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# HKCAS Supplementary Criteria No. 7

## Accreditation Programme for Occupational Health and Safety Management System Certification

### 1 INTRODUCTION

- 1.1 HKAS accreditation for occupational health and safety management system (OH&SMS) certification is provided under Hong Kong Certification Body Accreditation Scheme (HKCAS) and is open for voluntary application from any certification body offering a third-party certification service on OH&SMS to ISO 45001 for area(s) described in Appendix A or in respect of a certification scheme. The certification scheme shall satisfy the criteria set out in HKCAS SC-11.
- 1.2 Specific accreditation requirements for OH&SMS certification include HKCAS 003: 2015, ISO/IEC TS 17021-10: 2018, IAF MD 22: 2023 and HKCAS SC-07.
- 1.3 Accreditation of a certification body for a particular management system certification is an attestation that the certification body is competent in offering a third-party certification service on that management system certification for which it is accredited in accordance with the accreditation criteria. An accredited certification body shall comply with the relevant accreditation criteria at all times for maintaining accreditation. Nevertheless, accreditation is not a guarantee that an accredited certification body will carry out its accredited activities in accordance with the relevant accreditation criteria all the time. Furthermore, accreditation is not a guarantee that any organisation certified by an accredited certification body is in conformity with all certification requirements. HKAS does not endorse, sanction or approve in any way, any organisation certified by any accredited certification body. Conversely, failure to obtain certification by an accredited certification body does not imply that HKAS has refused to endorse, sanction or approve in any way the applicant organisation to be certified.

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## **2 TERMS AND DEFINITIONS**

- 2.1 For the purposes of this document, the terms and definitions given in ISO 45001 apply for applicant and accredited certification bodies offering a certification service to ISO 45001.
- 2.2 The term ‘assessment’ refers to the process in which HKAS Executive assesses the competence of a certification body while the term ‘audit’ refers to the process in which a certification body evaluates the conformity of an organisation with certification criteria.
- 2.3 The term ‘shall’ is used throughout this document to indicate those provisions which are mandatory. The term ‘should’ is used to indicate guidance which, although not mandatory, is provided by HKAS as a recognised means of meeting the requirements.
- 2.4 In this document, the term ‘lead auditor’ is used. It has the same meaning as the term ‘audit team leader’ which is used in HKCAS 003: 2015.

## **3. RESOURCE REQUIREMENTS**

### **Personnel for making certification decision**

- 3.1 Certification decisions may be made by a staff member or a committee. In case the certification decision is made by a committee, an applicant or accredited certification body shall ensure that the committee members who make the decision on granting/withdrawing a certification shall have a level of knowledge and experience sufficient for making a sound decision based on the results or information obtained from the auditing processes. The certification body shall also have documented procedures and criteria for the committee to make certification decisions and the committee members are conversant with the procedures and criteria. It may be necessary to provide appropriate training to committee members. Detailed records of the factors considered by the committee and the deliberation shall be kept. Performance of the committee shall be monitored.

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### **Work instruction**

- 3.2 An applicant or accredited certification body shall provide adequate and up-to-date documented work instructions including information about OH&S laws, regulations and code of practices to its lead auditors and auditors to ensure that all processes and activities have been performed according to the requirements of HKCAS 003: 2015 and the certification body.

## **4. INFORMATION REQUIREMENTS**

- 4.1 An applicant or accredited certification body shall include all names and geographic locations of a certified organisation covered by a certification in the certification document. The activities carried out in each geographic location covered by the certification shall also be clearly specified in the certification documents.

## **5. PROCESS REQUIREMENTS**

### **Certification audit**

- 5.1 For the stage 1 audit, an applicant or accredited certification body shall include on-site visit at an applicant organisation's premises including both permanent site(s) and temporary site(s) where the applicant organisation carries out work or service unless there is a justification for not doing so.
- 5.2 Where parts of an applicant organisation's OH&SMS have been confirmed to be in conformity with the certification criteria in the stage 1 audit, they need not be re-audited in the stage 2 audit. However, an applicant or accredited certification body shall verify in the stage 2 audit that no substantial changes have been made to those parts. For such cases, the stage 2 audit report shall state clearly that conformity of those parts has been established during the stage 1 audit.
- 5.3 When the operation of an organisation being audited is time dependent, an applicant or accredited certification body shall select the date, time and season of the audit to

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ensure that the audit findings are representative. Where it is not possible to cover all possible activities/processes that the organisation may take during an audit, the certification body should through other means, e.g., inspection of records and procedures and discussion with relevant personnel, to ensure that the overall findings are representative. During subsequent surveillance and recertification audits, the certification body should endeavour to cover those activities/processes which have not been covered in previous audits.

- 5.4 To ensure consistent quality of certification audits, an applicant or accredited certification body shall have documented procedures, criteria and quality assurance measures for all certification schemes it operates.

**Relationship with Safety Audit / Review of the Factories and Industrial Undertakings (Safety Management) Regulation (for OH&SMS certification to ISO 45001)**

- 5.5 Relevant observations made during Factories and Industrial Undertakings (F&IU) safety audits / reviews may be covered in ISO 45001 certification provided that applicable accreditation criteria are met. The certification body shall also implement a system to be checked by an independent party that such observations have been correctly applied. The certification body should implement a mechanism to ensure that the two sets of requirements are not confused.

*Note: The F&IU (Safety Management) Regulations have its own set of requirements as to how F&IU safety audits and reviews should be conducted. Certification bodies making use of F&IU safety audit and review observations in ISO 45001 certification process are reminded to comply with such requirements. ISO 45001 standard is not designed to comply with the F&IU (Safety Management) Regulation, thus submission of such audit to fulfil the F&IU (Safety Management) Regulation is not acceptable to the Labour Department. An applicant or accredited certification body intending to make use of F&IU observations in ISO 45001 audit shall ensure that its auditors are fully aware of the differences between the requirements of F&IU and ISO 45001 and will take extra precautions when applying such observations.*

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### **Scope of certification**

5.6 In accordance with G.9.2.1.3 of IAF MD 22: 2023, the OH&SMS shall include activities, products and services within the organisation's control or influence that can impact the organisation's OH&SMS performance. An applicant or accredited certification body shall communicate with its applicant organisation to define the scope of certification appropriately. The scope of certification shall refer to defined geographic locations and defined boundaries of certified activities.

### **Audit report**

5.7 The audit team of an applicant or accredited certification body carrying out an audit shall prepare a self-contained audit report in accordance with ISO/IEC 17021-1: 2015 requirements.

*Note: The ISO 45001 audit report may include relevant observations made during F&IU safety audits / reviews. However, the F&IU safety audit or safety review report(s) shall not form part of ISO 45001 audit report. The ISO 45001 audit report shall explicitly state those relevant observations and shall not make reference to the F&IU safety audit or safety review report(s).*

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**Appendix A**  
(normative)

**SCOPE OF ACCREDITATION**

Accreditation for OH&SMS certification to ISO 45001 is granted by area in accordance with Appendix B of IAF MD 22: 2023.

Area No	Description	NACE Code (rev.2)
1	Agriculture, forestry and fishing	01, 02, 03
2	Mining and quarrying	05, 06, 07, 08, 09
3	Food products, beverages and tobacco	10, 11, 12
4	Textiles and textile products	13, 14
5	Leather and leather products	15
6	Wood and wood products	16
7	Pulp, paper and paper products	17
8	Publishing companies	58.1, 59.2
9	Printing companies	18
10	Manufacture of coke and refined petroleum products	19
11	Nuclear fuel	24.46, 20.13 (only in scope of radioactive material)
12	Chemicals, chemical products and fibres	20 (except scope of radioactive material)
13	Pharmaceuticals	21
14	Rubber and plastic products	22
15	Non-metallic mineral products	23, except 23.5 and 23.6
16	Concrete, cement, lime, plaster etc	23.5, 23.6
17	Basic metals and fabricated metal products	24 except 24.46, 25 except 25.4, 33.11
18	Machinery and equipment	25.4, 28, 30.4, 33.12, 33.2
19	Electrical and optical equipment	26, 27, 33.13, 33.14, 95.1
20	Shipbuilding	30.1, 33.15
21	Aerospace	30.3, 33.16
22	Other transport equipment	29, 30.2, 30.9, 33.17
23	Manufacturing not elsewhere classified	31, 32, 33.19
24	Recycling	38.3
25	Electricity supply	35.1
26	Gas supply	35.2
27	Water supply	35.3, 36
28	Construction	41, 42, 43
29	Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods	45, 46, 47, 95.2
30	Hotels and restaurants	55, 56
31	Transport, storage and communication	49, 50, 51, 52, 53, 61
32	Financial intermediation; real estate; renting	64, 65, 66, 68, 77
33	Information technology	58.2, 62, 63.1
34	Engineering services	71, 72, 74 except 74.2 and 74.3
35	Other services	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82
36	Public administration	84
37	Education	85
38	Health and social work	75, 86, 87, 88
39	Other social services	37, 38.1, 38.2, 39, 59.1, 60, 63.9, 79, 90, 91, 92, 93, 94, 96