

Annex to Certification Regulation

TÜV AUSTRIA Group – Business Assurance



Certification Regulation for Occupational, Health and Safety MS

Standard or Certification scheme:

OHSAS 18001:2007 / ISO 45001:2018

Accreditation Standard:

ISO 17021-1:2015

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.

Audit planning and time table. 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	1 st Surveillance audit	2 nd 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In case of exceeding time limits certificate is suspended for six months and after this period finally withdrawn.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.

Transition to ISO 45001:2018

As part of the revision of OHSAS18001 and the transition plan governed by international IAF accreditation regulations, the following apply:

- ✓ The total period of the transition is set at three years from the date of the standards' issue. The transition period expires on March 12, 2021
- ✓ The issuance of certificates under OHSAS18001, is allowed until March 12, 2020 with expiration date not later than March 12, 2021
- ✓ From March 12, 2020 onwards, all new certificates will be issued only as ISO 45001:2018 standard
- ✓ Transition of existing certificates may be conducted at any time of their validity, upon request and after the conduction of a relevant audit, or within the annual surveillance audit or in an intermediate time of the certification cycle. In any case, the cost will be determined accordingly.

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.

Annex to Certification Regulation

TÜV AUSTRIA Group – Business Assurance



Special Audits:	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. TÜV AUSTRIA shall decide on any further actions needed 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.	
Other requirements	<p>The organization representative, the management legally responsible for occupational health and safety, any personnel responsible for monitoring employees' health and the employees' representative(s) with responsibility for occupational health and safety shall be present at the closing meeting. Justification in case of absence shall be provided by the organization.</p> <p>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.</p> <p>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 characteristics;</p> <ul style="list-style-type: none"> ✓ is capable of achieving the required compliance within the due date, ✓ 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 ✓ 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:	<p>1: Full conformity</p> <p>2: (O): Points of Improvement, the effectiveness of the corrective actions are evaluated during the next audit</p>	<p>3: Non Conformity (-ies): Correction through the submission of Documents</p> <p>4: Non Conformity (-ies): Correction through Re-audit</p>
Time allowed to close Non Conformities:	<p>Certification Audit: 2 months after the completion of stage 2.</p> <p>Surveillance Audit: 2 months after the date of the audit or no later than the due date of the Certification Decision</p> <p>Recertification Audit: 2 months after the date of the audit or no later than the due date of the Certification Decision</p>	
Contractual Duration:	<p>The duration of the service and the contractual obligation comes into force upon signature by both parties (TÜV AUSTRIA and Client Organization) and is valid for (3) three years of the relevant offer in cases of initial certification or re - certification.</p> <p>In case of Accredited Certification Transfer, the duration covers the validity period of the</p>	

Annex to Certification Regulation

TÜV AUSTRIA Group – Business Assurance



transferred certificate.

In case of transition to a new version of the standard, the duration of contractual obligation is valid until the certification expiry date mentioned on the relative paragraph of the regulation.