HSEQ Master Internal Audit Checklist

Quick Links: Guidance | Result Charts | Process Report | Action Report | Compliance Report

Before you begin auditing, review and edit the process name list in Cell B489. This will populate the drop-down menus in Column F and various axes within the audit result charts. Use the drop-down menu in Column G to select one of four audit findings defined by the audit criteria. Column H will automatically display a recommendation based on the audit finding. The response is then automatically represented as an 'x' in either Column I, J, K or L. These columns are hidden. The indicator in Column M 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 N to select an appropriate root-cause. You can change this list by editing the root-cause list in Cell N489. Describe how to correct a nonconformance or adopt an opportunity in Col O. Record audit evidence, such as document numbers and revisions in Col P.

						Audit Findings & Actions					
Ref No.	**Clause Title**	**Q-No**	**Standard**	**Requirements/Questions**	**Process Name**	**Audit Result**	**Recommendations**	**Score**	**Possible Root-cause**	**Action Plan**	**Audit Evidence & Notes**
4.1	Organizational Context	1	9001, 14001 & 45001	Has your organization determined external and internal issues (Incl. whether climate change is a relevant issue) are applicable to its purpose and its strategic direction that affect its ability to achieve the intended result(s) of its HSEQ management system?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Poor employee involvement	Reinforce training	
4.1	Organizational Context	2	9001, 14001 & 45001	Does your organization monitor and review information about these external and internal issues?	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	
4.2a	Relevant Interested Parties	3	9001, 14001 & 45001	Does your organization determine the interested parties and workers that are relevant to the HSEQ 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	
4.2b	Relevant Interested Parties	4	9001, 14001 & 45001	Does your organization determine the requirements (Incl. those relating to climate change) of these interested parties and workers that are relevant to the HSEQ management system, which may include regulatory requirements, local, regional or global environmental conditions that can affect, or be affected by, your organization?	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	5	14001 & 45001	Does your organization determine which of those requirements are to be managed as a compliance obligation or legal requirement in order to mitigate adverse risk or exploit beneficial opportunities that can be integrated into the operational planning of the HSEQ management system?	Design & Development	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Management System Scop	6	9001, 14001 & 45001	Does your organization determine the boundaries and applicability of the HSEQ 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 Scop	7	9001, 14001 & 45001	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 Scop	8	9001, 14001 & 45001	When determining this scope, has your organization considered the requirements of relevant 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 Scop	9	9001, 14001 & 45001	When determining this scope, has your organization considered all relevant products, services and work-related activities, functions and physical boundaries to the HSEQ management system?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3d	Management System Scop	10	14001	When determining this scope, has your organization considered its activities, products, services and work-related activities and related product lifecycles, such as, 1. raw material acquisition, 2. manufacture, 3. packaging/transport/delivery, 4. use, 5. end of life treatment, and 6. final disposal?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3e	Management System Scop	11	14001	When determining this scope, has your organization considered its activities, products and services over which it has the authority and to exercise control and influence?	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Poor employee involvement	Review training procedure	
4.3	Management System Scop	12	9001, 14001 & 45001	Has your organization applied all the requirements of ISO 9001:2015, ISO 14001:2015 and ISO 45001:2018 if they are applicable within the determined scope of the HSEQ management system?	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Review scope	
4.3	Management System Scop	13	9001	Does the scope state the types of products and services covered, and provide justification for any requirement of ISO 9001:2015 that your organization determines is not applicable to the scope of its HSEQ management system?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Human error	Reinforce training	
4.3	Management System Scop	14	14001 & 45001	When determining scope, has your organization considered and documented its ability and authority to control and influence factors relating to external and internal issues?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Management System Scop	15	9001, 14001 & 45001	Is the scope of your organization's HSEQ management system available and maintained as documented information and available to interested parties and workers? (See 7.5.1a)	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4	Management System Proce	16	9001, 14001 & 45001	Has your organization established, implemented, maintained and continually improved its HSEQ management system, including the processes needed and their interactions, in accordance with the requirements of ISO 9001:2015, ISO 14001:2015 and ISO 45001:2018?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4	Management System Proce	17	14001	Has your organization has considered the knowledge and information obtained by 4.1 and 4.2 when implementing and operating it HSEQ management system?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4	Management System Proce	18	9001, 14001 & 45001	Has your organization determined the process required for the HSEQ management system, including their interactions, in accordance with requirements and their application throughout the organization?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1a	Management System Proce	19	9001	Has your organization determined the inputs required and the outputs expected from these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1b	Management System Proce	20	9001	Has your organization determined the sequence and interaction of these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1c	Management System Proce	21	9001	Has your organization determined and applied the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1d	Management System Proce	22	9001	Has your organization determined the resources needed for these processes and ensure their availability?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.1e	Management System Proce	23	9001	Has your organization assigned responsibilities and authorities for these processes?	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	
4.4.1f	Management System Proce	24	9001	Has your organization addressed the risks and opportunities as determined in accordance with the requirements of 6.1?	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	
4.4.1g	Management System Proce	25	9001	Has your organization evaluated these processes and implement any changes needed to ensure that these processes achieve their intended results?	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	
4.4.1h	Management System Proce	26	9001	Does your organization improve the processes and the HSEQ management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.2a	Management System Proce	27	9001	To the extent necessary, does your organization maintain documented information to support the operation of its processes?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4.2b	Management System Proce	28	9001	To the extent necessary, does your organization retain documented information to have confidence that the processes are being carried out as planned?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1a	General	29	9001, 14001 & 45001	Has Top Management demonstrated leadership and commitment to the HSEQ management system by taking accountability for the effectiveness of your organization's HSEQ management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1b	General	30	9001, 14001 & 45001	Has Top Management demonstrated leadership and commitment to the HSEQ management system by ensuring that your organization's environmental policies and objectives are established and documented, and are compatible your organization's goals (See 6.2) and its context (See 4.0)?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1c	General	31	9001, 14001 & 45001	Has Top Management demonstrated leadership and commitment to the HSEQ management system by ensuring that HSEQ requirements are integrated into your organization's processes?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1d	General	32	9001	Does Top management demonstrate leadership and commitment with respect to the HSEQ management system by promoting the use of the process approach and risk-based thinking?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1.1e/d	General	33	9001, 14001 & 45001	Has Top Management demonstrated leadership and commitment to the HSEQ management system by ensuring that your organization has the required resources to implement it?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			