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| **Details of the certification body (CB)** |
| Name: |  |
| Address: |       |
| File number: |       |       |  |
| Case number | Phase |  |
| Date of assessment: |       |
| Accreditation process: |  |
| Assessment type[[1]](#endnote-1) : |       |
| Certification body with several locations: | [ ]  Yes | [ ]  No |
| Name / Address of assessed locations: |

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| **Details of the assessor (DAkkS)** |
| Name: |       |
| Status[[2]](#endnote-2) : | [ ]  SA | [ ]  TA | [ ]  TE |
| **Assessed area** (technical fields of DAkkS, certification fields, sector specific requirements, directives/modules) |

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In addition to the report according to ISO/IEC 17021-1 this checklist references the detailed requirements
of IAF MD 22:2019 “*Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)”, Issue 2*. **This checklist contains the additional requirements, only - not any pure reference
to the accreditation standard itself.**

This checklist/this report does **not** repeat the objective evidence and reviewed documents, text passages and explanation of non-conformities listed or given in the partial assessment report according to ISO/IEC 17021-1. The responsible assessor **may**, however, list further documents and add explanatory text.

The normative and rule references mentioned in this checklist are to be understood as follows:

- DIN EN ISO/IEC 17021-1:2015

- ISO/IEC 17021-10:2018

- IAF MD 5:2019

- IAF MD 22:2019

| **No.** | **Requirements** | **Notes** | **Appraisal [[3]](#endnote-3)** | **No. of** |
| --- | --- | --- | --- | --- |
|  |  | **Remarks** | **1** | **2** | **3** | **NC [[4]](#endnote-4)** |
| 5 General requirements |
| G 5.2.3  | In note 2:The key interests may include the additional parties mentioned in clause 4 *(G 4.1.2 see below)*.*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:* 1. *legal and regulatory authorities (local, regional, national or international),*
2. *parent organizations,*
3. *suppliers, contractors and subcontractors,*
4. *workers’ organizations (trade unions) and employers’ organizations,*
5. *owners, shareholders, clients, visitors, relatives of workers, local community and neighbours of the organization and the general public,*
6. *customers, medical and other community services, media, academia, business associations and non-governmental organizations (NGOs), and*
7. *occupational health and safety organizations and occupational safety and health-care professionals (for example doctors and nurses)*
 |       | [ ]  | [ ]  | [ ]  |       |
| D 5.2.5 | (DAkkS-note)*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:*1. *performing the role of Occupational Health and Safety coordinator,*
2. *safety reporting,*
3. *performing risk assessments,*
4. *communication with regulatory authorities on behalf of the client,*
5. *accident and incident investigation.*
 |       | [ ]  | [ ]  | [ ]  |       |
| 7 Resource requirements |
| D 7.1.2 | (DAkkS-note)Here applies ISO/IEC 17021-10 with Competence requirements for auditing and certification of occupational health and safety management systems. |       | [ ]  | [ ]  | [ ]  |       |
| 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 **IAF MD 5**. If the client provides services at another organisation’s premises, the CB 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 CB 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 CB, 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 in clause 10 of **IAF MD 5**, 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 9 of **IAF MD 5**). |       | [ ]  | [ ]  | [ ]  |       |
| 9.2 Planning audits |
| 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 A** 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. |       | [ ]  | [ ]  | [ ]  |       |
| 9.4 Conducting audits |
| G 9.4.4.2 | The audit team shall interview the following personnel:1. the management with legal responsibility for Occupational Health and Safety,
2. employees' representative(s) with responsibility for Occupational Health and Safety,
3. personnel responsible for monitoring employees' health, for example, doctors and nurses. Justifications in case of interviews conducted remotely shall be recorded,
4. managers and permanent and temporary employees.

Other personnel that should be considered for interview are:1. managers and employees performing activities related to the prevention of Occupational Health and Safety risks, and
2. contractors’ management and employees.
 |       | [ ]  | [ ]  | [ ]  |       |
| G 9.4.5.3 | The CB 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. |       | [ ]  | [ ]  | [ ]  |       |
| 9.6 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 CB 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 CB 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 CB and the organization. |       | [ ]  | [ ]  | [ ]  |       |

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| Normative Annex |
| Appendix A | LEGAL COMPLIANCE AS A PART OF ACCREDITED OH&SMS CERTIFICATIONThis 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. |       | [ ]  | [ ]  | [ ]  |       |

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| **Report was prepared as an annex to the report in accordance with ISO/IEC 17021-1:**[[5]](#endnote-5)) |
| Place: |       | Date: |       | Signed *Name Assessor*: |       [[6]](#endnote-6) |

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| **Report reviewed by the case manager:** |  |
| Place: |       | Date: |       | Signed *case Manager*: |       |

1. Under assessment type, the assessment technique is to be indicated, whereby several assessment types can be used in the context of an assessment. Please select the applicable element or combination of elements from the following options to indicate the type of assessment:

On-site assessment / Remote assessment / Witness audit (on-site) / Witness audit (remote) / Witness examination / Document review / Other assessment activity (please specify if necessary) [↑](#endnote-ref-1)
2. Status in the assessment team: SA=System Assessor; TA=Technical Assessor; TE=Technical expert [↑](#endnote-ref-2)
3. Grading of fulfilment the requirements of a section of the standard to be entered by the assessor:

1 **No** non-conformity

2 **Non critical** non-conformity

3 **Critical** non-conformity [↑](#endnote-ref-3)
4. Reference to the non-conformity described in the main report (No. of non-conformity there) [↑](#endnote-ref-4)
5. The assessment of fulfilment the requirements and recommendations for accreditation are documented in the assessment report to the ISO/IEC 17021-1. [↑](#endnote-ref-5)
6. This report was prepared personally by on . [↑](#endnote-ref-6)