

ACCREDITATION SCHEME FOR
AUDITING ORGANISATIONS

CT 17

SAC CRITERIA FOR ACCREDITATION OF AUDITING ORGANISATIONS

CT 17, 15 Jul 2020

The SAC Accreditation Programme is managed by Enterprise Singapore

1 Introduction

1.1 This document specifies the SAC criteria for accreditation of Auditing Organisations (AOs) and refers to ISO/IEC 17021-1 - *Requirements for bodies providing audit and certification of management systems*.

1.2 The main section of this document, applies to all AOs. The specific requirements for different types of AOs and their respective audit criteria are specified in the Appendices, as appropriate:

Appendix 1 – Specific requirements for safety and health management system (SHMS) audits

Appendix 2 – Specific requirements for bizSAFE risk management audits

1.3 The criteria for conducting audits are given in the respective Appendix. As the criteria are not dated, the latest editions of the criteria are applicable.

1.4 The following terms in ISO/IEC 17021-1 are amended to be applicable to AOs and they apply throughout the standard:

- “Certified” amended to “audited”
- “Certification” amended to “auditing”
- “Certification activities” amended to “auditing services”
- “Certification agreement” amended to “auditing agreement”
- “Certification body” amended to “auditing organization”
- “Certification requirements” amended to “auditing requirements”

2 Reference

Clause 2 of ISO/IEC 17021-1 is applicable.

3 Terms and definitions

Clause 3 of ISO/IEC 17021-1 is applicable except where amended below:

- Clause 3.4
 - 3rd party audit
audit carried out by an auditing organisation independent of the client and the parties that rely on the audit
Notes 2 and 3 are deleted
- Clause 3.5
 - client
organisation whose management system is audited
- *Clause 3.15 is deleted*

4 Principles

Clause 4 of ISO/IEC 17021-1 is applicable except where amended below:

- *Clause 4.4.2 is deleted*
- Clause 4.5.1 is amended to:
 - An AO needs to provide public access to, or disclosure of, appropriate and timely information about its audit process in order to gain confidence in the integrity and credibility of auditing. Openness is a principle of access to, or disclosure of, appropriate information.
- Clause 4.8 is amended to:
 - AOs need to take into account the risks associated with providing competent, consistent and impartial auditing. Risks may include, but are not limited to, those associated with:
 - the objectives of the audit;
 - the sampling used in the audit process;
 - real and perceived impartiality;
 - legal, regulatory and liability issues;
 - the client organization being audited and its operating environment;
 - impact of the audit on the client and its activities;
 - health and safety of the audit teams;
 - perception of interested parties;
 - misleading statements by the audited client;
 - use of marks.

5 General requirements

5.1 Legal and contractual matters

Clause 5.1 is applicable except where amended below:

- Clause 5.1.3 is amended to:
 - The AO shall be responsible for and shall retain authority for its decision relating to its auditing.

5.2 Management of impartiality

Clause 5.2 is applicable except where amended below:

- Clauses 5.2.1 is amended to:
 - Auditing activities shall be undertaken impartially. The AO shall be responsible for the impartiality of its auditing activities and shall not allow commercial, financial or other pressures to compromise impartiality.
- Clause 5.2.2 is amended to:
 - The AO shall have top management commitment to impartiality in auditing activities.
- Clause 5.2.4 – *Clause is deleted*
- Clause 5.2.5 is amended to:
 - The AO shall not audit any organisation that the AO and any part of the same legal entity and any entity under the organizational control of the AO [see 9.5.1.2, bullet b)] has provided Management System consultancy of the organisation for the past 2 years. Examples of Management System consultancy include consultancy on Quality management systems, Environmental management systems and Occupational safety and health management systems.
- Clause 5.2.10 is amended to:
 - In order to ensure that there is no conflict of interest, personnel who have provided Management System consultancy of the organisation, including those acting in a managerial capacity, shall not be used by the AO to take part in an audit if they have been involved in Management System consultancy of the client for the past 2 years.
- Clause 5.2.12 is amended to:
 - All AO personnel, either internal or external, who could influence the auditing activities shall act impartially and shall not allow commercial, financial or other pressures to compromise impartiality.

5.3 Liability and financing

Clause 5.3 of ISO/IEC 17021-1 is applicable.

6 Structural requirements

6.1 Organizational structure and top management

Clause 6.1 of ISO/IEC 17021-1 is applicable except where amended below:

- Item e) is amended to 'development of auditing services and schemes'
- Item f) is amended to 'performance to audits and responsiveness to complaints'
- *Item g) is deleted*

An additional clause is added to Clause 6.1:

6.1.5 The personnel with operational control for the AO shall be different from the personnel with operational control of related consultancy company.

6.2 Operational control

Clause 6.2 of ISO/IEC 17021-1 is applicable.

7 Resource requirements

7.1 Competence of personnel

Clause 7.1 of ISO/IEC 17021-1 is applicable except where amended below:

- Clause 7.1.1 is amended to:
 - The AO shall have processes to ensure that personnel have appropriate knowledge and skills relevant to auditing and the geographical areas in which it operates.
- Clause 7.1.2 is amended to:
 - The AO shall have a process for determining the competence criteria for personnel involved in the management and performance of audits. Competence criteria shall be determined with regard to the requirements of each type of management system standard or specification and for each technical area. The output of the process shall be the documented criteria of required knowledge and skills necessary to effectively perform audit tasks to be fulfilled to achieve the intended results. Annex

A specifies the knowledge and skills that an AO shall define for specific functions. Where additional specific competence criteria have been established for a specific standard or scheme, these shall be applied.

NOTE

The term “technical area” is applied differently depending on the management system standard being considered. For any management system, the term is related to products, processes and services in the context of the scope of the management system standard. The technical area can be defined by a specific scheme or can be determined by the AO.

7.2 Personnel involved in the auditing activities

Clause 7.2 of ISO/IEC 17021-1 is applicable except where amended below:

- Clause 7.2.1 is amended to:
 - The AO shall have sufficient competent personnel for managing and supporting the range and type of auditing schemes.
- *Clause 7.2.8 is deleted*

7.3 Use of individual external auditors and external technical experts

Clause 7.3 of ISO/IEC 17021-1 is applicable.

7.4 Personnel records

Clause 7.4 of ISO/IEC 17021-1 is applicable.

8 Information requirements

8.1 Public information

Clause 8.1.1 of ISO/IEC 17021-1 is applicable except where amended below:

- *Item b) is deleted*
- Item c) is amended to ‘Types of auditing schemes which it operates’
- Item e) is amended to ‘Processes for handling requests for information and complaints’

8.2 Testimony of audit

The heading of Clause 8.2 of ISO/IEC 17021-1 is amended to “Testimony of audit”

- Clause 8.2.1 of ISO/IEC 17021-1 is applicable as amended below:
 - The AO may provide a testimony of the audit conducted to the audited client by any means it chooses.
- Clause 8.2.2 of ISO/IEC 17021-1 is applicable as amended below:
 - When a testimony of the audit conducted is provided, it shall identify the following:
 - a) the name and geographical location of each audited client (or the geographical location of the headquarters and any sites within the scope of a multi-site audit);
 - b) the date(s) of the audit conducted;
 - c) the management system standard and/or other normative document, including indication of issue status (e.g. revision date or number) used for audit of the client;
 - d) the scope of audit;
 - e) the name, address and mark of the AO;
 - f) any other information required by the standard and/or other normative document used for audit.

The SAC Mark shall not be used on a testimony issued to audited clients.

8.3 Reference to auditing and use of marks

Clause 8.3 is not applicable except for Clause 8.3.4 which is amended as given below:

- An AO shall through legally enforceable arrangements require that the audited client:
 - a) does not use or permit the use of the AO’s audit report or testimony or the AO’s mark in communication media such as the Internet, brochures or advertising, or other documents;
 - b) does not make or permit any misleading statement regarding the audit;
 - c) does not use or permit the use of an audit report or testimony or any part thereof in a misleading manner.

8.4 Confidentiality

Clause 8.4 of ISO/IEC 17021-1 is applicable.

8.5 Information exchange between an AO and its clients

Clause 8.5 of ISO/IEC 17021-1 is applicable except where amended below:

- Clause 8.5.1 is amended to:
 - Item a) is amended to 'a detailed description of the initial audit activity, including the application'
 - Item c) is amended to 'information about the fees for application and auditing'
 - Item d) is amended to:
 - 1) comply with auditing requirements;
 - 2) make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of audit and resolution of complaints;
 - 3) make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation assessors or trainee auditor).
 - Item e) is amended to 'documents describing the rights and duties of audited clients, including requirements, when making reference to its auditing in communication of any kind in line with the requirements in Clause 8.3;
 - Item f) is amended to 'information on processes for handling complaints'

9 Process requirements

9.1 Pre-audit activities

Clause 9.1 of ISO/IEC 17021-1 is applicable except where amended below:

- Clause 9.1 – The heading is amended to “Pre-audit activities”
- Clause 9.1.1 is amended to:

- The AO shall require an authorized representative of the applicant organization to provide the necessary information to enable it to establish the following:
 - a) the desired scope of the audit;
 - b) relevant details of the applicant organization, including its name and the address(es) of its site(s), its processes and operations, human and technical resources, functions, relationships and any relevant legal obligations;
 - c) identification of outsourced processes used by the organization that will affect conformity to requirements;
 - d) the standards or other requirements for which the applicant organization wishes to be audited;
 - e) whether consultancy relating to the areas to be audited has been provided and, if so, by whom.
- Clause 9.1.2.1 is amended to:
 - The AO shall conduct a review of the application and supplementary information to ensure that:
 - a) any known difference in understanding between the AO and the applicant organization is resolved;
 - b) the AO has the competence and ability to perform the audit activity;
 - c) the site(s) of the applicant organization's operations, time required to complete audits and any other points influencing the auditing activity are taken into account (language, safety conditions, threats to impartiality, etc.).
- Clause 9.1.2.2 is amended to:
 - Following the review of the application, the AO shall either accept or decline an application. When the AO declines an application as a result of the review of application, the reasons for declining an application shall be documented and made clear to the client. The AO shall determine the number of auditors for the audit and the audit duration.
- *Clause 9.1.3 is deleted*
- Clause 9.1.4 – Determining audit time
 Clause 9.1.4 is applicable except for Clause 9.1.4.2, *Note 2 which is deleted.*

9.2 Planning audits

Clause 9.2 of ISO/IEC 17021-1 is applicable except where amended below:

- Clause 9.2.1.2 - In the Note of item b), 'certification audit' is amended to 'audit'

- Clause 9.2.2.1.2 - In the Note, 'standards' is amended to 'requirements'
- Clause 9.2.3.1 - *Note is deleted*
- Clause 9.2.3.3 - 'Management system standard' is amended to 'management system standards/requirements'

9.3 Audit

Heading is amended to 'Audit'

Clause 9.3 is amended as follows:

- Clause 9.3.1 An audit comprises the following components:
 - Preparation
 - On-site audit
 - Report writing

Clause 9.3.2 to 9.3.6 are clauses not found in ISO/IEC 17021-1.

- Clause 9.3.2 The preparation may include document review of the client's management system documented information to determine whether the documented information meets the audit criteria and identification of any additional documents needed for review. The preparation also includes planning for the on-site audit.
- Clause 9.3.3 The time for preparation depends on several factors such as:
 - First audit to be conducted on the site
 - The same auditor conducts subsequent audit(s) on the same site
 - A new auditor conducts subsequent audit(s) on the site
- Clause 9.3.4 More time will be spent on preparation, including document review, if it is the first audit to be conducted or if a new auditor conducts a subsequent audit.
- Clause 9.3.5 The purpose of the on-site audit is to evaluate the implementation, including effectiveness, of the client's management system. It shall include the auditing of at least the following:
 - a) information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;
 - b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);

- c) the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
- d) operational control of the client's processes;
- e) internal auditing and management review;
- f) management responsibility for the client's policies.

- Clause 9.3.6 Update of management system
As part of the preparation for a subsequent on-site audit, the auditor shall obtain updates of the necessary information regarding the scope of the management system during the past period, including:
 - significant changes on the management system;
 - change of management structure and/or key personnel; and
 - status of the improvement plan and remedial actions, including actions taken to address the nonconformities raised during the last audit, where applicable.

9.4 Conducting audits

Clause 9.4 of ISO/IEC 17021-1 is applicable except where amended below:

- Clause 9.4.1 - *Note is deleted*
- Clause 9.4.2 - Add new item 'p) Obtain approval from the client, at least verbally, if the auditor(s) intend to take photographs during the audit.' and amend current item p) to q).
- Clause 9.4.5.1 - *The 2nd part of the sentence 'to enable an informed certification decision to be made or the certification to be maintained' is deleted*
- Clause 9.4.5.3 - The last line is amended to 'The auditor however shall refrain from suggesting solutions'.
- Clause 9.4.6 - 'audit conclusion' is amended to 'audit findings', *and Item d) is deleted.*
- Clause 9.4.7.1 is amended to:
 - A formal closing meeting, where attendance shall be recorded, shall be held with the client's management and, where appropriate, those responsible for the functions or processes audited. The purpose of the closing meeting, usually conducted by the audit team leader, is to present the audit findings arising from audits conducted to prescribed specifications and other applicable standards. Any audit findings shall be presented in such a manner that they are understood.

Note: "Understood" does not necessarily mean that the audit findings have been accepted by the client.

- Clause 9.4.7.2 is amended to:
 - The closing meeting shall also include the following elements where the degree of detail shall be consistent with the familiarity of the client with the audit process:
 - a) advising the client that the audit evidence obtained was based on a sample of the information; thereby introducing an element of uncertainty;
 - b) the method and timeframe of reporting, including any grading of audit findings (eg. minor non-conformity, observation for improvement), where applicable;
 - c) information about the complaint handling processes.

- Clause 9.4.7.3 - *In line 2, 'or conclusion' is deleted.*

- Clause 9.4.8.2 is amended to:
 - The audit team leader shall ensure that the audit report is prepared and shall be responsible for its content. The audit report shall provide an accurate, concise and clear record of the audit and shall include or refer to the following:
 - a) identification of the auditing organisation;
 - b) the name and address of the client and the client's representative;
 - c) the type of audit;
 - d) the audit criteria;
 - e) the audit objectives;
 - f) the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;
 - g) any deviation from the audit plan and their reasons;
 - h) identification of the audit team leader, audit team members and any accompanying persons;
 - i) the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
 - j) audit findings (eg. minor non-conformity, observation for improvement) and reference to evidence;
 - k) significant changes, if any, that affect the management system of the client since the last audit took place, if applicable;
 - l) any unresolved issues, if identified;
 - m) where applicable, whether the audit is combined, joint or integrated;
 - n) a disclaimer statement indicating that auditing is based on a sampling process of the available information;
 - o) verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.

In addition, the SAC Mark shall be included on the first page of the audit report and the AO logo should preferably be located next to the SAC Mark, with reference to SAC 02 - *Rules for Use of SAC Accreditation Marks and Mutual Recognition Arrangement (MRA) Marks*.

- *Clauses 9.4.8.3, 9.4.9 and 9.4.10 are deleted.*

9.5 Certification decision

Clause 9.5 of ISO/IEC 17021-1 is deleted. However, the auditing organization shall ensure that before issuance, the audit report shall be approved by person(s) or committee(s) who are different from those who carried out the audits and shall have appropriate competence, based on ISO/IEC 17021-1 Annex A Table A.1 for 'Reviewing audit reports'.

9.6 Maintaining certification

Clause 9.6 of ISO/IEC 17021-1 is deleted.

9.7 Appeals

Clause 9.7 of ISO/IEC 17021-1 is deleted.

9.8 Complaints

Clause 9.8 of ISO/IEC 17021-1 is applicable.

9.9 Clients records

Clause 9.9 of ISO/IEC 17021-1 is applicable except where amended below:

- Clause 9.9.1 is amended to:
 - The AO shall maintain records on the applications submitted, audits of all clients and other records relating to the audits conducted.
- Clause 9.9.2 is amended to:
 - Records on audited clients shall include the following:
 - a) application information and audit reports;
 - b) auditing agreement;
 - c) justification of the methodology used for sampling of sites, as appropriate;
Note: Methodology of sampling includes the sampling employed to audit the specific management system and/or to select sites in the context of multi-site audit.
 - d) justification for auditor time determination (see 9.1.4);
 - e) records of complaints and any subsequent correction or corrective actions;

- f) auditing documents, including the scope of audit;
 - g) related records necessary to establish the credibility of the audit, such as evidence of the competence of auditors and technical experts.
- Clause 9.9.4 is amended to:
 - The AO shall have a documented policy and documented procedures on the retention of records.

10 Management system requirements for AOs

Clause 10 of ISO/IEC 17021-1 is applicable.

Annexes to ISO/IEC 17021-1

The Annexes of ISO/IEC 17021-1 are applicable except where amended below:

1. Annex A (Normative) - Required knowledge and skills
 - Annex A is applicable except to amend 3rd column title of *Table A.1 to 'Reviewing audit reports'*.
 - Row 4 of Table A.1 is amended to 'Knowledge of auditing organisation's processes.
 - A.3 is amended to:
 - Competence requirements for personnel reviewing audit reports
 - A.3.1 – 'a certification' is deleted.
 - A.3.2 – 'certification sufficient to make a decision on the basis of a certification audit' is deleted.
 - A.3.3 – change title to 'Knowledge of auditing organisation's processes
 - A.3.3 – 'to determine if expectations of the certification body have been fulfilled on the basis of the information submitted' is deleted.
 -
2. Annex E (Informative) - Audit and certification process
 - *Annex E is deleted*

Specific Requirements for Safety and Health Management System (SHMS) Audits

The requirements in the main section of this document or relevant clauses of ISO/IEC 17021-1 (where the clauses are not indicated in the main section) are applicable except where amended below. The clause numbers below refer to the clause number in the main section of this document.

1.3 The criteria used for conducting audits are:

Scope	Audit Criteria
Shipyards ¹	Workplace Safety & Health Requirements for Marine Industries ⁴
Construction worksite	Requirements for the Construction Safety Audit Scoring System (ConSASS) ⁴
Metalworking industry ²	Requirements on the Implementation of Safety Management System for the Metalworking Industry ⁴
Oil refinery or petrochemical plant / Semiconductor wafer fabrication plant / Chemical manufacturing plant / Pharmaceutical plant / Bulk storage terminal ³	SS 506 Part 3 or SS 651 ⁵
Other industries	SS 506 Part 1 or ISO 45001 ⁶

¹ For shipyard industry, SAC accredited certificates to SS506 Part 1 or ISO45001 will be equivalent to meeting the legal SHMS Audit requirements provided:

- (i) the certificates are issued by SAC-accredited Certification Bodies, with detailed coverage of Workplace Safety and Health Requirements for Marine Industries; and
- (ii) the auditors meet the requirements in Clause 7.1.2 in Appendix 1, are listed on SAC AO schedule and are MOM-approved WSH Auditors.

² For metalworking industry, SAC accredited certificates to SS506 Part 1 or ISO45001 will be equivalent to meeting the legal SHMS Audit requirements provided:

- (i) the certificates are issued by SAC-accredited Certification Bodies, with detailed coverage of Requirements on the Implementation of Safety Management System for Metalworking Industry; and
- (ii) the auditors meet the requirements in Clause 7.1.2 in Appendix 1, are listed on SAC AO schedule and are MOM-approved WSH Auditors.

³ For Oil refinery or petrochemical plant / Semiconductor wafer fabrication plant / Chemical manufacturing plant / Pharmaceutical plant / Bulk storage terminal industries, SAC accredited certificates to SS506 Part 3 or SS 651 will be equivalent to meeting the legal SHMS Audit requirements provided the certificates are issued by SAC-accredited Certification Bodies, and the auditors used meet the requirements in Clause 7.1.2 in Appendix 1, are listed on SAC AO schedule and are MOM-approved WSH Auditors.

⁴The current versions of the audit criteria are to be used. The current versions of the auditing criteria can be found at MOM website at www.mom.gov.sg

⁵Accredited AO shall cease conducting audits to SS 506 Part 3 after 31 December 2021.

⁶Accredited AO shall cease conducting audits to SS 506 Part 1 after 11 March 2021.

5.2.3 *In Clause 5.2.3, the 3rd paragraph “The risk assessment process shall include identification of and consultation with appropriate interested parties to advise on matters affecting impartiality including openness and public perception. The consultation with appropriate interested parties shall be balanced with no single interest predominating” is deleted.*

However, in cases where an AO is formed by an Association, an Impartiality Committee has to be formed by the AO. The AO has to demonstrate that the Impartiality Committee is independent of and its decisions are not influenced by the Association Members.

Notes 2 and 3 are deleted where an Impartiality Committee is not required.

5.2.5 & 5.2.10 Only conflicting issues directly related to the scope of audit shall be considered as conflict of interest and the following cases apply:

- Examples of conflict of interest:
 - a) An AO is part of a parent organisation and the parent organisation is audited by the AO;
 - b) An AO audits a subsidiary of the same parent organisation as the AO though the subsidiary has influence over the decision making process of the AO;
 - c) The same person / AO provides WSHO consultancy and conducts SHMS audit for the same project;
 - d) The same person / AO develops the corporate SHMS (including IMS) and conducts SHMS audit for any projects or at corporate level;
 - e) The same person / AO develops corporate QMS/EMS and conducts SHMS for the project; or
 - f) An AO provides a WSH officer for Project A of XYZ organisation and conducts a SHMS audit for Project B of XYZ organisation;
 - g) An AO provides WSH officer(s) to the same organisation;
 - h) The management of the AO (including directors and shareholders) is part of or whole of a consultancy organisation (including managerial capacity) which provides management systems consultancy and auditing to the same organisation.

A recognized mitigation of this threat is:

- Personnel / AO shall not be used to conduct the audit for a minimum of two years following the end of the consultancy of the corporate QMS/EMS, or
- Personnel / AO shall not be used to conduct the audit for the duration of the project where consultancy was provided.

In addition, Clause 5.2.10 is amended to:

In order to ensure that there is no conflict of interest, personnel including individual external auditors who have provided management system consultancy to the organisation and including those acting in managerial capacity, shall not be used by the AO to take part in an audit if they have been involved in providing management system consultancy to the organisation for the past 2 years. The AO shall not provide auditing services to an organisation if any of the AO's external auditors:

- a) is currently employed by the organization on contract of service or contract for service; or

- b) has been involved in providing management system consultancy of the organisation for the past 2 years.

7.1.2 Determination of competence criteria

The competence criteria of auditors are given below:

Criteria	Auditor	Lead Auditor
Personal Attributes	Demonstrate personal attributes for effective and efficient performance of audits	
Qualification	i) Relevant degree holder (see Note 1) or ii) Registered WSH Officer	
Working / practical experience in relevant fields	i) Registered WSH Officer <ul style="list-style-type: none"> • At least 8 years from the date of registration as WSH Officer ii) Relevant degree holder <ul style="list-style-type: none"> • At least 7 years of WSH experience iii) Relevant degree holder and Registered WSH Officer <ul style="list-style-type: none"> • At least 5 years of WSH experience from date of registration as WSH Officer 	
Auditor Training	<u>For Lead Auditors:</u> i) Successfully completed a recognised “OHSMS Lead Assessor Course and ii) Successfully completed the Graduate Certificate in WSH under the Singapore Workforce Skills Qualifications (WSQ) Framework for WSH Professionals (Level “D”) (See Note 4) and iii) Attended recognised auditor migration training on ISO 45001 by 11 March 2020. <u>For Auditors:</u> i) Successfully completed the Graduate Certificate in WSH under the Singapore Workforce Skills Qualifications (WSQ) Framework for WSH Professionals (Level “D”)(See Note 4) and ii) Attended recognised auditor migration training on ISO 45001 by 30 September 2021.	
Audit Experience	i) At least 5 years of practical experience relevant to the work to be performed by an auditor; or ii) At least 3 years of practical experience relevant to the work to be performed by an auditor, if he is a WSH Officer at the time of application as an auditor.	

Criteria	Auditor	Lead Auditor
	Performed a minimum of 4 audits as a qualified auditor within the immediate past 2-year period with a total minimum duration of 10 auditor days on site (See Note 5)	i) Performed a minimum of 4 audits as a qualified auditor within the immediate past 2-year period with a total minimum duration of 10 auditor days on site ; and ii) Performed a minimum of 3 additional audits in the capacity as the lead auditor within a 2-year period with a minimum total duration of 10 auditor days on site iii) See Note 5
Maintenance of qualification (once every 3 years)	Performed a minimum of 4 audits with a total minimum duration of 10 auditor days on site at the end of immediate past 3-year cycle. (See Note 6)	i) Performed a minimum of 4 audits with a total minimum duration of at least 10 auditor days on site at the end of immediate past 3-year cycle; and ii) At least 2 of these audits shall be in the capacity as the lead auditor. iii) See Note 6
	Continual Professional Development (CPD) on WSH concepts and development for attending at least 10 hours of structured and 10 hours of non-structured programme per year—such as training, seminar, conference (See Note 7 and 8) or the equivalent CPD as in maintaining the valid WSHO Registration	

Notes

- 1) A recognized university degree in engineering, physics, chemistry, biochemistry, ergonomics, occupational safety, occupational health or occupational hygiene.
- 2) The audit team of an Auditing Organisation has to be led by a Team Leader who is qualified as a team leader for OSH management system and meets the above requirements.
- 3) OSH management system audits can be initial or subsequent audits.
- 4) A recognized 5-days MOM 'Workshop for Safety Auditors' will be considered equivalent.
- 5) Audits refer to external audits independent of the client. Audit experience for initial accreditation can include SAC accredited certification audits based on SS 506 Part 1 and/or ISO 45001. Alternatively, trainee auditors can participate in the SHMS audit shadowing approved auditors showing proof that they had participated in the SHMS audit as trainees.

- 6) Audits refers to external audits carried out by an Auditing Organisation, independent of the client. The auditing organisation shall ensure that at least 75% of the external audits are on the SHMS while the remaining 25% can be external audits on management systems certification audits.
- 7) The definition of structured and non-structured programme can be found on MOM website.

AO shall update MOM promptly on any change to auditor status as per SAC-AO Schedule for publication on MOM webpage.

7.3 Use of individual external auditors and external technical experts.

Clause 7.3 of ISO/IEC 17021-1 is applicable except where amended below:

- AOs shall ensure that appointed external auditors are not external auditors of another AO. AOs are required to promptly inform the Singapore Accreditation Council whenever there is a change of their external auditors.
- When external auditors are used, an AO has to analyse whether there is any risk to impartiality and any risk identified has to be eliminated or minimized. The AO shall maintain records of the analysis.

7.5 Outsourcing

Clause 7.5 of ISO/IEC 17021-1 is deleted.

8.2 Testimony of audit

A template of the Testimony of audit conducted is given in Annex 1 to Appendix 1.

9. Process Requirements

9.1.4 Determining audit time

The minimum time for conducting an audit is given in Annex 2 to Appendix 1. Auditing shall be conducted on consecutive working days without unnecessary break.

9.1.5 Multi-site sampling

This clause is not applicable.

9.2.1.3 *The 2nd sentence "Where the initial or re-certification process consists of*

more than one audit (e.g. covering different sites), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document” is deleted.

9.2.2.1.1 This clause is amended to:

- The AO shall have a process for selecting and appointing the audit team, including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality. An audit team will comprise at least 2 auditors, of which 1 auditor is the team leader. The audit team shall have the totality of the competences identified by the auditing body as set out in 9.1.2.3 for the audit.

9.4.7.2 (d) An additional requirement for this clause to be added:

For unsafe condition or unsafe work practice found during the audit that may result in imminent danger to the safety and health of persons at work, WSH auditor shall report to Ministry of Manpower (MOM) if the Auditee refuses to take immediate remedial action or needs more than a day to remedy the unsafe condition or unsafe work practice.

9.9.4 This clause is amended to:

- The AO shall have a documented policy and documented procedures on the retention of records. Records of audited clients and previously audited clients shall be retained for 5 years.

Template of Testimony of Audit Conducted

[Name of Auditing Organisation]
audited the
Safety & Health Management System
of

Organisation audited
[AUDITED ORGANISATION]

Project (if applicable)
[XXXXXXXXXX]

Site Audited
[XXXXXXXXXX]

in accordance with [Audit Criteria]*
*Eg. ConSASS Requirements:YYYY, SS 506 Part 3 :2013,
etc

Date of Audit: DD MM YYYY

Signature & Name

DD MM YYYY
Date

Address of Auditing Organisation

**Please note that SAC mark is
not allowed on the testimony**

Annex 2 to Appendix 1

Minimum Required Audit Duration (On-site Mandays) (Note d)

		Construction worksite			Metalworking industry			Shipyard			Oil refinery or petrochemical plant / Semiconductor wafer fabrication plant / Chemical manufacturing plant / Pharmaceutical plant / Bulk storage terminal	Other Industries
Audit	SIZE (manpower)	Up to 200	201 to 500	>500	Up to 50	51 to 99	≥100	Up to 199	200 to 500	>500	See IAF MD 22 (Note c) for Occupational Health and Safety Management Systems (OH&SMS) in the high complexity category, <u>with a minimum of 4 man-days</u>	See IAF MD 22 (Note c) for Occupational Health and Safety Management Systems (OH&SMS).
	1 st Initial Audit		2 (Note a)			2 (Note b)	2 (Note b)	3 (Note b)	2	3		
Subsequent Audit		3	4	5	1	2	2					

Factors that will increase the audit time include the following:

- i. Complicated logistics involving more than one building or location where work is carried out;
- ii. Staff speaking in more than one language [requiring interpreter(s) or preventing individual auditors from working independently];
- iii. Very large site for the number of personnel;
- iv. System covers highly complex processes or relatively high number of unique activities;
- v. Activities that require visiting temporary sites to confirm the activities of the permanent site(s);
- vi. Views of interested parties;

- vii. Accident rate higher than average for the business sector;
- viii. The organisation is facing legal proceedings related to OH&S or any target OH&S enforcement programme(s) from the authorities (depending on the severity of the matters involved);
- ix. The presence of many (sub)contractors causing an increase in complexity or OH&S risks (e.g. periodical shutdowns or turnaround of refineries, chemical plants, steel manufacturing plants and other large industrial complexes, which require a temporary large increase of staff of (sub)contractors to perform the planned activities of inspection, maintenance, and repair of plant units and equipment);
- x. Where dangerous substances are present in quantities exposing the plant to the risk of major industrial accidents.

- Notes:**
- (a) First initial audit for a worksite is to be completed within 6 months upon commencement of work activities at the worksite. The audit duration of construction worksites started operation more than 6 months ago will be based on the duration of a subsequent audit
 - (b) Initial audit refers to the audit by an Auditing Organisation of the workplace for the first time, after the 1st initial audit or a subsequent audit has been conducted by another Auditing Organisation. The duration of an initial audit for metalworking industries will be based on the duration of the 1st initial audit.
 - (c) IAF MD 22 - Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS). For SHMS subsequent audits, Auditing Organisations shall consider the audit as an initial audit in IAF MD 22.
 - (d) Total mandays in the above table exclude off-site report writing. All auditors in the audit team shall be present on-site for at least one day in order to have adequate time for site appreciation and assessment, unless the total on-site audit duration is 1 manday.

Specific Requirements for bizSAFE Risk Management Audits

The requirements in the **main section and Appendix 1 of this document** or relevant clauses of ISO/IEC 17021-1 (where the clauses are not indicated in the main section) are applicable except where amended below. The clause numbers below refer to the clause number in the main section of this document.

- 1.3 The criteria used for conducting audits shall be based on Code of Practice on Workplace Safety and Health (WSH) Risk Management.

The current versions of the audit criteria are to be used. The current versions of the auditing criteria can be found at WSHC website at www.wshc.sg

- 7.2 For audit experience and maintenance of qualification (once every 3 years), at least 75% of the audits shall be on external Risk Management or SHMS audits and the remaining 25% can be on external management systems audits.

7.5 Outsourcing

Clause 7.5 of ISO/IEC 17021-1 is deleted.

8.2 Testimony of audit

A template of the Testimony of audit conducted is given in Annex 1 to Appendix 2.

9. Process Requirements

9.1.4 Determining audit time

The minimum time for conducting an audit is given in Annex 2 to Appendix 2.

9.1.5 Multi-site sampling

This clause is only applicable for risk management audits under bizSAFE programme for enterprise with same UEN number for all worksites/locations/branches with similar business nature under the same top management. At minimum, 10% of the total number of worksites/locations/branches shall be visited for each enterprise. Every

function/operation of the enterprise shall be visited based on the ratio of the function/operation to the whole enterprise's operations. The 10% worksite/locations/branches selected at each 3-year cycle of bizSAFE audit shall be different from the worksite/locations/branches selected from the previous 3-year cycle.

For enterprise with unique UEN number for each worksites/locations/branches or worksites/locations/branches with different business nature or worksites/locations/branches managed by different top management, all worksites/locations/branches shall be audited.

9.2.1.3 *The 2nd sentence "Where the initial or re-certification process consists of more than one audit (e.g. covering different sites), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document" is deleted.*

9.2.2.1.1 This clause is amended to:

- The AO shall have a process for selecting and appointing the audit team, including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality.
- For risk management audit for enterprise with more than 200 employees, at least a Lead Auditor shall be assigned to perform the audit if only one auditor is on-site. An Auditor is allowed to performed the risk management audit on enterprise with 200 or less employees.
- The audit team shall have the totality of the competences identified by the auditing body as set out in 9.1.2.3 for the audit.

9.9.4 This clause is amended to:

- The AO shall have a documented policy and documented procedures on the retention of records. Records of audited clients and previously audited clients shall be retained for 5 years.

Template of Testimony of Audit Conducted

[Name of Auditing Organisation]
audited the
Risk Management
of

Organisation audited
[AUDITED ORGANISATION]

Project (if applicable)
[XXXXXXXXXX]

Site Audited
[XXXXXXXXXX]

in accordance with [Audit Criteria]*
**Eg. Code of Practice on Workplace Safety and Health (WSH)*
Risk Management

Date of Audit: DD MM YYYY

Signature & Name

DD MM YYYY
Date

Address of Auditing Organisation

**Please note that SAC mark is
not allowed on the testimony**

Annex 2 to Appendix 2

Minimum Required Audit Duration per Enterprise (On-site Mandays)

		Construction (See Note a)			Metalworking industry (See Note a)	Shipyard (See Note a)		Oil refinery or petrochemical plant / Semiconductor wafer fabrication plant / Chemical manufacturing plant / Pharmaceutical plant / Bulk storage terminal (See Note a)	Other Industries (See Note c)				
Audit	SIZE (manpower) See Note b	Up to 200	201 to 500	>500	Any manpower size	Up to 500	>500	Any manpower size	Complexity (See table in Note c)	Up to 200	201 to 500	>500	
		1	1.5	2		1	1			2	2	High	1.0
Minimum Audit Duration					1	1		2		Medium	0.5	1	1.5
									Low	0.5	0.5	1	

- Notes:** (a) Based on the number of worksites/locations/branches of the enterprise, the number of man-days should be justified for the number of on-site man-days conducted.
- (b) The effective size (manpower) is the number of number of employees under the direct employment of the enterprise.
- (c) The below table on complexity of the business sectors is referenced from Table OH&SMS 2 of IAF MD 22 for Occupational Health and Safety Management Systems.

Complexity	Business Sector
High	<ul style="list-style-type: none"> • fishing (offshore, coastal dredging and diving) • mining and quarrying • manufacture of coke and refined petroleum products • oil and gas extraction • tanning of textiles and clothing • pulping part of paper manufacturing including paper recycling processing • oil refining • chemicals (including pesticides, fabrication of batteries and accumulators), and pharmaceuticals • manufacturing of fibreglass • gas production, storage and distribution • electricity generation and distribution • nuclear • storage of large quantities of hazardous material • non-metallic processing and products covering ceramics, concrete, cement, lime, plaster, etc. • primary productions of metals • hot and cold forming and metal fabrication • manufacturing and assembly of metal structures • shipyards (depending on the activities could be medium) • aerospace industry • automotive industry • manufacturing of weapons and explosives • recycling of hazardous waste • hazardous and non-hazardous waste processing e.g. incineration etc. • effluent and sewerage processing

Complexity	Business Sector
	<ul style="list-style-type: none"> • industrial and civil construction and demolition (including building completion with electrical, hydraulic and air conditioning installation activities) • slaughter houses • transport and distribution of dangerous goods (by land, air and water) • defence activities/crisis management • healthcare/hospitals/veterinary/social works
Medium	<ul style="list-style-type: none"> • aquaculture (breeding, rearing, and harvesting of plants and animals in all types of water environments) • fishing (offshore fishing is high) • farming/forestry (depending on the activities could be high) • food, beverage and tobacco – processing • textiles and clothing except for tanning • manufacturing of wood and wooden products including manufacturing of boards, treatment/impregnation of wood • paper production and paper products excluding pulping • non-metallic processing and products covering glass, ceramics, clay, etc. • general mechanical engineering assembly • manufacturing of metallic products • 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) • production of bare printed circuit boards for electronics industry • rubber and plastic injection moulding, forming and assembly • electrical and electronic equipment assembly • manufacturing of transport equipment and their repairs - road, rail and air (depending on the size of the equipment, could be high) • recycling, composting, landfill (of non-hazardous waste) • water abstraction, purification and distribution including river management (note commercial effluent treatment is graded as high)

Complexity	Business Sector
	<ul style="list-style-type: none"> • fossil fuel wholesale and retail (depending on the amount of fuel, could be high) • transport of passengers (by air, land and sea) • transport and distribution of non-dangerous goods (by land, air and water) • industrial cleaning, hygiene cleaning, dry cleaning normally part of general business services • research & development in natural and technical sciences (depending on the business sector could be high). Technical testing and laboratories • hotels, leisure services and personal services excludes restaurants • education services (depending on the object of teaching activities could be high or low)
Low	<ul style="list-style-type: none"> • corporate activities and management, HQ and management of holding companies • wholesale and retail (depending on the product, could be medium or high, e.g. fuel) • general business services except industrial cleaning, hygiene cleaning, dry cleaning and education services • transport and distribution - management services with no actual fleet to manage • engineering services (could be medium depending on type of services) • telecommunications and post office services • restaurants and campings • commercial estate agency, estate management • research & development on social sciences and humanities • public administration, local authorities • financial institutions, advertising agency