ISO 45001:2018 Master Internal Audit Checklist

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Before you begin auditing, review and edit the process name list in Cell B273. This will populate the drop-down menus in Column E and various axes within the audit result charts. Use the drop-down menu in Column F to select one of four audit findings defined by the audit criteria. Column G will automatically display a recommendation based on the audit finding. The response is then automatically represented as an 'x' in either Column H, I, J, or K. These columns are hidden. The indicator in Column L will update according to the perceived level of risk, e.g., minor or major. (Ref. Clause 6.4.8, ISO 19011:2018). Use the drop-down menus in Col M to select an appropriate root-cause. You can change this list by editing the root-cause list in Cell M273. Describe how to correct a nonconformance or adopt an opportunity in Col N. Record audit evidence, such as document numbers and revisions in Col O.

					Audit Findings & Actions					
Ref No.	**Clause Title**	**Q-No**	**Requirements/Questions**	**Process Name**	**Audit Result**	**Recommendations**	**Score**	**Possible Root-cause**	**Action Plan**	**Audit Evidence & Notes**
4.1	Organizational Context	1	Has your organization determined external and internal issues (Incl. climate change) that are relevant to its purpose that could affect its ability to achieve the intended result(s) of its management system?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Poor employee involvement	Reinforce training	
4.2a	Relevant Interested Parties	2	Has your organization determined other interested parties, in addition to workers that are relevant to its OH&S management system?	Business Planning	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Process - Procedures or work-instructions were inadequate/non-existent	Review and rewrite WI	
4.2b	Relevant Interested Parties	3	Has your organization determined the requirements (Incl. those relating to climate change) of the interested parties and workers that are considered relevant to the management system?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Lack of skill, training or experience	Reinforce training	
4.2c	Relevant Interested Parties	4	Has your organization determined which of those requirements are, or could become, legal or other requirements?	Design & Development	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Management System Scope	5	Has your organization determined the boundaries and applicability of its OH&S management system to establish its scope?	Business Review	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Process - Procedure was contradictory or confusing	Review and rewrite procedure	
4.3a	Management System Scope	6	When determining this scope, has your organization considered the external and internal issues referred to in 4.1?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Inadequate management involvement	Reinforce training	
4.3b	Management System Scope	7	When determining this scope, has your organization considered the requirements of its interested parties referred to in 4.2?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3c	Management System Scope	8	When determining this scope, has your organization taken into account the planned and performed work-related activities?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Management System Scope	9	When determining this scope, has your organization considered its activities, products and services, under its control or influence, that can impact the performance of its OH&S management system?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Management System Scope	10	Does your organization ensure that the scope of its OH&S management system is available to interested parties and is maintained as documented information (See 7.5.1)?	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Poor employee involvement	Review training procedure	
4.4	OH&S Management System	11	Has your organization established, implemented, maintained and continually improved its OH&S management system, including the processes needed and their interactions, in accordance with the requirements of ISO 45001:2018?	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Review scope	
5.1a	Leadership & Commitment	12	Does Top Management demonstrate leadership and commitment to the OH&S management system by taking overall responsibility and accountability for the prevention of work-related injury and ill health, as well as the provision of safe and healthy workplaces and activities?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Human error	Reinforce training	
5.1b	Leadership & Commitment	13	Does Top Management demonstrate leadership and commitment to the OH&S management system by ensuring that your organization's OH&S policies and objectives are established and documented, and are compatible with your organization's strategic direction (See 6.2) and its context (See 4.0)?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1c	Leadership & Commitment	14	Does Top Management demonstrate leadership and commitment to the OH&S management system by ensuring that OH&S system requirements are integrated into your organization's processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1d	Leadership & Commitment	15	Does Top Management demonstrate leadership and commitment to the OH&S management system by ensuring that your organization has the required resources available to implement, maintain and improve OH&S management system?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1e	Leadership & Commitment	16	Does Top Management demonstrate leadership and commitment to the OH&S management system by communicating the importance of an effective OH&S management and for conforming to such requirements?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1f	Leadership & Commitment	17	Does Top Management demonstrate leadership and commitment to the OH&S management system by ensuring that your organization's OH&S management system achieves its intended outcomes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1g	Leadership & Commitment	18	Does Top Management demonstrate leadership and commitment to the OH&S management system by directing and supporting personnel who contribute to the effectiveness of the OH&S management system?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1h	Leadership & Commitment	19	Does Top Management demonstrate leadership and commitment to the OH&S management system by promoting continual improvement?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1i	Leadership & Commitment	20	Does Top Management demonstrate leadership and commitment to the OH&S management system by supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1j	Leadership & Commitment	21	Does Top Management demonstrate leadership and commitment to the OH&S management system by developing, leading and promoting a culture in the organization that supports the intended outcomes of the OH&S management system?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1k	Leadership & Commitment	22	Does Top Management demonstrate leadership and commitment to the OH&S management system by protecting workers from reprisals when reporting incidents, hazards, risks and opportunities?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Did not follow procedures, a one-time lapse	Review training procedure	
5.1l	Leadership & Commitment	23	Does Top Management demonstrate leadership and commitment to the OH&S management system by ensuring the organization establishes and implements a process(es) for consultation and participation of workers (See 5.4)?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Physically unable perform the task	Reassign duties	
5.1m	Leadership & Commitment	24	Does Top Management demonstrate leadership and commitment to the OH&S management system by supporting the establishment and functioning of health and safety committees, (See 5.4 e)	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Review previous management review minutes	
5.2a	OH&S Policy	25	Has Top Management established, implemented and maintained an OH&S policy that includes a commitment to provide safe and healthy working conditions for the prevention of work-related injury and ill health and is appropriate to the purpose, size and context of the organization and to the specific nature of its OH&S risks and OH&S opportunities?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2b	OH&S Policy	26	Has Top Management established, implemented and maintained an OH&S policy that provides a framework for setting the OH&S objectives?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2c	OH&S Policy	27	Has Top Management established, implemented and maintained an OH&S policy that includes a commitment to fulfil legal requirements and other requirements?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2d	OH&S Policy	28	Has Top Management established, implemented and maintained an OH&S policy that includes a commitment to eliminate hazards and reduce OH&S risks (See 8.1.2)	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2e	OH&S Policy	29	Has Top Management established, implemented and maintained an OH&S policy that includes a commitment to continual improvement of the OH&S management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2f	OH&S Policy	30	Has Top Management established, implemented and maintained an OH&S policy that includes a commitment to consultation and participation of workers, and, where they exist, workers' representatives?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	OH&S Policy	31	Does Top Management ensure that the OH&S policy is available as documented information?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			