IAF Mandatory Document

Requirements for the Migration to
ISO 45001:2018
from OHSAS 18001:2007

Issue 1

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The International Accreditation Forum, Inc. (IAF) facilitates trade and supports regulators by operating a worldwide mutual recognition arrangement among Accreditation Bodies (ABs) in order that the results issued by Conformity Assessment Bodies (CABs) accredited by IAF members are accepted globally.

Accreditation reduces risk for business and its customers by assuring them that accredited CABs are competent to carry out the work they undertake within their scope of accreditation. ABs that are members of IAF and their accredited CABs are required to comply with appropriate international standards and IAF mandatory documents for the consistent application of those standards.

ABs that are signatories to the IAF Multilateral Recognition Arrangement (MLA) are evaluated regularly by an appointed team of peers to provide confidence in the operation of their accreditation programs. The structure and scope of the IAF MLA is detailed in IAF PR 4 - Structure of IAF MLA and Endorsed Normative Documents.

The IAF MLA is structured in five levels: Level 1 specifies mandatory criteria that apply to all ABs, ISO/IEC 17011. The combination of a Level 2 activity(ies) and the corresponding Level 3 normative document(s) is called the main scope of the MLA, and the combination of Level 4 (if applicable) and Level 5 relevant normative documents is called a sub-scope of the MLA.

- The main scope of the MLA includes activities e.g. product certification and associated mandatory documents e.g. ISO/IEC 17065. The attestations made by CABs at the main scope level are considered to be equally reliable.

- The sub-scope of the MLA includes conformity assessment requirements e.g. ISO 9001 and scheme specific requirements, where applicable, e.g. ISO TS 22003. The attestations made by CABs at the sub scope level are considered to be equivalent.

The IAF MLA delivers the confidence needed for market acceptance of conformity assessment outcomes. An attestation issued, within the scope of the IAF MLA, by a body that is accredited by an IAF MLA signatory AB can be recognized worldwide, thereby facilitating international trade.
INTRODUCTION TO IAF MANDATORY DOCUMENTS

The term “should” is used in this document to indicate recognised means of meeting the requirements of the standard. A Conformity Assessment Body (CAB) can meet these in an equivalent way provided this can be demonstrated to an Accreditation Body (AB). The term “shall” is used in this document to indicate those provisions which, reflecting the requirements of the relevant standard, are mandatory.

Background to the Development of Standards for Occupational Health and Safety Management Systems (OHSMS)

(NOTE: In many cultures "occupational health and safety", or "OH&S", is referred to as "occupational safety and health", or "OSH". The two terms are synonymous.)

The development of standards for OHSMS began in the early 1990s, with the eventual publication of BS 8800 in 1996. An ISO workshop in that year debated whether it was appropriate to develop an OHSMS International Standard and decided the timing was not right to do so.

The OHSAS Project Group was formed in the late 1990s and published OHSAS 18001 in 1999 and OHSAS 18002 in 2000. AS/NZ 4801 was also published in 2000, followed by the publication of the ILO’s OSH Guidelines in 2001 and ANSI Z10 in 2003. A revision of OHSAS 18001 was published in 2007, and a revision of OHSAS 18002 in 2008. ANSI Z10 was revised in 2013.

While the OHSAS Project Group has full ownership of the copyright in OHSAS 18001, it has entered into royalty free licensing and copyright agreements with many National Standardization Bodies. This has facilitated the adoption and use of OHSAS 18001 at the national level, and promoted its implementation by organizations. In turn, this has led to a global improvement in OH&S culture.

Further ISO consultations on developing an OHSMS International Standard took place in 2007, resulting in a second decision to wait.

The most recent OHSAS Standards and Certificates survey (for 2011 data) demonstrated that 127 countries are now using OHSMS standards, mainly based on the adoption or adaptation of OHSAS 18001, and indicated that there is a need for an International Standard in this field. Consequently, a new work item proposal was presented to ISO in March 2013, which led to the project to develop ISO 45001 Occupational health and safety management systems – Requirements with guidance for use.
It should be noted that some Legislators/Regulators have made reference to OHSAS 18001 in their local legal frameworks and this needs to be taken into consideration in the migration process.

In addition, there are other OHSMS standards in some countries that are similar to, but not fully aligned with, OHSAS 18001; however, these standards are not covered by this IAF Mandatory Document.

The ISO project to develop ISO 45001 seeks to harmonize these standards and to share best practice.
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Requirements for the Migration to ISO 45001:2018 from OHSAS 18001:2007

1. INTRODUCTION

This document provides requirements for the migration from OHSAS 18001:2007 to ISO 45001:2018 and has been prepared by the International Accreditation Forum (IAF) in cooperation with the OHSAS Project Group and ISO to provide advice to interested parties on migration arrangements to be considered before implementing ISO 45001. It identifies activities which shall be considered by relevant interested parties and increases understanding of the context of ISO 45001.

These migration requirements apply only for migration of OHSAS 18001:2007 to ISO 45001:2018 by the same Certification Body.

Relevant interested parties who will benefit from this document include:

i) Organizations certified and/or using OHSAS 18001:2007.

ii) Accreditation Bodies (AB’s).

iii) Certification Bodies (CB’s).

iv) Legislators and Regulators.

v) Trade/Contracting/Procurement Boards.

vi) Workers.

vii) Society.

2. MIGRATION

2.1 General

The OHSAS Project Group has fully reviewed and endorsed ISO 45001:2018 as the replacement for OHSAS 18001:2007. Therefore, once ISO 45001:2018 has been published, the official status of OHSAS 18001:2007 will be considered as being “Withdrawn” taking account the three-year migration period. This will be communicated by the OHSAS Project Group to the NSBs that use OHSAS 18001:2007 and to the known local Legislators/Regulators that have adopted it in their local legal frameworks.

The IAF, OHSAS Project Group and the ISO have agreed to a three-year migration period from the publication date of ISO 45001:2018.
NOTE: Any reference to OHSAS 18001:2007 also applies to BS OHSAS 18001:2007 and to any national equivalent standard.

IAF Resolution 2016-15 was passed by the IAF General Assembly in New Delhi, India on 4th November 2016 endorsing a 3-year migration period to ISO 45001:2018.

It is planned that the IAF, OHSAS Project Group and ISO will communicate using all necessary channels about this Migration process. Training packages, Awareness activities, and Webinars are a few examples of what will be created and performed by their members in order to be able to properly inform and encourage existing customers certified to OHSAS 18001:2007 or any equivalent national standard to move to the new standard.

2.2 Validity of Accredited Certifications to OHSAS 18001:2007

The IAF will only promote the acceptance of ISO 45001:2018 accredited certificates after the end of the ISO 45001:2018 migration period.

The expiry date of accredited certifications to OHSAS 18001:2007 issued during the migration period shall correspond to the end of the three-year migration period.

NOTE: Where local legislation/regulation requires accredited OHSMS certification and the legislation/regulation has not been amended to reference ISO 45001, the validity of accredited certification to BS OHSAS 18001 (or national equivalent standard) may be extended.

3. SPECIFIC GUIDANCE FOR INTERESTED PARTIES INVOLVED IN CERTIFICATION AND ACCREDITATION

For any organisation, the degree of change necessary will be dependent upon the maturity and effectiveness of the current management system and organisational structure and practices. Therefore, an impact analysis/gap assessment is strongly recommended in order to identify realistic resource and time implications.

3.1 Organizations Using OHSAS 18001:2007

Organizations using OHSAS 18001:2007 are recommended to take the following actions:

i) Obtain a copy of ISO 45001 (or a copy of the earlier Final Draft International Standard if early planning and adaptation is preferred).
ii) Identify the gaps in the OHSMS which need to be addressed to meet any new requirements.

iii) Develop an implementation plan.

iv) Ensure that any new competence needs are met and create awareness for all parties that have an impact on the effectiveness of the OHSMS.

v) Update the existing OHSMS to meet the new requirements and provide verification of its effectiveness.

vi) Where applicable, liaise with their Certification Body for migration arrangements.

NOTE: Users should be aware that technical changes can occur in the development of a standard following the Draft International Standard (DIS) or later draft stage document before the International Standard (IS). While organizations can start their preparations at the DIS or later draft stage document before the IS, significant changes to the OHSMS should not be implemented until the technical content is finalized, i.e. either at the Final Draft International Standard (FDIS) stage, or when the standard is published.

4. IAF MIGRATION REQUIREMENTS

4.1 Implementation of Migration of Certification from OHSAS 18001:2007 to ISO 45001:2018

This document is intended to allow for early planning and adoption of the new requirements of ISO 45001:2018, taking into account changes that may still occur during the DIS or later draft stage document before the IS.

While planning activities are encouraged during the DIS or later draft stage document before the IS, it is recommended that organisations exercise caution as there may still be further technical changes until the standard is published.

CB’s shall keep track of all evaluation activities during the DIS stage or latest draft stage document before the IS for full verification at the time of the migration audit to ISO 45001:2018.

4.2 General Requirements for Accreditation Bodies and Certification Bodies

4.2.1 Accreditation Bodies

The implementation shall, wherever possible, be verified during normal scheduled activity, noting that there may be some need for additional assessment time.
Additional assessments may be necessary for a CB requesting accreditation within an accelerated timeframe.

AB’s shall, at the earliest opportunity, communicate their migration arrangements and requirements to their accredited CB’s. It is recommended that the migration arrangements take account of the following:

i) Training and verification of competence of assessors and other staff, including the training related to auditing of control of OH&S risks.

   NOTE: AB’s are encouraged to commence training at the DIS stage but additional training may be required to address any differences between the latest draft stage document and the final published standard.

ii) The AB shall develop its migration programmes to make full use of available time, including carrying out as much activity as possible at the DIS or latest draft stage document in order to enable accreditation for the new standard to be available at the earliest opportunity. Recognizing the risk associated with utilizing a draft document and the need for potential additional activity upon the final document.

   iii) Assessments that include the migration to ISO 45001:2018 shall focus on changes to be implemented by CB’s as a result of implementing the new standard: primary consideration should be given to consistent interpretation of the requirements, competence, reporting and any associated change in audit methodology. The assessment will also need to review the CB’s arrangements for migrating its clients.

   iv) For accredited OHSAS 18001:2007 CB’s that have issued only accredited OHSAS 18001:2007 certificates, at a minimum the AB shall conduct a documentation review for a minimum of one assessor man-day.

      a. If the output of the review is positive the new accreditation certificate may be issued.

      b. If the output is negative the AB will decide about any additional evaluation needed (i.e. additional documentation review or an office assessment or witnessing an audit conducted by the CB).

NOTE 1: AB’s should note that ISO/CASCO WG 48 is developing ISO/IEC TS 17021-10 which will include specific competence requirements for auditing and certification to an OHSMS. Furthermore, it is to be noted that a new IAF MD on OH&SMS is under development and that it shall be used for all ISO 45001:2018 accreditation activities.
4.2.2 Certification Bodies

CB’s are encouraged to start briefing their clients from the DIS stage and can, if requested, start to perform gap analysis between their clients’ systems and the DIS.

CB’s shall keep track of all evaluation activities during the DIS stage or latest draft stage document before the IS for full verification at the time of the migration audit to ISO 45001:2018.

Accredited certifications to ISO 45001:2018 shall only be issued once the CB has been accredited to deliver certification to the new standard and after the organization has demonstrated conformity to ISO 45001:2018.

Based on the agreement with the organizations certified to OHSAS 18001:2007, CB’s can conduct migration activities during a routine surveillance, recertification audit or a special audit. Where migration audits are carried out in conjunction with scheduled surveillance or recertification (i.e. progressive or staged approach) then a minimum of 1 auditor man-day is required to be added to cover existing and new requirements implied by ISO 45001:2018. Recognizing that each client and migration audit is unique and audit duration will be increased above the minimum as needed to sufficiently demonstrate conformity to ISO 45001:2018.

CB’s shall communicate their migration arrangements to their clients at the earliest opportunity. It is recommended that this is done at the DIS or latest draft stage document before the IS.

CB’s shall develop migration plans to address the following:

i) Training and verification of competence of auditors and other staff.

   NOTE 1: While CB’s are encouraged to commence training at the DIS stage, they should be aware that additional training may be required to address any differences between the DIS or latest draft stage document and the final published standard.

   NOTE 2: CB’s should note that ISO/CASCO WG 48 is developing ISO/IEC TS 17021-10 which will include specific competence requirements for auditing and certification to an OHSMS. Furthermore, it is to be noted that a new IAF MD on OH&SMS is under development and that it shall be used for all ISO 45001:2018 accreditation activities.

ii) The CB’s arrangements for communicating with its clients.
iii) The CB’s arrangements for auditing conformity to the new standard. For example, will it be a single visit or a staged approach.

iv) How the CB will ensure clients’ ongoing conformity to OHSAS 18001:2007 through the migration process.

v) How the CB plans to use the results of any evaluation activities conducted during the DIS or latest draft stage document before the IS.

vi) Action to be taken in respect of clients that have failed to complete the migration by three years after the publication of ISO 45001:2018. For example, the level of audit necessary for certification to be restored.

The following shall also be ensured:

i) All issues that require client action for conformity with the new requirements shall be clearly identified and raised as documented findings.

ii) Only when all identified outstanding issues have been appropriately addressed and the effectiveness of the management system demonstrated, can auditors recommend certification to the published ISO 45001:2018 standard.

iii) Records shall be available to verify that all prior migration audit findings have been evaluated for corrective action and conformity before any recommendation for approval to ISO 45001:2018 can be made.

iv) The CB shall ensure that the evaluation of a client’s conformity to the new requirements during the migration phase does not interfere with the client’s on-going conformity to OHSAS 18001:2007.

v) Where evaluation activities have taken place at the DIS or FDIS, a review will be undertaken by the Decision Maker to ensure the validity of such activity is taken into account in the decision process.

vi) The decision to issue certification to ISO 45001:2018 shall only be made once actions in respect of all outstanding major non-conformities have been reviewed, accepted and verified and the client’s corrective action plan for any minor non-conformities has been reviewed and accepted.

NOTE: It is expected that all AB’s and CB’s are aware of the document AAPG Paper – Good practices for AB’s and CAB’s in the Transition to ISO 9001:2015 that, even if related to a different standard, are very important to be also considered in the context of this migration process. The AAPG paper can be downloaded free of charge at http://www.iaf.nu/articles/Accreditation_Auditing_Practices_Group_(AAPG)/20).
Referral to IAF ID 10 for transition of ISO 14001:2015 should also be referred to for good practices.

End of IAF Mandatory Document Requirements for the Migration to ISO 45001:2018 from OHSAS 18001:2007

Further Information:

For further Information on this document or other IAF documents, contact any member of IAF or the IAF Secretariat.

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