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H16			
#	ISO 45001:2018 Clause	Audited Process	Auditor's tips (recommendations) What is being verified (explanations)?
Audit Checklist (preview)			
OH&S Management system conformance to ISO 45001:2018 requirements			
1	Scope	Management review	<i>This clause does not contain any requirements. A <u>good practice</u> is to initiate management response to the question: 'What goals are set (expected) by leadership for the OH&S Management System?' Any answer is acceptable (e.g., the need for certification, increase of efficiency, and so forth).</i>
2	Normative References	Control of documented information	<i>This clause does not contain any requirements. A <u>good practice</u> is to verify the availability of controlled documented information and normative references to it.</i>
3	Terms and definitions	Control of documented information	<i>This clause does not contain any requirements. A good practice is to verify the consistency of terminology in the OH&S Management System Documented information.</i>
4	<u>Context of the organization</u>		
4.1	Understanding the organization and its context		
4.2	Understanding the needs and expectations of interested parties		
4.3	Determining the scope of the OH&S management system		
4.4	OH&S management system and its processes		
5	<u>Leadership and Worker Participation</u>		
5.1	Leadership and commitment		
5.1.1	General		
5.1.2	Customer focus		
5.2	OH&S policy		
5.3	Organizational roles, responsibilities and authorities		
5.4	Consultation and Participation of Workers		

	B	C	D	E
22	6	Planning		
23	6.1	Actions to address risks and opportunities		
24	6.1.2	Hazard Identification and Assessment of Risks and Opportunities		
25	6.1.2.1	Hazard Identification		
26	6.1.2.2	Assessment of OH&S Risks and Other Risks to the OH&S Management System		
27	6.1.2.3	Assessment of OH&S Opportunities and Other Opportunities		
28	6.1.3	Determination of Legal Requirements and Other Requirements		
29	6.1.4	Planning Action		
30	6.2	OH&S Objectives and Planning to Achieve Them		
31	6.2.1	OH&S Objectives		
32	6.2.2	Planning to Achieve OH&S Objectives		
33	7	Support		
34	7.1	Resources		
35	7.2	Competence		
36	7.3	Awareness		
37	7.4	Communication		
38	7.4.1	General		
39	7.4.2	Internal Communication		
40	7.4.3	External Communication		
41	7.5	Documented Information		
42	7.5.1	General		
43	7.5.2	Creating and Updating		
44	7.5.3	Control of Documented Information		
45	8	Operation		
46	8.1	Operational Planning and Control		
47	8.1.1	General		
48	8.1.2	Eliminating Hazards and Reducing OH&S Risks		
49	8.1.3	Management of Change		
50	8.1.4	Outsourcing		
51	8.1.5	Procurement		
52	8.1.6	Contractors		

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45		8	Operation		
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49		8.1.3	Management of Change		
50		8.1.4	Outsourcing		
51		8.1.5	Procurement		
52		8.1.6	Contractors		
53		8.2	Emergency Preparedness and Response		
54		9	Performance Evaluation		
55		9.1	Monitoring, Measurement, Analysis and Evaluation		
56		9.1.1	General		
57		9.1.2	Evaluation of Compliance		
58		9.2	Internal Audit		
59		9.3	Management Review		
60		10	Improvement		
61		10.1	General		
62		10.2	Incident, Nonconformity and Corrective Action		
63		10.3	Continual Improvement		
64		<p>Notes:</p> <p>1. The audit program is usually compiled based on the OH&S Management System processes (or structural subdivisions) of the Organization. In this case it is beneficial to assemble questions from different section of this 'Checklist', that refer to the audited Process (or structural subdivision). To do this, column #4 contains Process name, where the questions should be attributed. Moreover, the Process names are specified in accordance with good practices and may differ from the actual names of the Organization's processes.</p> <p>2. OH&S Management System audit is the compliance spot check, so when planning internal audits, the questions can be spread into several audits.</p> <p>Important:</p> <ul style="list-style-type: none"> • if column #4 'Audited Process' says 'OH&S Management System Processes', the questions should be asked when auditing all OH&S Management System Processes! • if column #4 'Audited Process' says 'OH&S Management', the questions relates to the activities of the OH&S Department 			
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2	#	ISO 45001:2018 Clause	Questions	Conforms Yes/ No	Audited Process	Notes	Auditor's tips (recommendations) What is being verified (explanations)?
3		1	2	3	4		5
4	4	Context of the organization					
5	4.1	Understanding the organization and its context	1. What is the external context of the organization?	<input type="checkbox"/>	Management review OH&S Management System processes		Description of definition and action with respect to the context of the organization is usually given in section 4.1 of the OH&S Manual.
6	What is the internal context of the organization?		<input type="checkbox"/>			<i>It is advisable to link sec.4.1 questions to the Management review questions - sec.9.3.</i>	
7	2. How the information about external context of the organization is monitored and analyzed?		<input type="checkbox"/>				
8	How the information about internal context of the organization is monitored and analyzed?		<input type="checkbox"/>				
9	4.2	Understanding the Needs and Expectations of Workers and Other Interested Parties	1. Who for the organization are interested parties that are relevant to the OH&S Management System?	<input type="checkbox"/>	Management review, OH&S Management		Definition and action with respect to the interested parties are usually described in the section 4.2 of the OH&S Manual and in the 'Management review' procedure. A <i>good practice</i> is to define interested parties in the Mission of the Organization.
10	2. What are the needs and expectations of workers?		<input type="checkbox"/>			A <i>good practice</i> is to formalize interested parties' requirements in the form of Stakeholders Interests Balance table.	
11	3. What are the needs and expectations of other interested parties?		<input type="checkbox"/>			It is beneficial to link questions #1, #2 and #3 of sec.4.2 to the Management review questions - sec. 9.3.	
12	4. In what processes the effort to fulfill stakeholder's interests is: - planned, - performed, - monitored and - improved?		<input type="checkbox"/>	OH&S Management System processes		It is appropriate to verify the activities to meet the interested parties interests in the following processes: - Workers - 'Control of Personnel', ' Internal Communication ' and Consultation and participation of workers (sec.5.4); - Providers, Contractors - 'External Communication', Procurement (sec. 8.1.5), Contractors (sec. 8.1.6); - Shareholders - 'Management review'; - Society, Consumers - 'Marketing'; - Government (interaction with legal framework, including taxation) - 'Management review', 'Control of documented information'.	

	A	B	C	D	E	F	G
29	5.4	Consultation and Participation of Workers	1. What mechanisms (format) are used for consultation and participation of workers?	<input type="checkbox"/>	OH&S Management		Mechanisms and resources for consultation and participation of workers can be identified and provided via: <ul style="list-style-type: none"> • Organization's OH&S meetings; • OH&S training, including briefings; • Inclusion of sections on the distribution of responsibility and authority for OH&S in job descriptions; • Employees' participation in expert groups, including identification of hazards and assessment of risks and opportunities; • Employees' participation in commissions, including investigation of incidents; • Integration of OH&S activities into business processes of the organization; • Emergency preparedness and response; • Discussions of draft OH&S normative documents on the intranet before their approval; • Submitting proposals regarding their needs and expectations, as well as deficiencies or improvements in the OH&S Management System.
30			2. How workers are consulted? [on each of the following issues]	<input type="checkbox"/>	OH&S Management System processes		
31			- determining the needs and expectations of interested	<input type="checkbox"/>			
32			- establishing the OH&S Policy	<input type="checkbox"/>			
33			- assigning organizational roles, responsibilities and authorities as applicable	<input type="checkbox"/>			
34			- determining how to fulfil legal requirements and other requirements	<input type="checkbox"/>			
35			- establishing OH&S objectives and planning to achieve them	<input type="checkbox"/>			
36			- determining applicable controls for outsourcing, procurement and contractors	<input type="checkbox"/>			
37			- determining what needs to be monitored, measured and evaluated	<input type="checkbox"/>			
38			- planning, establishing, implementing and maintaining an audit program	<input type="checkbox"/>			
39			- establishing a continual improvement process	<input type="checkbox"/>			
40			3. How to ensure the participation of workers? [in the following tasks]:		OH&S Management System processes		
41			- determining the mechanisms for their consultation and participation	<input type="checkbox"/>			
42			- hazard identification and assessment of risks and opportunities	<input type="checkbox"/>			

	A	B	C	D	E	F	G
17			If YES - how past incidents were accounted for hazard identification?	<input type="checkbox"/>			
18	6.1.2.2	Assessment of OH&S Risks and Other Risks to the OH&S Management System	1. Provide documented procedure, which describes implementation of actions to address risks and opportunities in the OH&S Management System.	<input type="checkbox"/>	OH&S Management		Actions to address risks and opportunities in the OH&S Management System could be regulated: - by the availability of elements of the risk - management system in accordance with the principles and guidance of ISO 31000; - in the 'Actions to address risks and opportunities' MSP; - via personnel risk management training.
19			2. Provide documented information (records), confirming the implementation of actions to address risks and opportunities in the audited process taking into account: • hazards, risks and opportunities; • legal requirements.	<input type="checkbox"/>	OH&S Management System processes		
20	6.1.2.3	Assessment of OH&S Opportunities and Other Opportunities	Give an example of the assessment and (or) use of OH&S opportunities in the audited process.	<input type="checkbox"/>	OH&S Management System processes		
21	6.1.3	Determination of Legal Requirements and Other Requirements	Provide documented information on legal requirements and other requirements, that are applicable to hazards, OH&S risks and OH&S Management System. How often is the documented information updated?	<input type="checkbox"/>	OH&S Management		A good practice: Occupational safety department head, or on behalf of: • Determines how legal requirements and other requirements are applicable to the organization; • Determines what has to be communicated; • Ensures the compilation and update of 'OH&S Legal and Regulatory Document List'. The 'OH&S Legal and Regulatory Document List' is controlled in accordance with the 'Control of Documented Information' procedure.

14	8.1.4	Outsourcing	1. Are there Outsourced processes in scope of the OH&S Management System?	<input type="checkbox"/>	OH&S Management	
			If YES: 2. How Outsourced processes are controlled?	<input type="checkbox"/>		
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