

	<b>United States Accreditation, INC.</b> <b>Instruction for Occupational Health and Safety Management System for Certification Bodies</b>	Document No:	USACC-IN-20
		Release Date:	01/04/2021
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**1 Scope**

- 1.1 This document specifies the supplementary United States Accreditation, Inc. criteria for certification of Occupational Health and Safety Management System (OHSMS).
- 1.2 This document is to be used with ISO/IEC 17021-1, ISO/IEC TS 17021-10 and applicable IAF mandatory documents.

**2 Certification Criteria**

- 2.1 CBs shall certify organisations to ISO 45001:2018 Occupational health and safety management systems – Requirements with guidance for use

**3 Criteria for OHSMS Auditors**

- 3.1 CBs shall appoint qualified auditors to conduct OHSMS audits.
- 3.2 Auditors shall meet the criteria as defined in ISO/IEC TS 17021-10.

**4 Duration of OHSMS Audits**

- 4.1 Auditor days shall be based on IAF MD 5 – IAF Mandatory Document for Determination of audit time of Quality, Environmental, and Occupational Health & Safety Management System.

**ANNEX C – OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEMS**

**Table OH&SMS 1 – Occupational Health and Safety Management Systems**

**Relationship between Effective Number of Personnel,  
Complexity Category of OH&S Risk and Audit Time  
(Initial Audit only – Stage 1 + Stage 2)**



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Effective Number of Personnel	Audit Time Stage 1 + Stage 2 (days)			Effective Number of Personnel	Audit Time Stage 1 + Stage 2 (days)		
	High	Med	Low		High	Med	Low
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
66-85	9	7	5	3451-4350	27	20	15
86-125	11	8	5.5	4351-5450	28	21	16
126-175	12	9	6	5451-6800	30	23	17
176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20
426-625	16	12	9	>10700	Follow progression above		

*Note 1: Audit time is shown for audits at high, medium and low complexity category of OH&SM risk.*

*Note 2: The numbers of personnel in Table OH&SMS 1 should be seen as a continuum rather than a stepped change. If drawn as a graph, the line should start with the values in the lower band. The starting point of the graph should be personnel of one attracting 2,5 days. See clause 2.2 for dealing with parts of a day.*

*Note 3: See also clause 1.9 and 2.3.*

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**TABLE OH&SMS 2 - Examples of Linkage between Business Sectors and Complexity Categories of OH&S Risks**

Complexity category of OH&S risk	Business Sector
<b>High</b>	<ul style="list-style-type: none"> <li>• fishing (offshore, coastal dredging and diving)</li> <li>• mining and quarrying</li> <li>• manufacture of coke and refined petroleum products</li> <li>• oil and gas extraction</li> <li>• tanning of leather and leather products</li> <li>• dyeing of textiles and clothing</li> <li>• pulping part of paper manufacturing including paper recycling processing</li> <li>• oil refining</li> <li>• chemicals (including pesticides, fabrication of batteries and accumulators), and pharmaceuticals</li> <li>• manufacturing of fibreglass</li> <li>• gas production, storage and distribution</li> <li>• electricity generation and distribution</li> <li>• nuclear</li> <li>• storage of large quantities of hazardous material</li> <li>• non-metallic processing and products covering ceramics, concrete, cement, lime, plaster, etc.</li> <li>• primary productions of metals</li> <li>• hot and cold forming and metal fabrication</li> <li>• manufacturing and assembly of metal structures</li> <li>• shipyards (depending on the activities could be medium)</li> <li>• aerospace industry</li> <li>• automotive industry</li> <li>• manufacturing of weapons and explosives</li> <li>• recycling of hazardous waste</li> <li>• hazardous and non-hazardous waste processing e.g. incineration etc.</li> <li>• effluent and sewerage processing</li> <li>• industrial and civil construction and demolition (including building completion with electrical, hydraulic and air conditioning installation activities)</li> <li>• slaughter houses</li> <li>• transport and distribution of dangerous goods (by land, air and water)</li> <li>• defence activities/crisis management</li> <li>• healthcare/hospitals/veterinary/social works</li> </ul>

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		<b>Release Date:</b>	<b>01/04/2021</b>
		<b>Rev Date / No:</b>	<b>0</b>

<b>Complexity category of OH&amp;S risk</b>	<b>Business Sector</b>
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<b>Medium</b>	<ul style="list-style-type: none"> <li>• aquaculture (breeding, rearing, and harvesting of plants and animals in all types of water environments)</li> <li>• fishing (offshore fishing is high)</li> <li>• farming/forestry (depending on the activities could be high)</li> <li>• food, beverage and tobacco – processing</li> <li>• textiles and clothing except for dyeing</li> <li>• leather and leather product except for tanning</li> <li>• manufacturing of wood and wooden products including manufacturing of boards, treatment/impregnation of wood</li> <li>• paper production and paper products excluding pulping</li> <li>• non-metallic processing and products covering glass, ceramics, clay, etc.</li> <li>• general mechanical engineering assembly</li> <li>• manufacturing of metallic products</li> <li>• surface and other chemically based treatment for metal fabricated products excluding primary production and for general mechanical engineering (depending on the treatment and the size of the component could be high)</li> <li>• production of bare printed circuit boards for electronics industry</li> <li>• rubber and plastic injection moulding, forming and assembly</li> <li>• electrical and electronic equipment assembly</li> <li>• manufacturing of transport equipment and their repairs - road, rail and air (depending on the size of the equipment, could be high)</li> <li>• recycling, composting, landfill (of non-hazardous waste)</li> <li>• water abstraction, purification and distribution including river management (note commercial effluent treatment is graded as high)</li> <li>• fossil fuel wholesale and retail (depending on the amount of fuel, could be high)</li> <li>• transport of passengers (by air, land and sea)</li> <li>• transport and distribution of non-dangerous goods (by land, air and water)</li> <li>• industrial cleaning, hygiene cleaning, dry cleaning normally part of general business services</li> <li>• research &amp; development in natural and technical sciences (depending on the business sector could be high). Technical testing and laboratories</li> <li>• hotels, leisure services and personal services excludes restaurants</li> <li>• education services (depending on the object of teaching activities could be high or low)</li> </ul>
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Complexity category of OH&S risk	Business Sector
<b>Low</b>	<ul style="list-style-type: none"> <li>• corporate activities and management, HQ and management of holding companies</li> <li>• wholesale and retail (depending on the product, could be medium or high, e.g. fuel)</li> <li>• general business services except industrial cleaning, hygiene cleaning, dry cleaning and education services).</li> <li>• transport and distribution - management services with no actual fleet to manage</li> <li>• engineering services (could be medium depending on type of services)</li> <li>• telecommunications and post office services</li> <li>• restaurants and campings</li> <li>• commercial estate agency, estate management</li> <li>• research &amp; development on social sciences and humanities</li> <li>• public administration, local authorities</li> <li>• financial institutions, advertising agency</li> </ul>

### Complexity Categories of OH&S Risks


The provisions specified in this document are based on three primary complexity categories of OH&S risks based on the nature and severity of the OH&S risks of an organization that fundamentally affect the auditor time. These are:

- **High** – OH&S risks with significant nature and severity (typically the construction industry, heavy manufacturing or processing type organizations),
- **Medium** – OH&S risks with medium nature and severity (typically light manufacturing organizations with some significant risks), and
- **Low** – OH&S risks with low nature and severity (typically office based organizations).

Table OH&SMS 1 covers the above three complexity categories of OH&S risks.

Table OH&SMS 2 provides the link between the three complexity categories of OH&S risks above and the industry sectors that would typically fall into that category.

The CAB should recognize that not all organizations in a specific sector will always fall in the same OH&S risk category. The CAB should allow flexibility in its contract review procedure to ensure that the specific activities of the organization are considered in determining the complexity categories of OH&S risks.

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		<b>Page No:</b>	

For example, even though many businesses in shipbuilding should be classified as “high risk”, an organization which would have only small boats of carbon fiber with lower complexity activities could be classified as “medium”.

The CAB shall document all cases where they have lowered the complexity category of OH&S risks of an organization in a specific business sector.

*Note: The complexity category of OH&S risk of an organization may also be associated with the consequences of a failure of the OH&SMS to control the risk:*

- High – where failure to manage the risk could put life at risk or result in serious injury or illness,
- Medium – where failure to manage the risk could result in injury or illness, and
- Low – where failure to manage the risk may result in minor injury or illness.

End of OH&SMS audits.

## **5 Implementation**

5.1 This instruction is a part of USACC-G-28 Guidelines for Accreditation of Conformity Assessment Bodies and USACC-P-01 Accreditation Procedure of CABs, these will be use together. Cannot be used separately.