Annex 3: Certification Regulation for Occupational, Health and Safety MS

Standard or Certification scheme:	**OHSAS 18001:2007 / ISO 45001:2018**	**Accreditation Standard:**	**ISO 17021-1:2015**

Reference Document(s): **IAF MD 5:2019, IAF MD 17:2019, IAF MD 22:2019, ESYD GA-H&S/01/04/02.10.2020**

Certification Cycle:

The certificate is valid for three years. To maintain the validity of the certificate, annual surveillance audits shall be carried out. Before the expiration date of the certificate, a recertification audit is conducted in order to renew the validity of the certificate for the next three year cycle.

The certification audit is carried out in two stages. Stage 1 may not be implemented at the customer premises. The interval between the two stages shall not exceed six months. If this period elapses or significant changes occur that affect the MS, stage 1 must be repeated. Stage 1 audit findings may lead to postponement or cancellation of Stage 2.

<u>Audit planning and time table</u>. Surveillance audit process has to be completed annually, with due date the date of the certification decision after the Initial Certification audit. Correspondingly the re-certification audit process has to be completed within the same time frame. Example:

Certification Decision	1st Surveillance audit	2nd Surveillance	Re-certification audit
15/7/2020	*15/7/2021*	*15/7/2022*	*15/7/2023*

In case of exceeding time limits certificate is suspended for six months and after this period finally withdrawn.

In recertification audits, a stage 1 may be conducted when there have been significant changes in the management system or in the framework within which it operates (eg changes in legislation), and the client.

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.

In the case of an OH&SMS system operated over multiple sites TÜV AUSTRIA establishes whether 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 and decides on the sites to be audited.

TÜV AUSTRIA also reserves the right to audit processes or functions included within the scope of the organization’s OH&SMS, which have been outsourced to external providers.

Notice: After the end of the transition period for ISO 45001 (12 March 2021), accredited certificates cannot be maintained in accordance with ELOT 1801: 2008 and BS OHSAS 18001: 2007.

Information requirements:

The certified organization is required to inform TÜV AUSTRIA without delay, of the occurrence of a serious incident or breach of regulation necessitating the involvement of the appropriate regulatory authority.

Communication Requirements / Special Audit / Maintaining Certification:

- The certified organization is obliged to inform TÜV AUSTRIA without any delay of incidents such as serious accidents or serious breaches of legislation, related to OHSMS, involving the competent authorities, and to provide the relevant information. TUV Austria may alternatively conduct a special audit to collect the required information in the event of a serious Occupational Health and Safety incident.
- Independently from the involvement of the competent regulatory authority, a special audit may be necessary in the event that the TÜV AUSTRIA becomes

	aware in any way, 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 outcome of the investigation conducted by TUV AUSTRIA is documented. 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 or directly gathered by the audit team during the special audit, shall provide grounds for TÜV AUSTRIA to decide on any further actions to be taken including 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.
Audit timing:	TÜV AUSTRIA 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's organization activities, including the need to audit outside normal working hours and various shift patterns. This shall be agreed with the client. To audit effective implementation of the client's OH&SMS, at least one of the shifts inside and one outside of regular office hours shall be audited during the first cycle of certification.
Audit Participants:	During the audit, the audit team shall interview the following personnel: • the management with legal responsibility for Occupational Health and Safety, • employees' representative(s) with responsibility for Occupational Health and Safety, • personnel responsible for monitoring employees' health, for example, doctors and nurses. Justifications in case of interviews conducted remotely shall be recorded, • managers and permanent and temporary employees. Other personnel that should be considered for interview are: • managers and employees performing activities related to the prevention of Occupational Health and Safety risks, and • contractors' management and employees.
Closing Meeting:	The organization shall invite to the closing meeting: • 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. The organization shall record the justification in case of their absence.
Legal compliance:	The organization 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 or retaining certification. Where the organization may not be in legal compliance, it shall be able to demonstrate it has activated an appropriate 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 and shall have the following characteristic 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.	
Audit Evaluation Criteria / Characterization of Non Conformities:	**1:** Full conformity	**3:** Non Conformity (-ies): Correction through the submission of Documents
	2: (O): Points of Improvement, the effectiveness of the corrective actions is evaluated during the next audit. Raised to Non-Compliance during the following audit if no corrective action has been taken.	**4:** Non Conformity (-ies): Correction through Re-audit
Time allowed to close Non Conformities:	**Certification Audit: 2 months** after the completion of stage 2. **Surveillance Audit: 2 months** after the date of the audit or no later than the due date of the completion of stage 2 of the Certification Audit **Recertification Audit:** 2 months after the date of the audit or no later than the due date of the completion of stage 2 of the Certification Audit	