**ISO 45001:201**

**Occupational Health & Safety Management Systems Standard**

**INTERNAL AUDIT QUESTIONS**

**ISO 45001 Internal Audit FinalChecksheet.docx**

**NOTE: Proprietary Eagle Force, Inc. Information**

**Process/Function Audited \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_**

**Auditor(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Other Information: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

## Note: The following questions are to be answered by the internal

## auditors with a “yes” or “no” followed by the evidence (documentation, records, observations, questioning, etc.) supporting the answer.

**4 Context of the organization**

**4.1 Understanding the organization and its context**

**Question 4-1**

Has the organization determined the external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended results of the OH&S management system?

**Question 4-2**

Does the organization monitor and review information about these external and internal issues?

**4.2 Understanding the needs and expectations of interested parties**

**Question 4-3**

Has the organization determined:

1. the interested parties that are relevant to the OH&S management system;
2. the requirements of these interested parties that are relevant to the OH&S management system
3. Which of these needs and expectations are, or could become legal or other requirements?

**4.3 Determining the scope of the OH&S management system**

**Question 4-4**

Has the organization determined the boundaries and applicability of the OH&S management system to establish its scope?

**Question 4-5**

When determining this scope, did the organization consider:

* the external and internal issues referred to in 4.1;
* the requirements of relevant interested parties referred to in 4.2;
* the products and services of the organization?

**Question 4-6**

Does the organization apply all the requirements of ISO 45001 if they are applicable within the scope of the OH&S management system?

**Question 4-7**

Is the scope of the OH&S management system available and maintained as documented information?

**Question 4-8**

Does the scope state the types of products and services covered, and provide justification for any requirement of ISO 45001 that the organization determines is not applicable to the scope of its OH&S management system?

**4.4 OH&S management system and its processes**

**Question 4-9**

Has the organization established, implemented, maintained and continually improved the OH&S management system, including the processes needed and their interactions, in accordance with the requirements of ISO 45001?

**Leadership**

**5.1 Leadership and commitment**

**Question 5-1**

Does top management demonstrate leadership and commitment with respect to the OH&S management system by:

1. taking accountability for the effectiveness of the OH&S management system;
2. ensuring that the OH&S policy and OH&S objectives are established for the OH&S management system and are compatible with the context and strategic direction of the organization;
3. ensuring the integration of the OH&S management system requirements into the organization’s business processes;
4. ensuring that the resources needed for the OH&S management system are available;
5. communicating the importance of effective OH&S management and of conforming to the OH&S management system requirements;
6. ensuring that the OH&S management system achieves its intended results;
7. engaging, directing and supporting persons to contribute to the effectiveness of the OH&S management system;
8. promoting improvement;
9. supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility;
10. developing, leading and promoting a culture supporting the intended OH&S outcomes;
11. protecting workers from reprisals for reporting incidents, hazards, risks and opportunities;
12. encouraging consultation and participation of workers;
13. supporting OH&S committees?

**5.2 OH&S Policy**

**Question 5-2**

Has top management established, implemented and maintained a OH&S policy that:

1. is appropriate to the purpose and context of the organization and supports its strategic direction;
2. provides a framework for setting OH&S objectives;
3. includes a commitment to satisfy legal and other requirements;
4. includes a commitment to eliminate hazards and reduce OH&S risks;
5. includes a commitment to continual improvement of the OH&S management system
6. includes a commitment to worker consultation and participation?

**Question 5-3**

Is OH&S policy:

1. available and maintained as documented information;
2. communicated, understood and applied within the organization;
3. available to relevant interested parties, as appropriate
4. Relevant and appropriate?

**5.3 Organizational roles, responsibilities and authorities**

**Question 5-4**

Has top management ensured that responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization?

**Question 5-5**

Are workers at each organization level taking responsibility for those aspects of the OH&S system over which they have control?

**Question 5-6**

Has top management assigned responsibility and authority for ensuring the OH&S system complies with ISO 45001 requirements and reporting performance to top management?

**5.4 Consultation and Participation of workers**

**Question 5-7**

Has top management established processes for consultation and participation of workers at all applicable levels and functions, and, where they exist workers’ representatives in the development, planning, implementation, performance and improvement of the OH&S management system?

**Question 5-8**

Are workers

* receiving appropriate training, time, and resources for consultation and participation;
* provided timely access to clear, understandable and relevant information about the OH&S management system;
* obstacles or barriers to participation determined and removed, and those that cannot be removed, minimized?

**5.4 Consultation and Participation of workers**

**Question 5-9**

Has emphasis been placed on the **consultation** of non-managerial workers on the following:

1. determining the needs and expectations of interested parties;

2) establishing the OH&S policy;

3) assigning applicable organizational roles, responsibilities and authorities;

4) determining how to fulfill legal requirements and other requirements;

5) establishing OH&S objectives and planning to achieve them;

6) determining applicable controls for outsourcing, procurement and

 contractors;

7) determining what needs to be monitored, measured and evaluated;

8) planning, establishing, implementing and maintaining an audit program;

9) ensuring continual improvement?

**5.4 Consultation and Participation of workers**

**Question 5-10**

Has emphasis been placed on the **participation** of non-managerial workers in the following:

1) determining the mechanisms for their consultation and participation;

2) identifying hazards and assessing risks and opportunities;

3) determining actions to eliminate hazards and reduce OH&S risks;

4) determining competence requirements, training needs, training and

 evaluating training;

5) determining what needs to be communicated and how this will be done;

6) determining control measures and effective implementation;

7) investigating incidents and nonconformities and determining corrective

 actions?

**6 Planning**

**6.1 Actions to address risks and opportunities**

**Question 6-1**

When planning for the OH&S management system, does the organization consider the issues referred to in Context of 4.1, the requirements referred to in Interested parties of 4.2 and Scope of 4.3 to determine the risks and opportunities that need to be addressed to:

1. give assurance that the OH&S management system can achieve its intended result(s);
2. prevent, or reduce, undesired effects;
3. achieve improvement?

**Question 6-2**

Does the organization take into account the following when determining OH&S risks and opportunities:

* hazards
* OH&S and other risks;
* OH&S and other opportunities;
* legal and other requirements?

**Question 6-3**

In the case of permanent or temporary planned changes, are risks and opportunities to OH&S outcomes assessed before the change is implemented?

**Question 6-4**

Does the organization maintain documented information (records) on:

— risks and opportunities;

— the processes and actions needed to determine and address its risks and

 opportunities to the extent necessary to have confidence that they are

 carried out as planned?

**6.1.2.1 Hazard Identification**

**Question 6-5**

Is there a process for hazard identification that is ongoing and proactive?

**Question 6-6**

Does the hazard identification process take into account, but not limited to:

1. how work is organized, social factors, leadership and the culture in the organization;
2. routine and non-routine situations, including hazards arising from:

1) infrastructure, equipment, materials, and workplace conditions;

2) product and service design, development, testing, production, service, maintenance and disposal;

3) human factors;

4) how the work is performed;

c) past relevant incidents, including emergencies, and their causes;

d) potential emergency situations;

e) people, including consideration of:

1) those with access to the workplace and their activities, including workers, contractors, visitors and others;

2) those in the vicinity of the workplace who can be affected by the activities of the organization;

3) workers at a location not under the direct control of the organization;

f) other issues, including consideration of:

1) the design of work areas, processes, equipment, procedures and work organization, and their adaptation to the needs and capabilities of the workers involved;

2) situations occurring at the workplace caused by work-related activities under the control of the organization;

3) Uncontrolled but occurring situations at the workplace that can cause injury and ill health to workers;

g) actual or proposed changes in organization, operations, processes, activities and the OH&S management system;

h) changes in knowledge of, and information about, hazards?

**6.1.2.2 Assessment of OH&S risks and other risks to the OH&S management system**

**Question 6-7**

Has the organization established, implemented and maintains a process to:

1. assess OH&S risks from the identified hazards, while taking into account the effectiveness of existing controls;
2. determine and assess the other risks related to the establishment, implementation, operation and maintenance of the OH&S management system?

**Question 6-8**

Has the criteria for assessment of OH&S risks been defined with respect to their scope, nature and timing to ensure they are proactive rather than reactive and are used in a systematic way?

**Question 6-9**

Is documented information (records) maintained and retained on the methodology and criteria?

**6.1.2.3 Assessment of OH&S opportunities and other opportunities for the OH&S management system**

**Question 6-10**

Has the organization established, implemented and maintains a process to:

1. assess OH&S opportunities to enhance OH&S performance, while taking into account planned changes to the organization, its policies, its processes or its activities and:

1) opportunities to adapt work, work organization and work environment to workers;

2) opportunities to eliminate hazards and reduce OH&S risks;

 b) assess other opportunities for improving the OH&S management system?

**NOTE:**

* **ISO 45001 is not prescriptive with respect the tools or methods used for hazard identification and assessment.**
* **Your organization is to determine and use the most effective tools and methods for your organization, given that you meet all applicable legal and regulatory requirements.**
* **The tools and methods should be described in procedures along with how often they are used.**
* **Make certain that records are kept of the risks identified, risk assessment, and actions taken to mitigate the identified risks**
* **Evaluate OH&S opportunities and evaluate secondary effects of actions taken.**

**Question 6-11**

Has the organization established, implemented and maintained processes to:

1. determine and have access to up-to-date legal requirements and other requirements that are applicable to its hazards, OH&S risks and OH&S management system;
2. determine how these legal requirements and other requirements apply to the organization and what needs to be communicated;
3. take these legal requirements and other requirements into account when establishing, implementing, maintaining and continually improving its OH&S management system?

**Question 6-12**

Does the organization maintain and retain documented information on its legal requirements and other requirements, and does it ensure that it is updated to reflect any changes?

**Question 6-13**

Does the organization plan:

1. actions to:
2. address risks and opportunities;
3. address legal requirements and other requirements;
4. prepare for and respond to emergency situations;

b) how to:

1. integrate and implement the actions into its OH&S management system processes or other business processes;
2. evaluate the effectiveness of these actions?

**Question 6-14**

Does the organization take into account the hierarchy of controls and outputs from the OH&S management system when planning to take action?

**Question 6-15**

When planning actions, does the organization consider best practices, technological options and financial, operational and business requirements?

**Question 6-16**

Has organization established OH&S objectives at relevant functions and levels in order to maintain and continually improve the OH&S management system and OH&S performance.?

**Question 6-17**

Are the OH&S objectives:

a) consistent with the OH&S policy;

b) measurable (if practicable) or capable of performance evaluation;

c) taking into account:

1) applicable requirements;

2) the results of the assessment of risks and opportunities;

3) the results of worker or their representatives consultation;

d) monitored;

e) communicated;

f) updated as appropriate?

**Question 6-18**

When planning actions, does the organization consider best practices, technological options and financial, operational and business requirements?

**Question 6-19**

When planning how to achieve its OH&S objectives, does the organization determine:

a) what will be done;

b) what resources will be required;

c) who will be responsible;

d) when it will be completed;

e) how the results will be evaluated, including indicators for monitoring;

f) how the actions to achieve OH&S objectives will be integrated into the organization’s business processes?

**Question 6-20**

Does the organization maintain and retain documented information (Records) on the OH&S objectives and plans to achieve them?

**7 Support**

**7.1 Resources**

**Question 7-1**

Has the organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&S management system?

**7.2 Competence**

**Question 7-2**

Does The organization:

a) determine the necessary competence of workers that affects or can affect its OH&S performance;

b) ensure that workers are competent (including the ability to identify hazards) on the basis of appropriate education, training or experience;

c) where applicable, take actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken;

d) retain appropriate documented information (records) as evidence of competence?

**7.3 Awareness**

**Question 7-3**

Are workers made aware of:

1. the OH&S policy and OH&S objectives;
2. their contribution to the effectiveness of the OH&S management system, including the benefits of improved OH&S performance;
3. the implications and potential consequences of not conforming to the OH&S management system requirements;
4. incidents and the outcomes of investigations that are relevant to them;
5. hazards, OH&S risks and actions determined that are relevant to them;
6. the ability to remove themselves from work situations that they consider present an imminent and serious danger to their life or health, as well as the arrangements for protecting them from undue consequences for doing so?

**7.4.1 Communication**

**Question 7-4**

Has the organization established, implemented and maintains processes for internal and external communications relevant to the OH&S management system, including determining:

a) on what it will communicate;

b) when to communicate;

c) with whom to communicate:

1. internally among various organization levels and functions;

2) among contractors and visitors to the workplace;

3) among other interested parties;

d) how to communicate?

**Question 7-5**

Does the organization take into account diversity aspects (e.g. gender, language, culture, literacy, disability) when considering its communication needs?

**Question 7-6**

Does the organization ensure the views of external interested parties are considered in establishing its communication processes?

**Question 7-7**

Do the communication processes:

— take into account legal and other requirements;

— ensure OH&S information to be communicated is consistent with

 information generated within the OH&S system, and is reliable?

**Question 7-8**

Does the organization respond to relevant communications on its OH&S system?

**Question 7-9**

As appropriate, does the organization retain documented information (records) as evidence of its communications?

**7.4.2 Internal Communication**

**Question 7-10**

Does the organization:

a) internally communicate information relevant to the OH&S system among the various levels and functions of the organization, including, as appropriate, OH&S changes;

b) ensure its communication processes enable workers to contribute to continual improvement?

**7.4.3 External communication**

**Question 7-11**

Does the organization communicate externally information relevant to the OH&S system, as established by the organization’s communication processes and taking into account its legal requirements and other requirements?

**7.5.1 General**

**Question 7-12**

Does the organization’s OH&S management system include:

a) documented information required by ISO 45001;

b) documented information determined by the organization as being necessary for the effectiveness of the OH&S system?

**7.5.2 Creating and updating**

**Question 7-13**

When creating and updating documented information, does the organization ensure appropriate:

a) identification and description (e.g. a title, date, reference number);

b) format (e.g. language, software, graphics) and media (e.g. paper, electronic);

c) review and approval for suitability and adequacy?

**8 Operation**

**8.1 Operational planning and control**

**8.1.1 General**

**Question 8-1**

Does the organization plan, implement, control and maintain the processes needed to meet requirements of the OH&S management system, and to implement the actions from risk analysis by:

a) establishing criteria for the processes;

b) implementing control of the processes per the criteria;

c) maintaining and retaining documented information (procedures and records) necessary to have confidence that the processes are carried out as planned;

d) adapting work to workers?

**8.1 Operational planning and control**

**8.1.2 Eliminating hazards and reducing OH&S risks**

**Question 8-2**

Has the organization established, implemented and maintains processes for the elimination of hazards and reduction of OH&S risks using the following hierarchy of controls:

a) eliminate the hazard;

b) substitute with less hazardous processes, operations, materials or equipment;

c) use engineering controls and reorganization of work;

d) use administrative controls, including training;

e) use adequate personal protective equipment?

**8.1 Operational planning and control**

**8.1.3 Management of change**

**Question 8-3**

Has the organization established processes for the implementation and control of planned temporary and permanent changes that impact OH&S performance, including:

a) new products, services and processes, or changes to existing products, services and processes, including:

— workplace locations and surroundings;

— work organization;

— working conditions;

— equipment;

— work force;

b) changes to legal requirements and other requirements;

c) changes in knowledge or information about hazards and OH&S risks;

d) developments in knowledge and technology?

**8.1 Operational planning and control**

**8.1.3 Management of change**

**Question 8-4**

Does the organization review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary?

**8.1 Operational planning and control**

**8.1.4 Procurement**

**8.1.4.1 General**

**Question 8-5**

Has the organization established, implemented and maintained processes to control the procurement of products and services in order to ensure conformity to the OH&S system requirements?

**8.1.4 Procurement**

**8.1.4.2 Contractors**

**Question 8-6**

Does the organization coordinate procurement processes with its contractors, in order to identify hazards and to assess and control the OH&S risks arising from:

a) the contractors’ activities and operations that impact the organization;

b) the organization’s activities and operations that impact the contractors’ workers;

c) the contractors’ activities and operations that impact other interested parties in the workplace?

**Question 8-7**

Does the organization ensure the requirements of its OH&S management system are met by contractors and their workers?

**Question 8-8**

Do the organization’s procurement processes define and apply occupational health and safety criteria for the selection of contractors?

**8.1.4 Procurement**

**8.1.4.3 Outsourcing**

**Question 8-9**

Does the organization ensure that outsourced functions and processes are controlled?

**Question 8-10**

Does the organization ensure that its outsourcing arrangements are consistent with legal requirements and other requirements and with achieving the intended outcomes of the OH&S system?

**Question 8-11**

Is the type and degree of control to be applied to these functions and processes defined within the OH&S management?

**8.2 Emergency preparedness and response**

**Question 8-12**

Has the organization established, implemented and maintained processes to respond to potential emergency situations, including:

a) establishing a planned response to emergency situations, including the provision of first aid;

b) providing training for the planned response;

c) periodically testing and exercising the planned response capability;

d) evaluating performance and, as necessary, revising the planned response, including after testing and, in particular, after the occurrence of emergency situations;

e) communicating and providing relevant information to all workers on their duties and responsibilities;

f) communicating relevant information to contractors, visitors, emergency response services, government authorities and, as appropriate, the local community;

g) taking into account the needs and capabilities of all relevant interested parties and ensuring their involvement, as appropriate, in the development of the planned response?

**8.2 Emergency preparedness and response**

**Question 8-13**

 Does the organization maintain and retain documented information (procedures and records) on the processes and on the plans for responding to potential emergency situations?

**9 Performance evaluation**

**9.1.1 General**

**Question 9-1**

Has the organization established, implemented and maintained a processes for monitoring, measurement, analysis and performance evaluation?

**Question 9-2**

Has the organization determined:

a) what needs to be monitored and measured, including:

1) the extent to which legal requirements and other requirements are fulfilled;

2) its activities and operations related to identified hazards, risks and opportunities;

3) progress towards achievement of the organization’s OH&S objectives;

4) effectiveness of operational and other controls;

b) the methods for monitoring, measurement, analysis and performance evaluation, as applicable, to ensure valid results;

c) the criteria against which the OH&S performance is evaluated;

d) when the monitoring and measuring shall be performed;

e) when the results from monitoring and measurement are analyzed, evaluated and communicated?

**Question 9-3**

Does the organization evaluate the OH&S performance and determine the effectiveness of the OH&S management system?

**Question 9-4**

Does the organization ensure monitoring and measuring equipment is calibrated or verified as applicable, and is used and maintained as appropriate?

**9.1 Monitoring, measurement, analysis & performance evaluation**

**9.1.1 General**

**Question 9-5**

Does the organization retain appropriate documented information (records):

— as evidence of the results of monitoring, measurement, analysis and performance evaluation;

— on the maintenance, calibration or verification of measuring equipment?

NOTE There can be legal requirements or other requirements (e.g. national or international standards) concerning the calibration or verification of monitoring and measuring equipment.

**9.1.2 Evaluation of compliance**

**Question 9-6**

Has the organization established, implemented and maintains a processes for evaluating compliance with legal requirements and other requirements?

**Question 9-7**

Does the organization:

a) determine the frequency and methods) for the evaluation of compliance;

b) evaluate compliance and take action if needed (see 10.2);

c) maintain knowledge and understanding of its compliance status with legal requirements and other requirements;

d) retain documented information of the compliance evaluation result(s)?

**9.2 Internal audit**

**9.2.1 General**

**Question 9-8**

Does the organization conduct internal audits at planned intervals to provide information on whether the OH&S management system:

a) conforms to:

1) the organization’s own requirements for its OH&S management system, including the OH&S policy and OH&S objectives;

2) the requirements of ISO 45001;

b) is effectively implemented and maintained?

**9.2.2 Internal audit program**

**Question 9-9**

Does the organization:

1. plan, establish, implement and maintain an audit program that includes the frequency, methods, responsibilities, consultation, planning requirements and reporting, that take into consideration the importance of the processes concerned and the results of previous audits;
2. define the audit criteria and scope for each audit;
3. select auditors, train, and conduct audits to ensure objectivity and the impartiality of the audit process;
4. ensure that the results of the audits are reported to relevant managers; ensure that relevant audit results are reported to workers, and, where they exist, workers’ representatives, and other relevant interested parties;
5. take action to address nonconformities and continually improve its OH&S performance;
6. retain documented information as evidence of the implementation of the audit program and the audit results?

**9.3 Management review**

**Question 9-10**

Does top management review the OH&S system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness?

**Question 9-11**

Does the management review include consideration of:

1. the status of actions from previous management reviews;
2. changes in external and internal issues that are relevant to the OH&S system, including:

1) the needs and expectations of interested parties;

2) legal requirements and other requirements;

3) risks and opportunities;

c) the extent to which OH&S policy and objectives have been met;

d) information on OH&S performance, including trends in:

1) incidents, nonconformities, corrective actions and continual improvement;

2) monitoring and measurement results;

3) results of evaluation of compliance with legal requirements and other requirements;

4) audit results;

5) consultation and participation of workers;

6) risks and opportunities;

e) adequacy of resources for maintaining an effective OH&S system;

f) relevant communication(s) with interested parties;

g) opportunities for continual improvement

**9.3 Management review**

**Question 9-12**

Do the management review outputs include decisions related to:

— the continuing suitability, adequacy and effectiveness of the OH&S

 system in achieving its intended outcomes;

— continual improvement opportunities;

— any need for changes to the OH&S system;

— resources needed or actions, if needed;

— opportunities to improve integration of the OH&S management

 system with other business processes;

— any implications for the strategic direction of the organization?

**Question 9-13**

Does top management communicate the relevant outputs of management reviews to workers, and, where they exist, workers’ representatives?

**Question 9-14**

Does the organization retain documented information (records) as evidence of the results of management reviews?

**10 Improvement**

**10.1 General**

**Question 10-1**

Does the organization determine opportunities for improvement and implement necessary actions to achieve the intended outcomes of its OH&S management system?

**10 Improvement**

**10.2 Incident, nonconformity and corrective action**

**Question 10-2**

Has the organization established, implements and maintain processes, including reporting, investigating and taking action, to determine and manage incidents and nonconformities?

**Question 10-3**

When an incident or a nonconformity occurs, does the organization:

a) react in a timely manner to the incident or nonconformity and, as applicable:

1) take action to control and correct it;

2) deal with the consequences;

b) evaluate, with worker participation and involvement of interested parties, the need for corrective action to eliminate root causes of the incident or nonconformity, so it does not recur or occur elsewhere, by:

1) investigating the incident or reviewing the nonconformity;

2) determining the cause(s) of the incident or nonconformity;

3) determining if similar incidents have occurred, if nonconformities exist, or if they could potentially occur;

c) review assessments of OH&S and other risks, as appropriate;

d) determine and implement any action needed, including corrective action, in accordance with the hierarchy of controls (see 8.1.2) and the management of change (see 8.1.3);

e) assess OH&S risks that relate to new or changed hazards, prior to taking action;

f) review the effectiveness of any action taken, including corrective action;

g) make changes to the OH&S management system, if necessary?

**Question 10-4**

Are corrective actions appropriate to the effects or potential effects of the incidents or nonconformities encountered?

**Question 10-5**

Does the organization retain documented information (records) as evidence of:

— the nature of the incidents or nonconformities and any subsequent actions taken;

— the results of any action and corrective action, including their effectiveness?

**Question 10-6**

Does the organization communicate this documented information to relevant workers, and, where they exist, workers’ representatives, and other relevant interested parties?

**10.3 Continual improvement**

**Question 10.7**

Does the organization continually improve the suitability, adequacy and effectiveness of the OH&S management system, by:

a) enhancing OH&S performance;

b) promoting a culture that supports an OH&S management system;

c) promoting the participation of workers in implementing actions for the

 continual improvement of the OH&S management system;

d) communicating the relevant results of continual improvement to

 workers, and, where they exist, workers’ representatives;

e) maintaining and retaining documented information as evidence of

 continual improvement?