QS ZÜRICH AG
PO. Box 6335 - CH 8050 Zürich
+41 (0)44 350 46 65
info@quality-service.ch

Procedure for certification ISO 45001:2018

1 PURPOSE

The purpose of this operating procedure is to describe and control the procedure for the certification of the management system according to standard ISO 45001 (Occupational Health and Safety Management System, OH&S).

2 SCOPE

The provisions of QMP 32.01 apply mutatis mutandis
The requirements which is mainly different to the condition described in QMP 32.01 is defined in IAF MD 22 and ISO 17021-10.

3 PROCESS RESPONSIBILITY

The provisions of QMP 32.01 apply mutatis mutandis

4 PROCESS CONDITIONS

4.1 Obligation and Cooperation with authorities

The provisions of QMP 32.01 apply mutatis mutandis

4.2 Work environment

- The performance of certifications in accordance with ISO 45001 is subdivided in different fields of applications (IAF scopes according IAF MD 22).
- The general activity of a company is split up in 3 different risk levels; low, medium and high.
- The scopes are needed to determine the technical competence of the auditors, there is no relation to the audit time calculation.
- The risk levels are needed to determine the audit duration of the auditors, there is no relation to the auditor competence.
- The scopes of accreditation are listed in the register of the SAS.
- If there is a scope not listed, in the compliance of the client we will achieve a certification with a third party or a private label.

4.3 Conditions

The provisions of QMP 32.01 apply mutatis mutandis

Specific requirements for ISO 45001 are defined for following aspects:
- Calculation of audit time including determine of relevant personnel (OH&S effective personnel/Risk class)
- Combined certifications with other management system standards
- Multisite/Multisite sampling requirements

4.4 Supervision

The provisions of QMP 32.01 apply mutatis mutandis

5 CERTIFICATION PROCESS

5.1 Contact meeting

The provisions of QMP 32.01 apply mutatis mutandis

In addition there are information necessary:
- key hazards and OH&S risks associated with processes,
- the main hazardous materials used in the processes,
- any relevant legal obligations coming from the applicable OH&S legislation,
- details of personnel working on, as well as working away from the organisation's premises.

This is documented in the addition FO 303-05 during the application review.

5.2 Calculation/Offer preparation

The provisions of QMP 32.01 apply mutatis mutandis

5.2.1 Audit time (based on IAF-MD5)

Definition "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.

Calculation of effective number of personnel:

Base for the calculation is the total number of personnel. Therefore all involved personnel has to be counted, including:

- Full/part-time personnel
- those working on shifts
- 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
- In case of seasonal operations it shall be based on the personnel typically present in peak season operations, including temporary personnel.
- 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 chapter "multisite")

If the client provides services at another organisation's premises, it shall be verified 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, it shall be considered 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.

Considerations for determining the effective number of employees include:

- The total number of personnel can be reduced to the FTE (full time equivalent),
- Shift: it shall be based on the personnel typically present in the main shift (shift with the highest number of personnel) – see also the requirements for planning and conducting audits,
- Similar or repetitive processes: 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,
- Administrative and all categories of office staff can be reduced in relation to their impact to the OH&S performance.

Repetitive jobs or unskilled personnel is no reason for reduction of effective number of personnel.

Auditduration	**1**		**2**		**3**		**4**		**5**	
Effective number of Personnel	**Preset value days for certification Stage1 and 2**		**Audit duration (days) first certification on site eff. 80% of 1 Stage 1 and 2**		**Audit duration (days) surveillance on site 33% of 2**		**Preset value days for recertification 66% of 1**		**Audit duration (days) recertification on site eff. 66% of 2**	
	High	low	High	low	High	low	High	low	High	low
1 - 5	3	2.5	2.4	2	0.8	0.6	2	1.6	1.6	1.3
6 - 10	3.5	3	2.8	2.4	0.9	0.8	2.3	2	1.9	1.6
11 - 15	4.5	3	3.6	2.4	1.2	0.8	3	2	2.4	1.6
16 - 25	5.5	3.5	4.4	2.8	1.5	0.9	3.7	2.3	2.9	1.9
26 - 45	7	4	5.6	3.2	1.9	1.1	4.7	2.6	3.7	2.1
46 - 65	8	4.5	6.4	3.6	2.1	1.2	5.3	3	4.3	2.4
66 - 85	9	5	7.2	4	2.4	1.3	6	3.3	4.8	2.7
86 - 125	11	5.5	8.8	4.4	2.9	1.5	7.3	3.7	5.9	2.9
126 - 175	12	6	9.6	4.8	3.2	1.6	8	4	6.4	3.2
176 - 275	13	7	10.4	5.6	3.4	1.9	8.7	4.7	6.9	3.7
276 - 425	15	8	12	6.4	4.0	2.1	10	5.3	8	4.3

- It is unlikely that a surveillance audit or re-certification audit will take less than one (1) audit day.
- The difference between the risk classes (high, medium, low) can be seen in IAF MD22.
- There is a guidance EXCEL sheet for definition the risk level as to calculate the audit duration.
- As reason for reduction the audit time according the above table:
  - Very small site for number of personnel(e.g. office complex only).
  - Maturity of management system.
  - Prior knowledge of the client management system (e.g.already certified to another standard by the same CAB). For OH&SMS this means already certified in another voluntary OH&SMS scheme.
  - Client preparedness for certification (e.g.already certified or recognized by another 3rd party scheme). For OH&SMS this means already subject to periodical audits by the National Authority for a mandatory governmental OH&SMS scheme.

  The maximum reduction is 20%
- Remote auditing does not count as onsite audit time.

5.2.2 Standard for combined audits (Basis Document IAF MD 11)

Possible reduction of audit duration: The provisions of QMP 32.01 apply mutatis mutandis

5.2.3 Standards for Multisite Audits (Basis Document IAF-MD1/MD5/MD22)

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

For the planning of a sampling, the differences between the operations of each site (technology, equipment, quantities of hazardous materials used and stored, working environment, premises etc.) have to be taken in account and may increase the possible sample rate.

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

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, they need to be planned onsite, the sampling methodology may be applied.

For the general conditions and calculations: the provisions of QMP 32.01 apply mutatis mutandis, detail information are given in IAF MD 1.
Following addition for OH&S:

- Low risk organization: the minimum size of samples are as defined in QMP 32.01
- Medium risk organization: the minimum size of samples are as defined in QMP 32.01 with factor 1.2 rounded up to the next whole number
- High risk organization: the minimum size of samples are as defined in QMP 32.01 with factor 1.5 rounded up to the next whole number

The audit time shall be calculation for each site separate as described in chapter “audit time”. The maximum reduction for each site is 20%, which is in total 40% (20% for the single site and another 20% for the system in total). There is a reasoning needed, e.g. central function and any potential centralised processes (e.g. purchasing)

5.3 Audit planning /Team composition

The provisions of QMP 32.01 apply mutatis mutandis.

The audit planning shall consider:

- OH&SMS regulation/activities to meet statutory, regulatory and contractual requirements,
- the processes or functions of the external provider within the scope of the clients organization and
- shift related aspects: the timing of the audit should give 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 planning has to ensure that any variation in audit time does not compromise the effectiveness of audits.

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, they need to be audited according the sampling plan.

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

5.4 Formal application/certification contract

The provisions of QMP 32.01 apply mutatis mutandis

5.5 Procedure diagram

The provisions of QMP 32.01 apply mutatis mutandis

5.5.1 Consideration of the audit

The provisions of QMP 32.01 apply mutatis mutandis
In addition, following specific topics needs to be considered:

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.

Following persons needs to attend the closing meeting:

- management legally responsible for occupational health and safety
- personnel responsible for monitoring employees’ health
- the employees' representative(s) with responsibility for occupational health and safety

Justification in case of absence shall be recorded.

The OH&S audit planning shall include to audit the 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, they need to be audited according the sampling plan.

One main focus for the audit is the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements. Detail information are given in the annex of IAF MD 22 and EA-7/04. Following a summary as general guidance:

The auditor has to:

- obtain evidence for evaluation the organizations ability to ensure the fulfilment of its policy commitments including legal compliance (sampling) for every audit. What means:
  - review documents and records to show ability for planning legal compliance and
  - evaluation the implementation onsite (facility,…) and
  - include aspect of changes in legal compliance auditing and
  - report legal compliance including giving references to respective law/regulation
- carefully review if there is an 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
- Where the organization may not be in legal compliance, the auditor place a mayor non-conformity, a certification is not possible.
- Where the organization may not be in legal compliance and it is 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), the auditor place a minor non-conformity.

The certificate cannot be issued without specific evidence for “legal compliance”.

Another focus is the control of externally provided functions or processes (outsourcing). Detail information are given in the annex of IAF MD 22/MD 5. Following a summary as general guidance:
The auditor has 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
- 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 (based on criteria applied by the organization for the evaluation, selection, monitoring of performance and re-evaluation / risk that the external providers can adversely affect the organization)
- consider the processes or functions of the external provider within the scope of the clients organization

5.6 Evaluation of the quality relevant activities in the organisation

The provisions of QMP 32.01 apply mutatis mutandis

5.6.1 Mayor Non-Conformity

The provisions of QMP 32.01 apply mutatis mutandis

In addition, a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority in cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements, can lead to a mayor non-conformity.

5.6.2 Minor Non-Conformity

The provisions of QMP 32.01 apply mutatis mutandis

In addition, a serious accident, or a serious breach of regulation with already accepted solution for solving the breach by competent regulatory authority can lead to a minor non-conformity.

5.6.3 Remarks/Observations

The provisions of QMP 32.01 apply mutatis mutandis

5.7 Application for certification

The provisions of QMP 32.01 apply mutatis mutandis

5.8 Handling of non-conformities

The provisions of QMP 32.01 apply mutatis mutandis

5.9 Hand over of the certificate

The provisions of QMP 32.01 apply mutatis mutandis

5.10 Surveillance audits

The provisions of QMP 32.01 apply mutatis mutandis

In addition, following specific topics needs to be considered:

- For surveillance audits, the audit approach for "legal compliance" as described in "audit consideration" is also to apply,
- as described in "audit consideration", the interview partner, the closing meeting attendance and
- the temporary site sampling.

5.11 Recertification

The provisions of QMP 32.01 apply mutatis mutandis

5.12 Transfer

The provisions of QMP 32.01 apply mutatis mutandis

5.13 Special Audits

The provisions of QMP 32.01 apply mutatis mutandis

In addition, special audits (short notice or unannounced audits) can be necessary in the event that QSZ 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 general procedure is like the audit procedure as described above.

5.14 Confidentiality

The provisions of QMP 32.01 apply mutatis mutandis

6 ADMINISTRATIVE ATTENDANCE AT THE CERTIFICATION PROCEDURE

6.1 Personal

The provisions of QMP 32.01 apply mutatis mutandis

The requirements for certification personnel is defined in the form FO 235-ff.

6.2 Objection proceed

The provisions of QMP 32.01 apply mutatis mutandis

6.3 Customer duty

The provisions of QMP 32.01 apply mutatis mutandis

Defined in the terms and conditions (part of contract), the client has to inform QS Zürich AG without delay in case of:

- the occurrence of a serious incident,
- regulation necessitating the involvement of the competent regulatory authority.

6.4 System of registration

The provisions of QMP 32.01 apply mutatis mutandis

6.5 Safekeeping/filing

The provisions of QMP 32.01 apply mutatis mutandis

6.6 Issue, maintenance and withdrawal of certificates

6.6.1 Issue

The provisions of QMP 32.01 apply mutatis mutandis

6.6.2 Maintenance

The provisions of QMP 32.01 apply mutatis mutandis

6.6.3 Withdrawal of certification

The provisions of QMP 32.01 apply mutatis mutandis

6.6.4 Modifications on certificates

The provisions of QMP 32.01 apply mutatis mutandis

7 APPLICABLE DOCUMENTS

QMV 20.10	Personal process
FO 102-d-e	Overview of documents