

**Raad voor Accreditatie  
(Dutch Accreditation Council  
RvA)**

**Specific Accreditation  
Protocol for Certification of  
Occupational Health and  
Safety Management  
Systems in accordance with  
BS OHSAS 18001**

Document code:

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A Specific Accreditation Protocol (SAP) describes the assessment service for a specific accreditation. It should be read in conjunction with the generic RvA regulations and policy documents. A current version of the SAP is available through the website of the RvA. ([www.rva.nl](http://www.rva.nl)).

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## 1 Relevant documents

### 1.1 Accreditation requirements

ISO/IEC 17021, Conformity assessment — Requirements for bodies providing audit and certification of management systems

### 1.2 Additional documents

- RvA-T033; Beoordeling van Schema's voor Conformiteitsbeoordeling
- IAF GD 3; Cross Frontier Accreditation
- IAF MD 1; Certification of Multiple Sites Based on Sampling
- IAF MD 2; Transfer of Accredited Certification of Management Systems
- IAF MD 3; Advanced Surveillance and Recertification Procedures (ASRP)
- IAF MD 4; Use of Computer Assisted Auditing Techniques ("CAAT") for accredited Certification of Management Systems
- IAF MD5, IAF Mandatory Document, Duration of QMS and EMS audits (refer to section 4)
- IAF MD 10; IAF Mandatory Document for Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021: 2011
- IAF MD 11; IAF Mandatory Document for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems
- IAF MD 12: IAF Mandatory Document for Assessment of Certification Activities for Cross Frontier Accreditation
- EA-7/04, Legal Compliance as a part of Accredited ISO 14001: 2004 certification (refer to section 1.4)
- SCCM Certification System for Occupational Health and Safety (ARBO) management systems according to OHSAS 18001

The current versions of these document may be obtained from the relevant website(s): IAF ([www.iaf.nu](http://www.iaf.nu)), EA ([www.european-accreditation.org](http://www.european-accreditation.org)), ISO ([www.iso.org](http://www.iso.org)), RvA ([www.rva.nl](http://www.rva.nl)), SCCM ([www.sccm.nl](http://www.sccm.nl)).

### 1.3 Certification documents

Certification bodies (CB) certify against:

- BS OHSAS 18001 Occupational Health and Safety Management Systems – Requirements

Currently, ISO is developing an ISO standard for OHSAS (ISO 45001, publication expected in 2016).

When this has been published, RvA will transfer its accreditations to include this standard and will update this SAP accordingly, including the policies and practices for the transition processes.

### 1.4 Specific requirements from laws and regulations

The standard OHSAS 18001 refers to legal and other requirements. The CAB shall be able to demonstrate that competence with respect to these issues are guaranteed and documented for all personnel involved in the certification process (e.g. contract reviewers, auditors, evaluators and decision makers.)

RvA expects that the CAB's have an equivalent approach of dealing with compliance of OH&S legislation as determined for Environmental Management Systems audits in EA document EA-7/04. The CAB should

be able to demonstrate how they have interpreted EA-7/04 for OH&S, (e.g. replacing the relevant ISO 14001 references with the equivalent requirements in the OHSAS requirements document).

For (witness) assessments outside The Netherlands, the RvA will normally use a local OH&S technical expert in the assessment team, hence the number of audit man days will increase. RvA will inform the CAB beforehand whether or not a local technical expert will be used.

## 2 Scope of Accreditation

The generic regulations for defining the scope have been defined by RvA in RvA Regulation RvA-BR003. The determination of the scope of accreditation will be defined as per IAF code, or partial IAF code where applicable, NACE 2 division code and a brief description of the activities. Accreditation will be on the basis of (partial) IAF sectors.

When applicable, the name of the scheme owner, e.g. SCCM in The Netherlands (see S184, www.rva.nl), will be included in the annex of the declaration of accreditation (scope).

## 3 Accreditation assessments

### 3.1 Documents to be submitted

For the RvA assessments, its assessors should be given access to the relevant documents. Specifically for this accreditation, the documents as specified in the table below are required.

<i>Documents to be made available prior to the assessment, additional to the documents mentioned in RvA-F001a, F105, F006-2 and annex 1 to RvA-BR005 (in Dutch or English)</i>	<i>Pre - assessment</i>	<i>Initial or re-assessment</i>	<i>Surveillance</i>	<i>Scope extension<sup>1)</sup></i>
Description of the OHSAS system documentation regarding OH&S certification, including clarification of countries and/or geographical area's the CAB is seeking accreditation for.	√	√	√	√
Determination of the competence criteria (knowledge and skills) related to the identified OH&S aspects per defined technical area and for each function involved in the OH&S certification process.	√	√	√	√
Evidence of review of the impartiality committee for OH&S activities (related to ISO/IEC 17021, clause. 6.2.1).	√	√	√	√
Minutes of internal audit(s) and management review related to the OH&S scheme.		√	√	√
List of issued OHSAS certificates per country and/or geographical area (if applicable)	√	√	√	√
List of qualified OH&S auditors and technical experts per defined technical area	√	√	√	√

In case of a witness assessment, the CAB should submit the same documents as the audit team received, but least the following documents (additional to annex 1 of RvA-BR005):

1. the records of the CAB's quotation and contract review for the organization to be witnessed (including qualification records of the appointed auditors and technical experts);
2. Organization chart of witnessed client & index of OH&S manual of client;
3. Relevant CAB's audit procedures / work instructions for conducting the on-site OH&S audit;
4. Audit plan(s) and related information (client address, scope and mobile number audit team leader) of audit duration);
5. Preferably a copy of the OHS hazard identification & risk assessment of client;
6. Copy of CAB's certificate for this client.

### 3.2 The type and content of assessments

In addition to the generic regulations for the type and content of RvA assessments as defined in RvA-BR002 and RvA-BR005, for this specific accreditation, the requirements from the following table apply. The type and content of the assessment depend on the requested scope of accreditation, existing other accreditations and the functioning of the CAB in the past (where relevant).

Assessment method	Pre-assessment	Initial or re-assessment	Surveillance (refer to RvA-BR005 for the general policy)	Scope extension <sup>1)</sup>
Document review	√*	√ (review of changes from pre-assessment)		√
Office assessment	√ (optional)	√	√ (in principle annually)***	√ depending on requested scope(s)
File (**) review during office assessment		Initial: at least 1 file per (partially) IAF sector requested. Re-assessment: see surveillance	On sampling basis: The review should cover files of each of the accredited clusters (see appendix 1)	At least 1 file per (partial) IAF sector requested <sup>2,3)</sup>
Witnessing	See below for specified policy concerning witnessing for the various types of assessment			
Shadow assessment		√ possible	√ possible	

<sup>1)</sup> Based upon the requested scope extension, the RvA will determine and communicate the assessment method.  
<sup>2)</sup> If available, RvA may decide to make use of OH&S audit reports of other signatories to the Multilateral Lateral Agreement (MLA) that already conducted OH&S audits within the requested sectors.  
<sup>3)</sup> RvA may decide to review less files, based on the kind and size of the extension in relation to OH&S past performance results of the CAB.  
\* Extent depends on whether CAB is e.g. already accredited to ISO17021 and whether or not a scheme is used, which is known to the RvA (e.g. the SCCM scheme in The Netherlands).  
\*\* The records demonstrating the certification process; application, contract review, team assignment and competence, audit reporting and certification decision records.  
\*\*\* Depending on the OH&S performance of the CAB, based on the results of previous RvA assessments. For CAB's with limited OHSAS certificates (20 or less), RvA (Account Manager upon recommendation of OHSAS competent assessor in consultation with Matter Expert) may decide to conduct biannual assessments.

#### Policy concerning witnessing:

**Initial accreditation:** From the starting point of accreditation per (partial) IAF sector, witness audits in each of the “witness obligatory” sectors, with a minimum of two audits to be witnessed. Secondly, for the witness regime, clusters have been defined (see appendix 1). If the IAF sectors applied for are classified in different clusters, at least one audit per cluster will be witnessed. It is unlikely that a CAB applies for a full scope at an initial assessment. But when a full scope (i.e. all IAF sectors) is requested, RvA may decide not to witness in all “obligatory” sectors. The first and last audits to be witnessed should normally not be more than six months apart. At least 1 of the audits should include both a stage 1 and a stage 2 audit (if for scheduling reasons this is not possible at the same client, the RvA may consider to perform these at separate clients). The auditee for the audit that will be observed should be a reasonable representation of the requested scope of accreditation. RvA will, in principle, not accept surveillance audits for witnessing during initial accreditation and extensions of scope.

**Extension assessments:** witnessing (initial or re-certification audits) shall normally be performed in each “witness obligatory” sector, and a first sector in a new cluster.

**Re-assessment and surveillance assessments:** for each 4-year period, the number of witness audits will be determined based on the following factors:

- one for each cluster of sectors included in the scope of the CAB or
- one per  $\sqrt{\text{(number of auditors qualified for OHSMS certification)}}$ .

When the second factor results in the higher number of witness assessments, the witness assessments should also be spread over all clusters. This formula ensures that both a higher diversity in sectors and a higher number of auditors will increase the number of witness assessments.

Appendix 1 indicates both the “witness obligatory” sectors and the clustering used to determine the witness regime.

The RvA reserves the right to deviate from aforementioned witness regime based on previous assessment results and CAB specific conditions.

## 4 Specific assessment issues

### *Applicable accreditation documents*

For OH&S accreditation the RvA will apply the IAF, ISO and EA documents referred to in section 1, some of which have originally been written for QMS & EMS purposes, unless the CAB or the scheme-owner is able to justify deviations from these documents and is able to demonstrate these deviations do not jeopardize the reliability of the certification (also see RvA-T033).

For certification in accordance with the SCCM scheme, further guidance on the requirements can be found in the interpretation documents of the centralized Committee of Experts (SCCM): “Certification scheme for occupational health and safety (OHS) management systems according to OHSAS 18001”. See [www.sccm.nl](http://www.sccm.nl).

### *Audit time allocation:*

Relevant to the determination of required audit time, RvA has found that OHSAS certification benefits from an approach similar to that for EMS. Therefore, the principles and process mentioned in IAF MD5 valid for EMS certification are deemed to be applicable for OHSAS certification as well (e.g. para’s 0, 1 (excl. 1.5), 2, 3.7, 3.8 and 4 up to and including 7). The CAB should determine the complexity categories for the various types of clients within their scope of operation (equivalent to EMS table 2) and should then use table EMS 1 as the starting point for audit time allocation.

*Note: EA is working on an interpretation document for OHSAS certification. When published, the RvA will review this SAP to ensure that it is consistent with EA documentation.*

### *Cluster classification*

The sectors, on which the scope of accreditation is based, have been classified into clusters. The clusters are shown in appendix 1.

### *Competence criteria*

As required by ISO 17021, CAB's shall determine competence criteria with regard to the requirements of the OH&S management system standard, for each technical area, and for each function in the certification process. The output of the determination process shall be the documented criteria of required knowledge and skills necessary to effectively perform audits and certification tasks to be fulfilled to achieve the intended results. The RvA expects that the determination of knowledge of applicable laws and legislation per (partial) IAF sector technical area is part of this process.

The definition of the term "technical area" is given in the ISO/IEC 17021 standard. Further to the note in clause 7.1.2, the term "technical area" is related to the categories of products and processes. For occupational health and safety management systems, the term "technical area" is related to categories of activities and services related to the risks affecting health, safety, occupational hygiene, ergonomics and physiological and psychological aspects.

## **5 Other information**

RvA shall inform the scheme owner on the accreditation status of CAB's for schemes under their management. For CAB's, that are associated with SCCM, SCCM will be informed of significant changes in the accredited status of the CAB (i.e. initial granting and subsequent suspensions or withdrawals). With respect to any CAB operating in The Netherlands, the RvA will inform the Dutch governmental authority I-SZW about withdrawals and suspensions of the accreditation of the CAB.

RvA matter expert:

Mr. Willem de Lange: [willem.de.lange@rva.nl](mailto:willem.de.lange@rva.nl)

## **6 Changes with regard to the previous version**

Compared to version 2 the following significant modifications have been made:

- different format, clarifications of texts;
- further explanation of applicability of IAF documents;
- documents to be submitted for witness assessments;
- statement about informing I-SZW for CABs operating in the Netherlands under RvA accreditation.



## ANNEX 1: Scopes used for accreditation of OHSAS certification bodies

IAF sector	NACE (rev. 2) Division*	Description of activities	Cluster
1 part. A	01, 02	<b>Agriculture &amp; Forestry</b>	3
1 part. B	03	<b>Fishing &amp; Aquaculture</b>	3
2	05, 06, 07, 08, 09	<b>Mining and Quarrying</b>	1
3	10, 11, 12	Manufacture of food products, beverages and tobacco products	2
4	13, 14	Manufacture of textiles, apparel and textile products	2
5	15	Manufacture and repair of leather and leather products	2
6	16	Manufacture of wood and products of wood	3
7 part. A	17.1	Manufacture of pulp, paper and paper products	2
7 part. B	17.2	Manufacture of articles of paper and paperboard	3
8	58	Publishing activities	5
9	18	Printing and reproduction of recorded media	5
10	19	<b>Manufacture of cokes and refined petroleum products</b>	1
11	24.46	<b>Processing of nuclear fuel</b>	1
12	20	<b>Manufacturing of chemicals, chemical products and fibres (except radio-active materials)</b>	1
13	21	<b>Manufacture of Pharmaceuticals</b>	1
14	22	Manufacture of rubber and plastics products	3
15	23, except 23.5 & 23.6	Manufacture of other Non-metallic mineral products	2
16	23.5, 23.6	Manufacture of concrete, cement, lime, plaster and related articles.	2
17 part. A	24, except 24.46	<b>Manufacture of Basic metals (except processing of nuclear fuel)</b>	2
17 part. B	25, except 25.4 and 33.11	Manufacture of fabricated metal products	3
18	25.4, 28, 30.4, 33.12, 33.2	Manufacture and repair of machinery and equipment	3
19	26, 27, 33.13, 33.14, 95.1	Manufacture and repair of electrical and optical equipment	5
20	30.1, 33.15	<b>Building, repair and maintenance of ships and boats</b>	2
21	30.3, 33.16	<b>Manufacture, repair and maintenance of air and spacecraft and related machinery</b>	2
22	29, 30.2, 30.9, 33.17	Manufacture, repair and maintenance of other transport equipment (vehicles, trailers, railway locomotives & rolling stock, military vehicles and transport equipment n.e.c.)	3
23	31, 32, 33.19	Manufacture, repair and maintenance n.e.c.: furniture, jewellery, music instruments, sport goods, games and toys, medical instruments and manufacturing n.e.c.	5
24	38.3	<b>Recycling (materials recovery)</b>	3
25	35.1	<b>Electricity supply (power generation, transmission and distribution)</b>	1
26	35.2	<b>Gas supply (production and distribution)</b>	1
27	35.3, 36	Water, steam and air conditioning supply	5
28	41, 42, 43	<b>Construction of buildings, civil engineering and specialized construction activities</b>	3
29	45, 46, 47, 95.2	Wholesale and retail trade; repair of motor vehicles, motorcycles and personal & household goods, Wholesale of agricultural raw materials, live animals, food, beverages and tobacco	5
30	55, 56	Hotels and restaurants	6
31 part. A	53, 61	Postal & courier activities, telecommunication and travel agency, tour operator service	6
31 part. B	49, 50, 51, 52	Land transport, pipeline transport, air and space transport, cargo handling and storage	6
32	64, 65, 66, 68, 77	Financial intermediation; real estate; renting & leasing service	6
33	58.2, 62, 63.1	Information technology	6
34	71, 72, 74 except 74.2 & 74.3	Architectural and engineering services	6
35 part. A	69, 70, 73, 74.2, 74.3, 78, 81, 82	Other services	6
35 part. B	80	Security and investigation activities	4

IAF sector	NACE (rev. 2) Division*	Description of activities	Cluster
36	84	Public administration and defence; compulsory social security	6
37	85	Education	4
38	75, 86, 87, 88	<b>Health and social work ( veterinary, human health, residential care activities and social work activities)</b>	4
39 part. A	37, 38.1, 38.2, 39	<b>Sewerage, waste collection, treatment and disposal activities, and remediation and other waste management services</b>	2
39 part. B	59, 60	Motion picture, video and television programme production, sound recording and music publishing and broadcasting activities	5
39 part. C	63.9, 79, 94, 96, 97, 98, 99	Travel agency, tour operator reservation service and related activities, activities of households as employers of domestic personnel, membership organisations & other personal service activities;	5
39 part. D	91.04	Botanical and zoological gardens and nature reserves activities	5
39 part. E	90, 91, 92, except 91.04	Creative, art, entertainment, gambling, betting and libraries, archives, museums and other cultural activities	6
39 part. F	93	Sport activities, amusement & recreation activities	5

\* : reference is made to the document: " Eurostat methodologies and working papers, NACE rev. 2, Statistical Classification of Economic Activities in the European Community".  
(see <http://ec.europa.eu/eurostat/documents/3859598/5902521/KS-RA-07-015-EN.PDF/dd5443f5-b886-40e4-920d-9df03590ff91?version=1.0>)

The sectors printed in bold and italic are the "witness obligatory" sectors, as referred in section 3.2 of this document.

Explanation of cluster classification:

It is known that any classification system is arbitrary and can raise questions. The RvA has chosen to link up with the risk classification prepared by the Dutch foundation for coordination of certification of environmental and occupational health and safety management (SCCM).

The justification for the determination of the clusters is based on distinguished occupational health and safety risks. For more background information on the cluster classification, reference is made to annex 3 of the SCCM document; Certification system for occupational health and safety management systems according to OHSAS 18001. Based on the risk classification shown in one of the appendixes of the aforementioned SCCM document six clusters have been identified.

Cluster No.	Activities and OH&S risks
1	Industrial and other activities with major internal and external OH&S risks; hazardous materials, physical strain, explosions.
2	Industrial and other activities with multiple OH&S risks beyond average. Physical strain and machine safety risks higher than average.
3	Industrial activities with emphasis on physical strain and machine safety. Physical strain and machine safety risks higher than average.
4	Provision of service with emphasis on psychosocial workload. Psychosocial risks are beyond average.
5	Industrial activities or provision of services with less than average physical strain and less than average safety risks. No OH&S risks higher than average.
6	(Administrative) services with limited OH&S risks.