

Annex II(G)
Management System Checklist
[for OH&SMS certification
(based on ISO/IEC TS 17021-10: 2018)]

The occupational health and safety management system certification body shall complete the following checklist, which will be used for the assessment of the occupational health and safety management system certification body's conformity with HKAS and HKCAS accreditation requirements.

This checklist consists of questions based on the requirements of ISO/IEC TS 17021-10: 2018 and HKCAS SC-07. For further information, please refer to the corresponding document and clause as listed in the second column.

The occupational health and safety management system certification body shall indicate in the 'QM Clause' column, for every question, the clause(s) in its management system manual, operation procedures or other related documentation which can demonstrate the occupational health and safety management system certification body's conformity with the requirement.

The column headed 'OK' is for internal use of HKAS Executive.

A softcopy of this completed checklist shall be provided to HKAS Executive by email or other means.

Management System Checklist [for OH&SMS certification (based on ISO/IEC TS 17021-10: 2018)]

ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Competence requirements</p> <p>Does your certification body define the competence requirements for each certification function as referenced in ISO/IEC 17021-1:2015, Table A.1?</p> <p>When defining these competence requirements, does your certification body take into account all the requirements specified in ISO/IEC 17021-1, as well as those specified in Clauses 5, 6 and 7 of ISO/IEC TS 17021-10, including those that are relevant for the OH&S technical area as defined by the certification body?</p>	4	<input type="checkbox"/> <input type="checkbox"/>		
<p>Competence requirements for OH&S management system auditors</p> <p>General</p> <p>Does your certification body compose an audit team of auditors (and technical experts, as necessary) having the collective competence to undertake the audit?</p> <p>Does each OH&S management system auditor of your certification body have knowledge of the synergy within an OH&S management system and how its processes interact to meet its intended outcomes of providing a safe and healthy workplace and the prevention of injury and ill health?</p> <p>Terminology, principles, processes and concepts of OH&S</p> <p>Does each OH&S management system auditor of your certification body have and maintain up-to-date knowledge of terminology, principles, processes and concepts of OH&S and OH&S management?</p> <p>Terminology, principles and concepts of OH&S and OH&S management system include, but are not limited to: intended outcome(s) of the OH&S management system; hazards and OH&S risks; minimize or reduce risks; hierarchy of control; procurement (including outsourcing and contractors); shared control over work performed.</p>	5 5.1 5.2	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

Management System Checklist [for OH&SMS certification (based on ISO/IEC TS 17021-10: 2018)]

ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Context of the organisation</p> <p>In order to determine that an organisation has appropriately identified the scope, including boundaries and applicability of its OH&S management system, within the organisation's context and its work related activities, does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of:</p> <ul style="list-style-type: none">- potential issues relevant to the context of an organisation, in order to determine whether the organisation has identified external and internal issues that can affect the organisation's ability to achieve the intended outcome(s) of its OH&S management system;- potential other interested parties in addition to workers, in order to determine if an organisation has identified the relevant needs and expectations of workers and other interested parties? <p>Leadership, consultation and participation of workers</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of the role and impact of the leadership and culture of an organisation? This knowledge should be applied to evaluate whether the top management of an organisation is demonstrating its commitment to the OH&S management system and achieving its intended outcome(s).</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of methodologies for consultation and participation, including obstacles and barriers, in order to determine whether an organisation has effective processes for consultation and participation of workers and, when they exist, workers representatives?</p>	5.3	<input data-bbox="1249 507 1283 531" type="checkbox"/>		
	5.4	<input data-bbox="1249 858 1283 882" type="checkbox"/> <input data-bbox="1249 1066 1283 1090" type="checkbox"/>		

Management System Checklist [for OH&SMS certification (based on ISO/IEC TS 17021-10: 2018)]

ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Legal requirements and other requirements</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of legal requirements and other requirements in the field of health and safety at work, including those relevant to the OH&S technical area, in order to evaluate whether an organisation has a process to determine, apply and periodically review its legal requirements and other requirements, including those related to: consultation and participation of workers and workers representatives, where they exist; the privacy of personal medical information; establishment of H&S committees?</p>	5.5	<input type="checkbox"/>		
<p>OH&S risks, OH&S opportunities and other risks and other opportunities</p> <p>Risks and opportunities</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of risks and opportunities, including those relevant to the OH&S technical area, in order to evaluate whether an organisation has applied appropriate methods for identifying hazards and determining OH&S risks, OH&S opportunities and other risks and other opportunities in an organisational context and within the scope of the OH&S management system?</p>	5.6			
<p>Hazard identification</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of hazards, including those relevant to the OH&S technical area, in order to evaluate whether an organisation has applied appropriate methods for identifying hazards in an organisational context and within the scope of the OH&S management system?</p> <p>Knowledge of hazards shall include, but not be limited to, those in the following categories: physical; chemical; biological; physiological; mechanical; electrical; psychosocial; based on movement and energy.</p>	5.6.1	<input type="checkbox"/>		
	5.6.2	<input type="checkbox"/>		

Management System Checklist [for OH&SMS certification (based on ISO/IEC TS 17021-10: 2018)]

ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Knowledge of hazards and their sources shall include, but not be limited to: internal or external sources or situations; potential emergency situations; multi-employer workplaces; workplace and facility; product and service design, research, development, testing, production, assembly, construction, service delivery, maintenance or disposal; procurement, outsourcing or contractors; new technologies and their application; planned or unintended changes; work organisation, human factors and social factors.</p>				
<p>Assessment of OH&S risks</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of the methodologies and criteria for the identification of hazards and the assessment of OH&S risks, including those relevant to the OH&S technical area, in order to evaluate whether an organisation has applied methodologies and criteria in an appropriate, proactive and systematic way in an organisational context and within the scope of the OH&S management system?</p>	5.6.3	<input type="checkbox"/>		
<p>OH&S opportunities</p> <p>Does your personnel on a team involved in OH&S management system auditing of your certification body have knowledge of the type of processes that can lead to improvement of OH&S performance?</p> <p>Knowledge of processes shall include but not be limited to: adapting work to workers; changing the work organisation; changing the workplace layout.</p>	5.6.4	<input type="checkbox"/>		

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ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Emergency preparedness and response</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of potential emergency situations and their usual responses, including those relevant to the OH&S technical area in an organisational context, in order to evaluate whether an organisation has appropriately: identified its potential emergency situations; planned and tested its emergency responses, including with respect to external responders; evaluated its effectiveness in testing its planned emergency responses and responses given to actual emergencies if applicable?</p>	5.7	<input type="checkbox"/>		
<p>Performance evaluation</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of performance evaluation in order to evaluate whether an organisation has applied appropriate OH&S performance evaluation methods, including proactive and reactive, qualitative and quantitative indicators, and to determine whether it is achieving the intended outcome(s) of its OH&S management system?</p>	5.8	<input type="checkbox"/>		
<p>Eliminating hazards and reducing OH&S risks</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of the control measures or control methods used to eliminate hazards and reduce OH&S risks, including to those relevant to the OH&S technical area, in order to evaluate whether an organisation has applied: the concept of the hierarchy of control, including adapting work to workers and its appropriate application; the appropriate and effective control measures, including the identification of any potential adverse effects, that have been selected by the organisation and those applied to the external providers?</p>	5.9	<input type="checkbox"/>		

Management System Checklist [for OH&SMS certification (based on ISO/IEC TS 17021-10: 2018)]

ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Incident investigation</p> <p>Does personnel on a team involved in OH&S management system auditing of your certification body have knowledge of incident investigation methods, including those relevant to the OH&S technical area, in order to evaluate whether an organisation has conducted the investigation effectively in an organisational context and within the scope of the OH&S management system. This includes: the relevant methods and practices for incident investigations, such as root cause analysis, fault tree analysis; and the identification of actions to eliminate the cause(s).</p>	5.10	<input type="checkbox"/>		
<p>Competence requirements for personnel reviewing audit reports and making certification decisions</p> <p>Terminology, principles, processes and concepts of OH&S</p> <p>Does personnel reviewing audit reports and making certification decisions of your certification body have and maintain up-to-date knowledge of terminology, principles, processes and concepts of OH&S and OH&S management? Terminology, principles and concepts of OH&S and OH&S management include, but are not limited to: intended outcome(s) of the OH&S management system; hazards and OH&S risks; minimizing or reducing risks; hierarchy of control; procurement (including outsourcing and contractors); shared control over work performed.</p> <p>Context of the organisation</p> <p>Does Personnel reviewing audit reports and making certification decisions of your certification body have sufficient knowledge of the following in order to determine if the audit team has appropriately confirmed the scope, including boundaries and applicability of its OH&S management system, within the organisation's context and its work related activities: potential issues relevant to the context of the organisation; potential other interested parties?</p>	6			
	6.1	<input type="checkbox"/>		
	6.2	<input type="checkbox"/>		

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ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Leadership, consultation and participation of workers</p> <p>Does personnel reviewing audit reports and making certification decisions of your certification body have knowledge of the role and impact of leadership, culture, consultation and participation of workers and, when they exist, workers representatives?</p>	6.3	<input type="checkbox"/>		
<p>Legal requirements and other requirements</p> <p>Is personnel reviewing audit reports and making certification decisions of your certification body aware of legal requirements and other requirements in the field of health and safety at work?</p>	6.4	<input type="checkbox"/>		
<p>OH&S risks, OH&S opportunities and other risks and other opportunities</p> <p>Hazard identification</p> <p>Does personnel reviewing audit reports and making certification decisions of your certification body have knowledge of hazards and methods for identifying them, including those relevant to the OH&S technical area?</p> <p>Does personnel reviewing audit reports and making certification decisions of your certification body have knowledge of the following categories of hazards, including but not limited to, those in the following categories: physical; chemical; biological; physiological; mechanical; electrical; psychosocial; based on movement and energy?</p> <p>Assessment of OH&S risks</p> <p>Does personnel reviewing audit reports and making certification decisions of your certification body have knowledge of the type of methodologies and criteria for the assessment of OH&S risks, including those relevant to the OH&S technical area?</p>	6.5			
	6.5.1	<input type="checkbox"/>		
		<input type="checkbox"/>		
	6.5.2	<input type="checkbox"/>		

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ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>OH&S opportunities</p> <p>Is personnel reviewing audit reports and making certification decisions of your certification body aware of concepts of OH&S opportunities?</p>	6.5.3	<input type="checkbox"/>		
<p>Performance evaluation</p> <p>Does personnel reviewing audit reports and making certification decisions of your certification body have knowledge of OH&S performance evaluation methods?</p>	6.6	<input type="checkbox"/>		
<p>Eliminating hazards and reducing OH&S risks</p> <p>Does personnel reviewing audit reports and making certification decisions of your certification body have knowledge of the concept of the hierarchy of control?</p>	6.7	<input type="checkbox"/>		
<p>Incident investigation</p> <p>Does personnel reviewing audit reports and making certification decisions of your certification body have knowledge of incident investigation methods?</p>	6.8	<input type="checkbox"/>		
<p>Competence requirements for other certification personnel</p> <p>Terminology, principles, processes and concepts of OH&S</p> <p>As appropriate for their function, does personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time of your certification body have and maintain up-to-date knowledge of OH&S terminology, principles, processes and concepts?</p>	7 7.1	<input type="checkbox"/>		

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ISO/IEC TS 17021-10: 2018 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Terminology, principles, processes and concepts of OH&S and OH&S management include, but are not limited to: intended outcome(s) of the OH&S management system; hazards and OH&S risks; minimizing or reducing risks; hierarchy of control; procurement (including outsourcing and contractors); shared control over work performed.</p> <p>Context of the organisation</p> <p>As appropriate for their function, does personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time of your certification body have: knowledge of site-related factors, and risks and complexity related to the site and the organisation's activities, to determine the audit time and to select a competent audit team; knowledge to determine that the proposed scope of certification is appropriate within the organisations context and its work related activities?</p>	7.2	<input type="checkbox"/>		

Management System Checklist [for OH&SMS certification (based on ISO/IEC TS 17021-10: 2018)]

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Certification decisions may be made by a staff member or a committee. In case the certification decision is made by a committee, does your certification body ensure that the committee members who make the decision on granting/withdrawing a certification have a level of knowledge and experience sufficient for making a sound decision based on the results or information obtained from the auditing processes? Does your certification body have documented procedures and criteria for the committee to make certification decisions? Are the committee members conversant with the procedures and criteria? It may be necessary to provide appropriate training to committee members. Does your certification body keep detailed records of the factors considered by the committee and the deliberation? Does your certification body monitor the performance of the committee?</p>	HKCAS SC-07 3.1	<input type="checkbox"/>		
<p>Does your certification body 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?</p>	HKCAS SC-07 3.2	<input type="checkbox"/>		
<p>Does your certification body include all names and geographic locations of a certified organisation covered by a certification in a certification document? Does your certification body clearly specify the activities carried out in each geographic location covered by the certification in the certification documents?</p>	HKCAS SC-07 4.1	<input type="checkbox"/>		
<p>For the stage 1 audit, does your certification body 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?</p>	HKCAS SC-07 5.1	<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Where parts of an applicant organisation's OH&S management system 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. Does your certification body verify in the stage 2 audit that no substantial changes have been made to those parts? For such cases, does your certification body clearly state in the stage 2 audit report that conformity of those parts has been established during the stage 1 audit?</p>	HKCAS SC-07 5.2	<input type="checkbox"/>		
<p>When the operation of an organisation being audit is time dependent, does your certification body select the date, time and season of the audit to 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.</p>	HKCAS SC-07 5.3	<input type="checkbox"/>		
<p>To ensure consistent quality of certification audits, does your certification body have documented procedures, criteria and quality assurance measures for all certification schemes it operates?</p>	HKCAS SC-07 5.4	<input type="checkbox"/>		
<p>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. Does your certification body implement a system to be checked by an independent party that such observations have been correctly applied? Does your certification body implement a mechanism to ensure that the two sets of requirements are not confused?</p>	HKCAS SC-07 5.5	<input type="checkbox"/>		
<p>In accordance with G.9.2.1.3 of IAF MD 22: 2023, the OH&S management system shall include activities, products and services within the organisation's control or influence that can impact the organisation's OH&S management system performance. Does your certification body communicate with your applicant organisation to define the scope of certification appropriately? Does the scope of certification refer to defined geographic locations and defined boundaries of certified activities?</p>	HKCAS SC-07 5.6	<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does the audit team of your certification body carrying out an audit prepare a self-contained audit report in accordance with ISO/IEC 17021-1: 2015 requirements?	HKCAS SC-07 5.7	<input type="checkbox"/>		