assessment Body (CAB) can meet these in an equivalent way provided this can be demonstrated to an Accreditation Body (AB). The term “shall” is used in this document to indicate those provisions which, reflecting the requirements of the relevant standard, are mandatory.

**APPLICATION OF ISO/IEC 17021-1 FOR THE CERTIFICATION OF
OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS (OH&SMS)**

0. INTRODUCTION

This document is mandatory for the consistent application of ISO/IEC 17021-1:2015 for the accreditation of Certification Bodies providing certification of Occupational Health and Safety Management Systems (OH&SMS). All clauses and Annexes of ISO/IEC 17021-1:2015 continue to apply and this document does not supersede any of the requirements of that standard. This document not only applies for certification to OHSAS 18001 but shall also be used for certification to other OH&SMS such as the upcoming ISO 45001 and other standards. National legislation will prevail in case of conflict with this document.

This document also includes five mandatory appendices which introduce specific OH&SMS requirements to the following ISO, IAF and EA documents:

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

This document follows the structure of ISO/IEC 17021-1:2015.

Specific criteria are identified by the letter "G" followed with a reference number that incorporates the related requirements clause in ISO/IEC 17021-1:2015.

In all cases a reference in the text of this document to "clause XX" refers to a clause in ISO/IEC 17021-1:2015 unless otherwise specified.

1. SCOPE

No additional requirement.

2. NORMATIVE REFERENCES

No additional requirement.

3. TERMS AND DEFINITIONS

G 3.3 Some specific services offered or provided in the field of Occupational Health and Safety to clients certified or being certified for OH&SMS by the Certification Body are considered as OH&SMS consultancy. These include, but are not limited to:

- i) performing the role of Occupational Health and Safety coordinator,
- ii) safety reporting,
- iii) performing risk assessments,
- iv) performing Occupational Health and Safety inspections and internal audits,
- v) communication with regulatory authorities on behalf of the client,
- vi) assistance in developing an organisation's Occupational Health and Safety Management System, and
- vii) accident and incident investigation.

4. PRINCIPLES

G 4.1.2 In addition to both managerial and non-managerial permanent and temporary workers, and their representatives, parties that have an interest in an OH&SMS certification include, but are not limited to:

- i) legal and regulatory authorities (local, regional, national or international),
- ii) parent organizations,
- iii) suppliers, contractors and subcontractors,
- iv) workers' organizations (trade unions) and employers' organizations,

-
- v) owners, shareholders, clients, visitors, relatives of workers, local community and neighbours of the organization and the general public,
 - vi) customers, medical and other community services, media, academia, business associations and non-governmental organizations (NGOs), and
 - vii) occupational health and safety organizations and occupational safety and health-care professionals (for example doctors and nurses).

5. GENERAL REQUIREMENTS

G 5.2.3 (In note 2)

The key interests may include the additional parties mentioned in clause G.4.1.2.

6. STRUCTURAL REQUIREMENTS

No additional requirement.

7. RESOURCE REQUIREMENTS

G 7.1.2 (In the note)

For Occupational Health and Safety management systems, the term “technical area” is related to commonalities of processes or services and their associated hazards which can expose workers to OH&S risks.

8. INFORMATION REQUIREMENTS

G 8.5.3 The legally enforceable arrangements shall also require that the certified client informs the Certification Body, without delay, of the occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority.

9. PROCESS REQUIREMENTS

9.1 Pre-certification Activities

G 9.1.1 The information provided to the Certification Body by the authorized representative of the applicant organisation on its processes and activities shall also include the identification of the key hazards and OH&S risks associated with processes, the main hazardous materials used in the processes, and any relevant legal obligations coming from the applicable OH&S legislation.

The application shall contain details of personnel working on, as well as working away from the organisation's premises.

G 9.1.4 The audit time of OH&SMS audits shall be determined in accordance with Appendix B of this document.

If the client provides services at another organisation's premises, the CAB shall verify that the client's OH&SMS covers these offsite activities (notwithstanding the OH&SMS obligations of the other organization). In determining the time to be spent for audit, the CAB shall consider to audit periodically any organization site where these employees work. Whether all sites shall be audited will depend 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. The justification for such decision shall be recorded.

G 9.1.5 In the case of OH&SMS operated over multiple sites it is necessary to establish if sampling is permitted or not based on the evaluation of the level of OH&S risks associated to the nature of activities and processes carried out in each site included in the scope of certification. The rationale of such decisions, the calculation of the audit time and the frequency of visiting each site shall be consistent with the requirements of clause B.10 in Appendix B, and shall be documented for each client.

Where there are multiple sites not covering the same activities, processes and OH&S risks, sampling is not appropriate.

Although a site performs similar processes or manufactures similar products to other sites, the CAB shall take account of the differences between the operations of each site (technology, equipment, quantities of hazardous materials used and stored, working environment, premises etc.).

When sampling is permitted the CB shall ensure that the sample of sites to be audited is representative of processes, activities and OH&S risks that exist in the organization to be audited.

Temporary sites covered by the organization's OH&SMS are subject to audit on a sample basis to provide evidence of the operation and effectiveness of the management system (see clause B.9 of Appendix B).

9.2 Planning Activities

G 9.2.1.2 b) For the determination of the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements, the approach described in Appendix C shall be applied.

G.9.2.1.3 The OH&SMS shall include activities, products and services within the organization's control or influence that can impact the organization's OH&SMS performance.

Temporary sites, for example, construction sites, shall be covered by the OH&SMS of the organization that has control of these sites, irrespective of where they are located.

9.3 Initial Certification

No additional requirement.

9.4 Conducting Audits

G 9.4.4.2 The audit team shall interview the following personnel:

- i) the management with legal responsibility for Occupational Health and Safety,
- ii) employees' representative(s) with responsibility for Occupational Health and Safety,
- iii) personnel responsible for monitoring employees' health, for example, doctors and nurses. Justifications in case of interviews conducted remotely shall be recorded,
- iv) managers and permanent and temporary employees.

Other personnel that should be considered for interview are:

- i) managers and employees performing activities related to the prevention of Occupational Health and Safety risks, and
- ii) contractors' management and employees.

G 9.4.5.3 The Certification Body shall have procedures detailing the actions to be taken in the event that it discovers a non-compliance with relevant regulatory requirements. These procedures shall include a requirement that any such non-compliances are immediately communicated to the organization being audited.

G 9.4.7.1 The organization representative shall be requested to invite the management legally responsible for occupational health and safety, personnel responsible for monitoring employees' health and the employees' representative(s) with responsibility for occupational health and safety to attend the closing meeting. Justification in case of absence shall be recorded.

9.5 Certification Decision

No additional requirement.

9.6 Maintaining Certification

G 9.6.4.2 Independently from the involvement of the competent regulatory authority, a special audit may be necessary in the event that the Certification Body becomes aware that there has been a serious incident related to occupational health and safety, for example, a serious accident, or a serious breach of regulation, in order to investigate if the management system has not been compromised and did function effectively. The Certification Body shall document the outcome of its investigation.

G 9.6.5.2 Information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client (see G 8.5.3) or directly gathered by the audit team during the special audit, (G 9.6.4.2) shall provide grounds for the Certification Body 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. Such requirements shall be part of the contractual agreements between the CAB and the organization.

9.7 Appeals

No additional requirement.

9.8 Complaints

No additional requirement.

9.9 Client Records

No additional requirement.

10. MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES

No additional requirement.

APPENDIX A (normative) - SPECIFIC KNOWLEDGE AND SKILLS FOR CERTIFICATION FUNCTIONS IN OH&SMS

This is an Appendix to the mandatory Annex A of ISO/IEC 17021-1: 2015.

This Appendix will be superseded when the future ISO/IEC TS 17021-10 for OH&SMS comes into force.

The following clauses A.1.n refer to the criteria of knowledge and skills listed in the first column and specified under the letter X in the other columns of Table A.1, for each certification function. Such criteria are explained in more detail with reference to the text following the table referenced by the number in parenthesis.

A.1.1 Knowledge of business management practices:

- no additional guidance to § A.2.1.

A.1.2 Knowledge of audit principles, practices and techniques shall include ISO/IEC 17021-1:2015, guidance provided in this document:

- no additional guidance to § A.2.2 and A.3.1.

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.1.4 Knowledge of the Certification Body's processes:

-
- no additional guidance to § A.2.4, A.3.3 and A.4.2.

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, processes and organization shall include:

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

A.1.7 Language skills appropriate to all levels within the client organization:

- no additional guidance to § A.2.7.

A.1.8 Note-taking and report-writing skills:

- no additional guidance to § A.2.8.

A.1.9 Presentation skills

- no additional guidance to § A.2.9.

A.1.10 Interviewing skills

- no additional guidance to § A.2.10.

A.1.11 Audit-management skills

- no additional guidance to § A.2.11.

**APPENDIX B (normative) - DETERMINATION OF AUDIT TIME OF OCCUPATIONAL
HEALTH AND SAFETY MANAGEMENT SYSTEMS**

This Appendix is mandatory for the consistent application of the relevant clauses of ISO/IEC 17021-1:2015 and the additional requirements of IAF-MD5:2015 for audits of occupational health and safety management systems.

In this Appendix, no clauses of ISO/IEC 17021-1:2015 are superseded.

IAF MD5 applies with the amendments herein detailed:

- all clauses herein amended incorporate all relevant existing requirements of the related clauses of IAF-MD5:2015, and
- all clauses not amended are not included in this Appendix unless needed to ensure a better understanding of the related amended clauses (e.g. clauses B.5 and B.6 referred by amended clause B.3.2).

B.1 DEFINITIONS**B.1.9 Effective Number of Personnel**

The effective number of personnel consists of all personnel (permanent, temporary, and part-time) involved within the scope of certification including those working on each shift. When included within the scope of certification, it shall also include contractors/subcontractors personnel performing work or work-related activities that are under the control or influence of the organization, that can impact on the organization's OH&SMS performance.

B.1.12 Complexity category based on OH&S risk

For OH&SMS, the provisions specified in this document 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 Table OH&SMS 2).

B.2 APPLICATION**B.2.2 Audit Day(s)**

B.2.2.1 Table OH&SMS 1 presents the average audit time of OH&SMS certification audits calculated in audit days on the basis of 8 hours per day. National adjustments on the number of days may be needed to comply with local legislation for travel, lunch breaks and working hours to achieve the same total number of days of auditing of Table OH&SMS 1.

B.2.3 Calculation of the Effective Number of Personnel

B.2.3.1 The effective number of personnel as defined above is used as a basis for the calculation of audit time for OH&SMS. Considerations for determining the effective number of employees include part-time personnel, those working on shifts, administrative and all categories of office staff, and similar or repetitive processes (see B.2.3.4). “In case of seasonal operations (e.g. harvesting activities, holiday villages and hotels, etc.) the calculation of the effective number of personnel shall be based on the personnel typically present in peak season operations.” Reductions due to employment of large numbers of unskilled personnel shall not be made without consideration of the associated risk (see B.2.3.6).

B.2.3.4 Similar or repetitive processes within scope

- a) When a high percentage of personnel perform certain activities/positions that are considered similar or identical because they expose personnel to similar OH&S risks (e.g. cleaners, security, sales, call centres, etc.) a reduction in the number of personnel which is coherent and consistently applied on a company to company basis within the scope of certification may be permitted.
- b) For groups of workers performing repetitive jobs which can reduce attention, and raise the associated level of OH&S risk (e.g. mounting, assembling, packaging, sorting, etc.), the methods incorporated for possible reductions shall be documented to include the assessment of the OH&S risk of any activities/positions of workers.

B.2.3.5 Shift work employees

The CAB shall determine the timing of the audit which will best assess the effective implementation of the OH&SMS for the full scope of the client activities, including the need to audit outside normal working hours and various shift patterns. This shall be agreed with the client.

The CAB should ensure that any variation in audit time does not compromise the effectiveness of audits (see also clause B 3.7).

B.2.3.6 Temporary unskilled personnel

This issue normally only applies in countries with a low level of technology where temporary unskilled personnel may be employed in considerable numbers to replace automated processes. Under these circumstances, a reduction in effective personnel may be made for other certification schemes (QMS, EMS). This reduction is in principle to be regarded as not applicable to OH&SMS since the employment of temporary unskilled personnel can be a source of OH&S risks. If, in exceptional cases, a reduction is made the justification for doing so shall be recorded and made available to the AB at assessment.

B.3 METHODOLOGY FOR DETERMINING AUDIT TIME OF OH&SMS

B.3.1 The methodology used as a basis for the calculation of audit time of OH&SMS for an initial audit (Stage 1 + Stage 2) involves the understanding of tables of Annex C of Appendix B. Annex C is based upon the effective number of personnel (see Clause B.2.3 for guidance on the calculation of the effective number of personnel) and the category of OH&S risk associated with the business sector of the organization and does not provide a minimum or maximum audit time. Table OH&SMS 2 shows the linkage between business sectors and OH&S complexity categories based on OH&S risks.

Note: Normal practice is that time spent for Stage 2 exceeds time spent for Stage 1.

B.3.2 Using a suitable multiplier, the same table and figure may be used as the base for calculating audit time for surveillance audits (Clause B.5) and recertification audits (clause B.6).

B.3.3 The CAB shall have processes that provide for the allocation of adequate time for auditing of relevant processes of the client. Experience has shown that apart from the number of personnel, the time required to carry out an effective audit depends upon other factors for OH&SMS. These factors are explored in more depth in clause B.8.

B.3.4 This mandatory document lists the provisions which should be considered when establishing the amount of time needed to perform an audit. This and other factors need to be examined during the CAB's application review process, and after Stage 1 and throughout the certification cycle and at recertification for their potential impact on the determination of the audit time regardless of the type of audit. Therefore the relevant tables OH&SMS 1 and OH&SMS 2 which demonstrate the relationship between effective number of personnel and OH&S risk categories cannot be used in isolation. These tables provide the framework for further audit planning and for making adjustments to audit time for all types of audits.

B.3.6 For an OH&SMS audit it is appropriate to base audit time on the effective number of personnel of the organization and nature, number and severity of the OH&S risks of the typical organization in that industry sector. Tables OH&SM 1 and OH&SM 2 provide a framework for the process that should be used for planning. The audit time of management systems should then be adjusted based on any significant factors that uniquely apply to the organization to be audited.

B.3.7 The starting point for determining audit time of OH&SMSs shall be identified based on the effective number of personnel, then adjusted for the significant factors applying to the client to be audited, and attributing to each factor an additive or subtractive weighting to modify the base figure. In every situation, the basis for the establishment of audit time of OH&SMSs, including adjustments made, shall be recorded. The CAB should ensure that any variation in audit time does not compromise

the effectiveness of audits. Where product or service realization processes operate on a shift basis, the extent of auditing of each shift by the CAB depends on the processes done on each shift, taking into consideration the associated OH&S risks, and the level of control of each shift that is demonstrated by the client. To audit effective implementation, at least one of the shifts inside and one outside of regular office hours shall be audited during the first cycle of certification. During surveillance audits of the subsequent cycles, the CB may decide not to audit the second shift based on the recognised maturity of the organization's OH&SMS. Adjustments for delaying the starting time of audit are recommended whenever possible, 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.

B.3.8 The audit time of OH&SMSs determined using the tables of this Appendix shall not include the time of “auditors-in-training”, observers or the time of technical experts.

B.3.9 The reduction audit time of OH&SMSs shall not exceed 30% of the times established from Table OH&SMS 1.

B.4 INITIAL OH&SMS CERTIFICATION AUDITS (STAGE 1 PLUS STAGE 2)

B.4.2 Table OH&SMS 1 provides a starting point for estimating the time of an initial audit (Stage 1 + Stage 2) for OH&SMS.

B.4.5 Certification audits may include remote auditing techniques such as interactive web-based collaboration; web meetings, teleconferences and/or electronic verification of the client's processes. These remote activities, which shall be limited to reviewing documents/records and to interviewing staff and workers, shall be identified in the audit plan. The time spent on these activities may be considered as contributing to the total duration of management systems audits. If the CAB plans an audit for which the remote auditing activities represent more than 30% of the planned on-site duration of management systems audits, the CAB shall justify the audit plan and maintain the records of this justification, which shall be available to an Accreditation Body for review (see IAF MD4). Activities and OH&S risk controls cannot be remotely witnessed this way.

Note 1: Duration of management system audits refers to the duration of management system audits allocated for individual sites. Electronic audits of virtual or remote sites are considered to be remote audits, even if the electronic audit is physically carried out on the client organization's location (physical or virtual).

Note 2: Regardless of the remote auditing techniques used, the client organization shall be physically visited at least annually where such a physical location exists.

Note 3: It is unlikely that a Stage 2 audit will take less than one (1) audit day.

B.5 SURVEILLANCE

During the initial three year certification cycle, audit time for surveillance audits for a given organization should be proportional to the audit time spent on the initial certification audit (Stage 1 + Stage 2), with the total amount of time spent annually on surveillance being about 1/3 of the audit time spent on the initial certification audit. The CAB shall obtain an update of client data related to its management system as part of each surveillance audit. The planned audit time of a surveillance audit shall be reviewed at least at every surveillance and recertification audit to take into account changes in the organization, system maturity, etc. The evidence of review including any adjustments to the audit time of management systems audits shall be recorded.

Note: It is unlikely that a surveillance audit will take less than one (1) audit day.

B.6 RECERTIFICATION

The audit time for the recertification audit should be calculated on the basis of the updated information of the client and is normally approximately 2/3 of the audit time that would be required for an initial certification audit (Stage 1 + Stage 2) of the organization if such an initial audit were to be carried out at the time of recertification (i.e. not 2/3 of the original time spent on the initial audit). The audit time of management systems shall take account of the outcome of the review of system performance (ISO/IEC 17021-1). The review of system performance does not itself form part of the audit time for recertification audits.

Note: It is unlikely that a recertification audit will take less than one (1) audit day.

B.7 INDIVIDUALIZED SECOND AND SUBSEQUENT CERTIFICATION CYCLES

Not applicable for OH&SMS.

B.8 FACTORS FOR ADJUSTMENTS OF AUDIT TIME OF OH&SMS

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),
 - c. very large site for the number of personnel (e.g., a forest),

-
- d. high degree of regulation (e.g. aerospace, nuclear power, refinery and chemical industry, fishing vessels, mining, food, drugs, etc.),
 - e. system covers highly complex processes or relatively high number of unique activities,
 - f. activities that require visiting temporary sites to confirm the activities of the permanent site(s) whose management system is subject to certification,
 - g. views of interested parties,
 - h. rate of accidents and occupational diseases higher than average for the business sector,
 - i. if the members of the public are present on the organization's site (e.g. hospitals, schools, airports, ports, train stations, public transport),
 - j. the organization is facing legal proceedings related to OH&S (depending on the severity and impact of risk involved),
 - k. the temporary large presence of many (sub)contractors companies and their employees causing an increase in complexity or OH&S risks (e.g. periodical shutdowns or turnaround of refineries, chemical plants, steel manufacturing plants and other large industrial complexes),
 - l. Where dangerous substances are present in quantities exposing the plant to the risk of major industrial accidents, in accordance with the applicable national regulations, and/or risk assessment documentation,
 - m. organization with sites included in the scope in other countries than the mother site country (if legislation and language are not well known).
- 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),
 - c. client preparedness for OH&S certification (e.g. already subject to periodical audits by the National Authority for a mandatory governmental OH&SMS scheme),
 - d. very small site for number of personnel (e.g. office complex only).

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.

Note 1: Subtractive factors may be used once only for each calculation for each client organization.

Note 2: Additional factors to consider when calculating the audit time of integrated management systems are addressed in IAF MD 11.

B.9 TEMPORARY SITES

B.9.2 Temporary sites could range from major project management sites to minor service/installation sites. The need to visit such sites and the extent of sampling shall be based on an evaluation of the risks of failure of the OH&SMS to control OH&S risks associated with the client's operations. Sites included in sampling should 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.

B.9.3 Typically on-site audits of temporary sites would be performed. However, the following methods could be considered as alternatives to replace only those parts of on-site audits not related to witness the operational control and other OH&SMS activities:

- i) interviews or progress meetings with the client and/or its customers in person or teleconference,
- ii) document review of temporary site activities,
- iii) remote access to electronic site(s) that contain records or other information that is relevant to the assessment of the OH&SMS and the temporary site(s),
- iv) use of video and teleconference and other technology that enable effective auditing to be conducted remotely.

B.10 AUDIT TIME OF A MULTI-SITE OH&SMS

B.10.1 In the case of an OH&SMS system operated over multiple sites the CAB shall establish if 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. Records of such evaluations and rationale of decisions taken shall be made available to the AB at assessment.

B.10.2 The requirements for OH&SMS multiple site certification, both when sampling is permitted and when sampling is not permitted, are covered in more detail by the different scenarios provided in the new IAF MD 1 document for auditing and certification of a management system managed by a multi-site organization, in which all references to IAF MD5 requirements shall be understood as amended by this Appendix B.

Until its coming into force, the respective requirements of IAF MD 1:2007 and MD 19:2016 continue to apply.

The proportion of the total time spent on each site shall take into account situations where certain management system processes are not relevant to the site.

B.10.3 Combined with clause B.10.2

B.11 CONTROL OF EXTERNALLY PROVIDED FUNCTIONS OR PROCESSES (OUTSOURCING)

B.11.1 If an organization outsources part of its functions or processes, it is the responsibility of the CAB to obtain evidence that the organization has effectively determined the type and extent of controls to be applied in order to ensure that the externally provided functions or processes do not adversely affect the effectiveness of the OH&SMS, including the organization's ability to control its OH&S risks and commitments to comply with legal requirements.

B.11.2 The CAB will audit and evaluate the effectiveness of the organization's OH&SMS in managing any supplied activity and the risk this poses to OH&S performance of its own activities and processes and conformity requirements. This may include gathering feedback on the level of effectiveness from suppliers, based:

- on the criteria applied by the organization for the evaluation, selection, monitoring of performance and re-evaluation of these external providers based on their ability to provide functions or processes in accordance with specified requirements, in compliance with the legal requirements, and
- on the risk that the external providers can adversely affect the organization's ability to control its own OH&S risks.

B.11.3 Even if auditing the complete provider's management system is not required, the CAB shall consider those processes or functions included within the scope of the organization's OH&SMS, which have been outsourced to external providers to plan and accomplish an effective audit.

B.11.4. The CAB should be able to establish this during the preparation of the certification programme and further verify it during the initial audit, and before every surveillance and recertification audit.

Annex A - Quality Management Systems

Not applicable.

Annex B - Environmental Management Systems

Not applicable.

Annex C to Appendix B – OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS

Table OH&SMS 1 – Occupational Health and Safety Management Systems

**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		

Note 1: Audit time is shown for high, medium and low OH&SM risk audits.

Note 2: The numbers of personnel in Table OH&SMS 1 should be seen as a continuum rather than a stepped change. If drawn as a graph, the line should start with the values in the lower band. The starting point of the graph should be personnel of 1 attracting 2.5 days as above. If after the calculation the result is a decimal number, the number of days should be adjusted to the nearest half day (e.g.: 5.3 audit days becomes 5.5 audit days, 5.2 audit days becomes 5 audit days).

Note 3: See also clause B.1.9 and B.2.3.

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	• 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 • pulping part of paper manufacturing including paper recycling processing • oil refining • chemicals (including pesticides, fabrication of batteries and accumulators), and pharmaceuticals • manufacturing of fibreglass • gas production, storage and distribution • electricity generation and distribution • nuclear • storage of large quantities of hazardous material • non-metallic processing and products covering ceramics, concrete, cement, lime, plaster, etc. • primary productions of metals • hot and cold forming and metal fabrication • manufacturing and assembly of metal structures • shipyards (depending on the activities could be medium) • aerospace industry • automotive industry • manufacturing of weapons and explosives • recycling of hazardous waste • hazardous and non-hazardous waste processing e.g. incineration etc. • effluent and sewerage processing • industrial and civil construction and demolition (including building completion with electrical, hydraulic and air conditioning installation activities) • slaughter houses • transport and distribution of dangerous goods (by land, air and water) • defence activities/crisis management • healthcare/hospitals/veterinary/social works
Medium	• aquaculture (breeding, rearing, and harvesting of plants and animals in all types of water environments) • 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 • manufacturing of wood and wooden products including manufacturing of

Complexity category of OH&S risk	Business sector
	- boards, treatment/impregnation of wood • paper production and paper products excluding pulping • non-metallic processing and products covering glass, ceramics, clay, etc. • general mechanical engineering assembly • manufacturing of metallic products • surface and other chemically based treatment for metal fabricated products excluding primary production and for general mechanical engineering (depending on the treatment and the size of the component could be high) • production of bare printed circuit boards for electronics industry • rubber and plastic injection moulding, forming and assembly • electrical and electronic equipment assembly • manufacturing of transport equipment and their repairs - road, rail and air (depending on the size of the equipment, could be high) • recycling, composting, landfill (of non-hazardous waste) • water abstraction, purification and distribution including river management (note commercial effluent treatment is graded as high) • fossil fuel wholesale and retail (depending on the amount of fuel, could be high) • transport of passengers (by air, land and sea) • transport and distribution of non-dangerous goods (by land, air and water) • industrial cleaning, hygiene cleaning, dry cleaning normally part of general business services • research & development in natural and technical sciences (depending on the business sector could be high). Technical testing and laboratories • hotels, leisure services and personal services excludes restaurants • education services (depending on the object of teaching activities could be high or low)
Low	• 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). • transport and distribution - management services with no actual fleet to manage • engineering services (could be medium depending on type of services) • telecommunications and post office services • restaurants and campings • commercial estate agency, estate management • research & development on social sciences and humanities • public administration, local authorities • financial institutions, advertising agency

Complexity categories of OH&S risks

The provisions specified in this document are based on three primary complexity categories of OH&S risks based on the nature and severity of the OH&S risks of an organization that fundamentally affect the auditor time. These are:

- **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), and
- **Low** – OH&S risks with low nature and severity (typically office based organizations).

Table OH&SMS 1 covers the above three complexity categories of OH&S risks.

Table OH&SMS 2 provides the link between the three complexity categories of OH&S risks above and the industry sectors that would typically fall into that category.

The CAB should recognize that not all organizations in a specific sector will always fall in the same OH&S risk category. The CAB should allow flexibility in its contract review procedure to ensure that the specific activities of the organization are considered in determining the complexity categories of OH&S risks.

For example, even though many businesses in shipbuilding should be classified as “high risk”, an organization which would have only small boats of carbon fibre with lower complexity activities could be classified as “medium”.

The CAB shall document all cases where they have lowered the complexity category of OH&S risks of an organization in a specific business sector.

Note: The complexity category of OH&S risk of an organization may also be associated with the consequences of a failure of the OH&SMS to control the risk:

- High – where failure to manage the risk could put life at risk or result in serious injury or illness,
- Medium – where failure to manage the risk could result in injury or illness, and
- Low – where failure to manage the risk may result in minor injury or illness.

**APPENDIX C (normative) - LEGAL COMPLIANCE AS A PART OF ACCREDITED
OH&SMS CERTIFICATION****C.0 INTRODUCTION**

C.01 Considering the various viewpoints, the following definition for “legal compliance” is used: “Conformity with the law, in such a way that the intended outcome is realised.”

While certification of an OH&SMS against the requirements of the applicable OH&SMS standard is not a guarantee of legal compliance (neither is any other means of control, including government or other type of control and/or legal compliance inspections or other forms of certification or verification), it is a proven and efficient tool to achieve and maintain such legal compliance.

It is recognised that accredited OH&SMS certification shall demonstrate that an independent third-party (Certification Body) has evaluated and confirmed that the organisation has a demonstrably effective OH&SMS to ensure the fulfilment of its policy commitments including legal compliance.

Ongoing or potential non-compliances with the applicable legal requirements might show a lack of management control within the organisation and its OH&SMS and the conformity with the standard should be carefully reviewed.

C.02 This Appendix is intended to extend to OH&SMS the applicability of selected requirements of document EA-7/04 M: 2017 “Legal Compliance as a part of Accredited ISO 14001:2015 certification”, rev.03 May 2017. Such requirements describe the relationship between an organisation's accredited OH&SMS certification and that organisation's degree of compliance with applicable OH&S legal requirements.

**C.1 HOW SHOULD A CERTIFICATION BODY AUDIT AN OH&SMS WITH
RESPECT TO LEGAL COMPLIANCE**

C.1.1 Through the certification assessment process, a Certification Body shall evaluate an organisation's conformity with the requirements of an OH&SMS standard as they relate to legal compliance and shall not grant certification until conformity with these requirements can be demonstrated.

After certification, the subsequent surveillance and reassessment audits conducted by the Certification Body shall be consistent with the above audit methodology.

C.1.2 With respect to the balance between review of documents and records and the evaluation of the OH&SMS implementation during operational activities (e.g. tour of facilities and other work sites), the Certification Body shall ensure that an adequate audit of the effectiveness of the OH&SMS is undertaken.

C.1.3 There is no formula to define what the relative proportions should be, as the situation is different in every organisation. However, there are some indications that too much of the audit time being dedicated to an office-based review is a problem that occurs with some frequency. This could lead to an inadequate assessment of the effectiveness of the OH&SMS with respect to legal compliance issues, and potentially to poor performance being overlooked, leading to a loss of stakeholder confidence in the certification process.

The Certification Body shall, through an appropriate surveillance program, assure that conformity is being maintained during the certification cycle, normally three years. The Certification Body 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.

C.1.4 Any organization failing to demonstrate their initial or ongoing commitment to legal compliance, shall not be certified or continued to be certified as meeting the requirements of an OH&SMS standard by the Certification Body.

C.1.5 Deliberate or consistent non-compliance shall be considered a serious failure to support the policy commitment to achieving legal compliance and shall preclude certification or cause an existing OH&SMS standard certificate to be suspended, or withdrawn.

C.1.6 If the facilities and work areas are subject to closure the OH&S risks change, as there may no longer be the same risks to employees, but there may be new risks applicable to members of the public (e.g. in case of lack of suitable maintenance and surveillance activities). The Certification Body shall verify that the management system continues to meet the OH&SMS standard and to be effectively implemented in respect of the closed facilities and work areas, and, if not, suspend the certificate.

C.2. COMPLIANCE CRITERIA FOR THE CERTIFICATION DECISION

C.2.1 Full legal compliance is expected by stakeholders and interested parties of an organization claiming conformity with an OH&SMS standard. The perceived worth of accredited certification in this field is closely related to the achieved satisfaction of the interested parties in relation to legal compliance.

C.2.2 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.

C.2.3 Where the organization may not be in legal compliance, it shall be able to demonstrate it has activated an implementation 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.

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

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

C.2.5 Through the requirements of ISO/IEC 17021-1, clause 9.4.8.3 a) and the intended outcomes being explicitly stated in the applicable OH&SMS standard, the Certification Body shall ensure that its audit reports contain a statement on the conformity and the effectiveness of the organization's OH&SMS together with a summary of the evidence with regards to the capability of the OH&SMS to meet its compliance obligations.

C.3 SUMMARY

C.3.1 Accredited certification of an organization's OH&SMS indicates conformity with the requirements of the applicable OH&SMS standard and includes a demonstrated and effective commitment to compliance with applicable legal requirements.

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 Certification Body auditors are not inspectors of the OH&S regulator. They should not provide "statements" or "declarations" of legal compliance. Nevertheless, they can "verify the evaluation of legal compliance" in order to assess conformity with the applicable OH&SMS standard.

C.3.4 Accredited certification of an OH&SMS as fulfilling the requirements in an OH&SMS standard cannot be an absolute and continuous guarantee of legal compliance but neither can any certification or legal scheme guarantee ongoing legal compliance. However, 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.3.5 An OH&SMS standard requires a commitment to comply with legal requirements. The organisation shall be able to demonstrate it has achieved compliance with its applicable legal requirements through its own evaluation of compliance prior to the Certification Body granting certification.

C.3.6 Certification of an OH&SMS as fulfilling the requirements in an OH&SMS standard confirms that the OH&SMS has been shown to be effective in achieving its policy commitments including fulfilment of legal compliance obligations and provides the foundation and support for an organization's continued legal compliance.

C.3.7 In order to maintain the confidence of interested parties and stakeholders in the above attributes of the accredited certification of an OH&SMS, the Certification Body shall ensure that the system has demonstrated effectiveness before granting, maintaining or continuing certification.

C.3.8 The OH&SMS can act as a tool for dialogue between the organisation and its OH&S regulators and form the basis for a trusting partnership, replacing historical adversarial "them and us" relationships. OH&S regulators and the public should have confidence in organizations with an accredited OH&SMS standard certificate and be able to perceive them as being able to constantly and consistently manage their legal compliance.

APPENDIX D (normative) - SCOPE OF ACCREDITATION

D.1 The accredited scope of an OH&S Certification Body shall be expressed in terms of one or more elements from the list of economic activities reported in the Annex of the Document IAF-ID1:2014, as amended for OH&SMS in the following table.

Model for OH&SMS Accreditation Scopes

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, machinery, 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 and tobacco	10, 11, 12	Exposure to pesticide, biologic and chemical hazards, mobile vehicles and equipment, tools, machinery, cold areas (freezer), hot media, repetitive stress, etc.
4	Textiles and textile products	13, 14	Machinery and equipment, exposure to dyes and chemicals, wool and flock dust, fire, explosion, weight loading and unloading, noise, etc.
5	Leather and leather products	15	Exposure to chromium and other hazardous chemicals, machinery, pressure equipment, unsafe workplace, weight loading and unloading, noise, etc.
6	Wood and wood products	16	Exposure to hazardous chemicals, wood dust, various machinery and

OH&SMS Accreditation Scope			
No	Description of economic sector/activity	NACE – Division /Group/Class (rev.2)	Examples of Common OH&S hazards (1)
			tools, fire, explosion, etc.
7	Pulp, paper and paper products	17	Exposure to hazardous chemicals, plant and pressure equipment, machinery, fire, explosion, unsafe workplace (heat radiation, dust), noise, etc.
8	Publishing companies	58.1, 59.2	Video Display Terminal (VDT), body posture, lighting, repetitive stress, etc.
9	Printing companies	18	Exposure to hazardous chemicals, machinery, noise
10	Manufacture of coke and refined petroleum products	19	Exposure to hazardous chemicals, machinery, plant and equipment, pressure equipment, fire, explosion, working in confined spaces, working at height, noise, explosion, coal dust, etc.
11	Nuclear fuel	24.46, 20.13 (only in scope of radioactive material)	Exposure to radiation/radioactivity, exposure to hazardous chemicals, plant and equipment, etc.
12	Chemicals, chemical products and fibres	20 (except scope of radioactive material)	Exposure to hazardous chemicals, machinery, plant and equipment, pressure equipment, fire, explosion, working in confined spaces, working at height, noise, explosion, dust, etc.
13	Pharmaceuticals	21	Exposure to biological and chemical hazards, exposure to radiations, plant and pressure equipment, fire, explosion, working in confined spaces, etc.
14	Rubber and plastic products	22	Machinery, plant and pressure equipment, exposure to chemical hazards, fire, explosion, noise etc.
15	Non-metallic mineral	23, except 23.5	Machinery, plant and pressure equipment, electricity, fire, explosion,

OH&SMS Accreditation Scope			
No	Description of economic sector/activity	NACE – Division /Group/Class (rev.2)	Examples of Common OH&S hazards (1)
	products	and 23.6	hazardous chemicals, noise, paint and coatings, etc.
16	Concrete, cement, lime, plaster etc.	23.5, 23.6	Ground works and excavations work at height, mobile plant and machinery, manual handling, noise, vibration, dust, electricity, fire, explosion, etc.
17	Basic metals and fabricated metal products	24 except 24.46, 25 except 25.4, 33.11	Machinery, plant and equipment, pressure equipment, fire, explosion, hazardous chemicals, working at height, noise, paint and coatings, radiation, etc.
18	Machinery and equipment	25.4, 28, 30.4, 33.12, 33.2	Machinery, plant and equipment, pressure equipment, hazardous chemicals, paint and coatings, noise, vibration, manual handling, fire, explosion, etc.
19	Electrical and optical equipment	26, 27, 33.13, 33.14, 95.1	Machinery, plant and equipment, pressure equipment, electricity, radiation, hazardous chemicals, noise, vibration, manual handling, etc.
20	Shipbuilding	30.1, 33.15	Machinery, plant and equipment, pressure equipment, hazardous chemicals, noise, vibration, manual handling, working at height, working in confined spaces, fire, explosion, radiation, paint and coatings, etc.
21	Aerospace	30.3, 33.16	Machinery, plant and equipment, pressure equipment, hazardous chemicals, paint and coatings, noise, vibration, radiation, manual handling, fire, explosion, etc.
22	Other transport equipment	29, 30.2, 30.9, 33.17	Machinery, plant and equipment, pressure equipment, hazardous chemicals, paint and coatings, paint and coatings, noise, vibration,

OH&SMS Accreditation Scope			
No	Description of economic sector/activity	NACE – Division /Group/Class (rev.2)	Examples of Common OH&S hazards (1)
			manual handling, etc.
23	Manufacturing not elsewhere classified	31, 32, 33.19	Machinery, plant and equipment, pressure equipment, hazardous chemicals, noise, vibration, manual handling, paint and coatings etc.
24	Recycling	38.3	Traffic, machinery, exposure to chemical and biological hazards, slips, trips, falls, radiation, repetitive stress, noise, fire, explosion, etc.
25	Electricity supply	35.1	Plant and equipment, electricity, exposure to electro-magnetic fields, machinery, hazardous chemicals, noise, vibration, work at height, etc.
26	Gas supply	35.2	pressure equipment, machinery, fire and explosion associated with loss of containment of gas, toxicity, noise, vibration, work in confined spaces, work at height, etc.
27	Water supply	35.3, 36	Plant and equipment, machinery, exposure to chemical hazards, noise, vibration, work at height, work in confined spaces, legionella, etc.
28	Construction	41, 42, 43	Ground works and excavations, work at height, mobile equipment accidents, falls from height, tower cranes, mobile plant and machinery, temporary works, manual handling, noise, vibration, dust, paint and coatings, electricity (overhead electric lines and underground cables), fire, etc.
29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	45, 46, 47, 95.2	Machinery, tools, hazardous chemicals, noise, vibration, manual handling, chemicals, etc.
30	Hotels and restaurants	55, 56	Slips and trips, hot objects, cold

OH&SMS Accreditation Scope			
No	Description of economic sector/activity	NACE – Division /Group/Class (rev.2)	Examples of Common OH&S hazards (1)
			areas (freezers), sharp objects, chemicals, biological waste, legionella, etc.
31	Transport, storage and communication	49, 50, 51, 52, 53, 61	Traffic, speed, overturning, crash, being hit by a moving vehicle, falls from vehicles, manual handling, slips and trips
32	Financial intermediation; real estate; renting	64, 65, 66, 68, 77	VDT, body posture, lighting, repetitive stress, etc.
33	Information technology	58.2, 62, 63.1	VDT, body posture, lighting, repetitive stress, etc.
34	Engineering services	71, 72, 74 except 74.2 and 74.3	VDT, wide variation in function of the specific service.
35	Other services	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82	Wide variation in function of the specific service.
36	Public administration	84	VDT, body posture, lighting, ergonomics, wide variation, etc.
37	Education	85	VDT, lighting, ergonomics, stress, noise, etc.
38	Health and social work	75, 86, 87, 88	Exposure to biological hazards, radioactivity, disease contamination, weight handling, etc.
39	Other social services	37, 38.1, 38.2, 39, 59.1, 60, 63.9, 79, 90, 91, 92, 93, 94, 96	Machinery, exposure to chemical and biological hazards, slips, trips, falls, repetitive stress, noise, wide variation in function of the specific service.

Note 1: Examples of common hazards are not supposed to be included in the scope of accreditation.

Note 2: 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.

Note 3: Sections T and U from NACE Rev 2 including the NACE codes 97, 98, and 99 are not included in the table.

Note 4: The use of OH&S scopes to describe “technical areas” for an 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.

APPENDIX E (normative) - WITNESSING ACTIVITIES FOR THE ACCREDITATION OF OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS (OH&SMS) CERTIFICATION BODIES

Consistent with IAF MD 17 (which is fully applicable), this Appendix specifies the witnessing to be performed in Occupational Health and Safety Management Systems (OH&SMS).

All the IAF codes (see IAF ID1) have been merged into a series of technical clusters for OH&SMS deemed relevant for the purpose of this document.

The specific approach for sampling of scopes is detailed in section 4 of IAF MD17.

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	
Chemicals	7	Limited to "Pulp and paper manufacturing"	7 and 10 and 12 and 13 and 16 or 17
	10	Manufacture of coke and refined petroleum products	
	12	Chemicals, chemical products and fibres	
	13	Pharmaceuticals	
	14	Rubber and plastic products	

Technical cluster	IAF code	Description of economic sector/activity, according to IAF ID1	Critical code(s)
	15	Non-metallic mineral products	
	16	Concrete, cement, lime, plaster, etc.	
	17	Limited to "Base metals production"	
Mining and quarrying	2	Mining and quarrying	2
Supply	25	Electricity supply	25 or 26
	26	Gas supply	
	27	Water supply	
Transport & Waste management	31	Transport, storage and communication	31 (limited to dangerous goods), and 24 or 39 (limited to NACE 37, 38.1, 38.2, 39)
	24	Recycling	
	39	Other social services	
Services	29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	29 or 35 or 36
	32	Financial intermediation; real estate; renting	
	33	Information technology	
	35	Other services	
	36	Public administration	
	37	Education	
Nuclear	11	Nuclear fuel	11
Health	38	Health and social work	38

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.

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

Further Information:

For further Information on this document or other IAF documents, contact any member of IAF or the IAF Secretariat.

For contact details of members of IAF see the IAF website: <http://www.iaf.nu>

Secretariat:

IAF Corporate Secretary
Telephone: +1 613 454-8159
Email: secretary@iaf.nu