Raad voor Accreditatie (Dutch Accreditation Council RvA)

Specific accreditation protocol for certification of occupational health and safety management systems (OH&SMS) in accordance with ISO 45001

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Content

Introduction

This SAP should be read in conjunction with SAP-C000; only additional or deviating aspects are listed in this SAP. This means that paragraph numbers in this SAP are missing if the information is already contained in SAP-C000.

1. Relevant documents

1.2 Additional standards

- ISO/IEC TS 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.

1.3 Additional documents

- IAF MD 22; Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS).
- IAF MD 5; Determination of Audit Time of Quality, Environmental, and Occupational Health & Safety Management Systems

1.5 Documents related to the conformity assessments to be carried out

Certification bodies (CB) certify against:

- ISO 45001:2018; Occupational health and safety management systems – Requirements with guidance for use;
- SCCM Certification scheme for occupational health and safety (OHS) management systems according to ISO 45001:2018.

1.6 Specific requirements from legislation and regulations

The standardISO 45001 refers to legal and other requirements. The CB shall be able to demonstrate that they are competent with respect to these issues. This has an impact on the CB's management (e.g. for the functions of application review, competence requirements determination, competent evaluator and on the certification decision function) and of course on its auditors. Also see IAF MD 22, Application of ISO/IEC 17021-1 for the certification of occupational health and safety management systems (OH&SMS), appendix A in particular.

For (witness) assessments outside the Netherlands, the RvA will normally include a local OH&S technical expert in local OH&S issues (such as OH&S legislation) in the assessment team.

In case more witness assessments are carried out, the RvA may not in all audits focus on the audit of legal requirements, and a local technical expert may be waived. RvA will inform the CB beforehand whether or not a technical expert will be used.

2. Scope of Accreditation

Specifically for this accreditation, the scope will be formulated as described in annex 1, Scopes for accreditation of OH&SMS certification bodies.

3. Accreditation assessments

3.1 Documents to be submitted

For the RvA assessments, its assessors should be supplied with the relevant documents as specified in the annex of RvA-BR005, the relevant RvA application forms F001a/F006-2/F105 and with the documents mentioned below.

Documents to be submitted	Preliminary assessment	Initial or re-assessment	Extension of scope	Surveillance assessment
An application for initial accreditation or extension of scope should at least include each of the following: • an analysis of client products, processes and organization, including applicable (country) specific OH&S laws and regulations and OH&S risks for each of the technical areas identified and requested for accreditation; • definition of the competency required related to the identified OH&S aspects; • identification of additional requirements or specific guidelines to be used for these technical areas; • (adaptation of) the analysis regarding the identification of potential impartiality risks with respect to OH&S certification and approval of the impartiality mechanism thereof, after the composition has been adapted (where necessary) to ensure the representation of parties involved with OH&S certification;	√	√	√	
• list of qualified auditors and experts per IAF sector	√	√	√	√
• directory of certified clients per IAF sector		√	√	√

3.2 The nature and content of the assessments

3.2.1 Initial assessments and extension of scope

The content and extent of the assessment shall at least ensure the following.

During the office assessment, the team samples the files of clients and personnel to cover the scope for which accreditation is sought. At least one client and one personnel competence file per IAF sector requested shall be reviewed completely, unless more than 10 IAF sectors have been requested, in which case sectors may be omitted in the sample.

This is to be determined by the lead assessor, who should apply the following guidelines.

- Only the less complex sectors should be omitted (i.e. not the critical codes, as identified in the table of annex 1).
- Dossiers from each of the clusters (see annex 1) should have been assessed (i.e. the sample should be representative for the scope requested).
- Sectors that are included in the program for witnessing may be excluded.
- In total, more than ten certification dossiers shall be assessed.

The above is also applicable for extensions of the scope.

For the selection of audits to be witnessed, the rules from paragraph 3.2.3 apply.

3.2.2 Surveillance and re-assessments

The implementation of the ISO 45001 certification system shall be verified during each surveillance assessment of the RvA. The files reviewed (this includes personnel competence files and certification files) during the subsequent surveillances and the reassessment in a four years period (accreditation cycle) shall cover all the IAF codes mentioned in annex 1 for which the CB is accredited.

For each accreditation cycle (surveillance and re-assessment), the number of witness assessments is determined, based on the factors listed in paragraph 3.2.3.

In general a risk based approach might be applied taking into account criteria, such as OH&S risks or performance of certain industries or companies (e.g. major hazard industries (Seveso, BRZO)).

3.2.3 Witness assessments

In addition to RvA-BR005, at least two weeks before the witnessing, the RvA team shall be provided with:

- the organization's OH&S Manual or an extended description of the certified organization or the organization to be certified (specifying its activities, structure, top level procedures), an organization chart and their (list of) determined OH&S risks and legal and other requirements;
- the records of the CB's contract review, including the justification of audit time, for this organization;
- the audit plan and programme.

Selection of witness audits

In line with IAF MD 22; Application of ISO/IEC 17021-1 for the certification of Occupational Health and Safety Management Systems (OH&SMS) and IAF MD17, all the IAF codes (see IAF ID1) have been merged into a series of technical clusters as appropriate for OH&S certification (see annex 1). For each of these clusters, a number of critical codes has been identified.

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

4. Specific issues for the RvA assessment

During witness assessments, the RvA assessment teams will pay special attention to good auditing practices, such as sampling and the application of audit trails, especially when it comes to the audit of:

- the recording, evaluation and control of OH&S risks;
- the recording and evaluation of continual improvement;
- the organization's systems for achieving regulatory compliance and the application of IAF MD 22.

During the witness of stage 1, special attention will be given to (ref. ISO/IEC 17021-1, cl. 9.3.1.2.2):

- key elements of the system (e.g. determination of OH&S risks);
- scope of the system in relation to applicable statutory and regulatory requirements.

5. Other information

For The Netherlands, further guidance can be found in the current interpretation documents of the centralized Committee of Experts SCCM. Refer to http://english.sccm.nl/. For CB's, that have been accredited on the basis of the Dutch SCCM certification scheme(s), the guidance documents mentioned are mandatory.

For CB's, that have been accredited on the basis of the Dutch SCCM certification scheme(s), the SCCM will be informed about significant changes in the accredited status of the CB (i.e. initial granting and subsequent suspensions or withdrawals).

6. Changes with regard to the previous version

In comparison with version 4, dated December, 21 2017, the following significant changes have been made:

- From September 30, 2021 BS OHSAS 18001 is no longer valid
- IAF MDX is replaced by IAF MD 22

Annex 1: Scopes for accreditation of OH&SMS certification bodies

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 (withdyeing) and 5 (with tanning)] 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	
	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