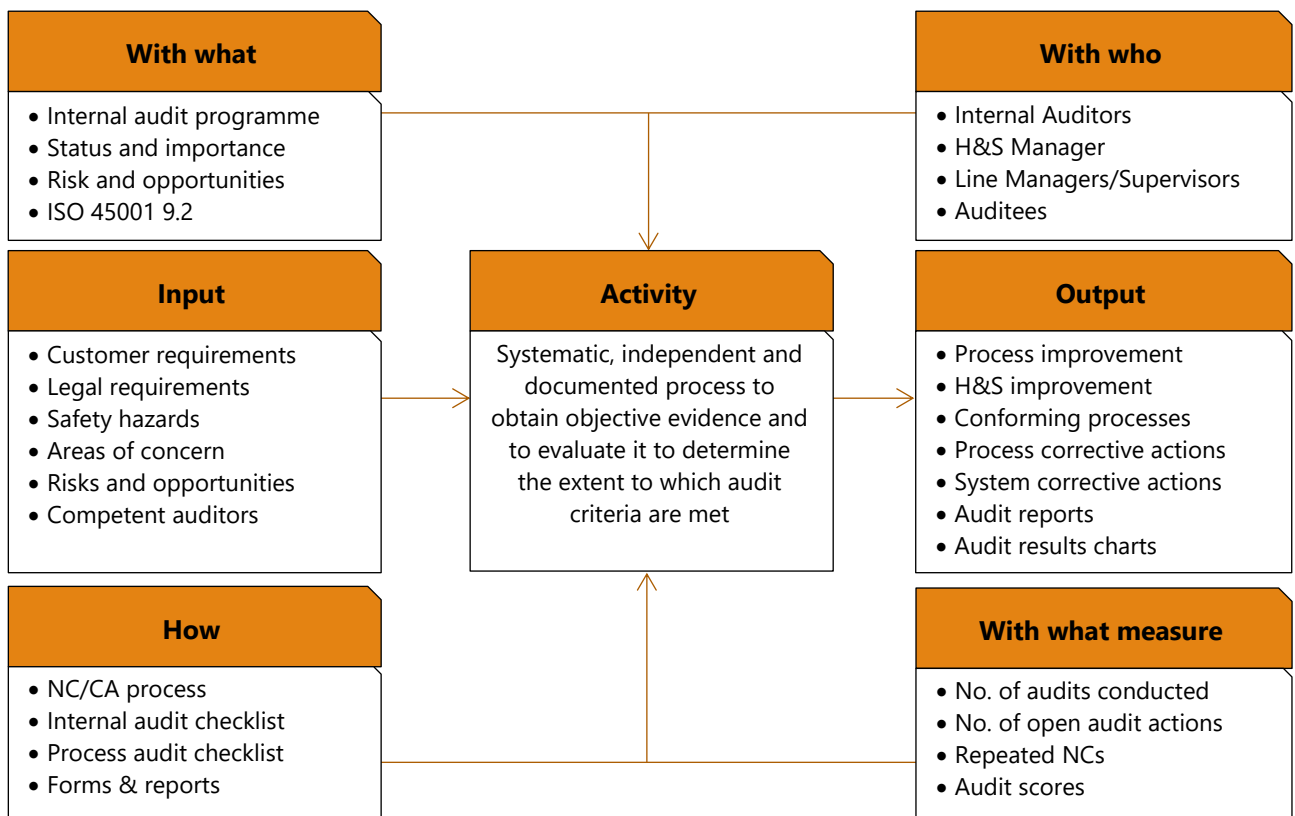# Internal Auditing

ISO 45001:2018

Contents

1 Procedure

1.1 Introduction & Purpose

The purpose of this procedure is to define your organization's process for undertaking internal audits, process audits, and supplier and legislation audits to assess the effectiveness of applying our health and safety management system and its compliance with ISO 45001. This procedure also defines the responsibilities for planning and conducting audits, reporting results, and retaining associated records.

1.1.1 Process Overview

The process overview (turtle diagram) provides internal and external auditors, process owners, and participants an overview of the elements that are required by the internal audit process:

With what	With who
• Internal audit programme • Status and importance • Risk and opportunities • ISO 45001 9.2	• Internal Auditors • H&S Manager • Line Managers/Supervisors • Auditees

Input	Activity	Output
• Customer requirements • Legal requirements • Safety hazards • Areas of concern • Risks and opportunities • Competent auditors	Systematic, independent and documented process to obtain objective evidence and to evaluate it to determine the extent to which audit criteria are met	• Process improvement • H&S improvement • Conforming processes • Process corrective actions • System corrective actions • Audit reports • Audit results charts

How	With what measure
• NC/CA process • Internal audit checklist • Process audit checklist • Forms & reports	• No. of audits conducted • No. of open audit actions • Repeated NCs • Audit scores

1.1.2 References

Standard	Title	Description
ISO 45002-1:2018	Occupational health and safety	Guidance on managing occupational health
ISO 45001:2018	OH&S management systems	Requirements
ISO 45001:2018-03	Occupational health and safety	Amendment 1 Climate action changes 2024-02
ISO 19011:2018	Auditing management systems	Guidelines for auditing

1.1.3 Terms & Definitions

Term	Definition
Audit	Systematic, independent, and documented process for obtaining objective evidence
Conforms	All indicators and audit results show stability
Minor NC	Poor performance, adverse trends, expected results not achieved
Major NC	Practices are nonconforming, likely to cause compliance issues
OFI	Minor problems exist, with bottlenecks or potential deficiencies

1.2 Application & Scope

This procedure focuses on assessing the effectiveness of your organization's health and safety management system. Where such processes are found to be deficient, the audit will lead to improvement in those processes.

By applying the principles of auditing outlined by ISO 19011:2018, your organization ensures that all internal audits are conducted with due professional care, integrity, and independence. All conclusions derived from the audit are based on objective and traceable evidence.

1.3 Roles, Responsibilities & Authorities

Regardless of the scope, roles, and responsibilities are agreed upon by Top management and are incorporated into existing job descriptions and included in yearly objectives. All roles and designated person(s), team(s), or group(s) are communicated across your organization to encourage or improve collaboration and cooperation for cross-functional process activities.

1.3.1 Roles & Responsibilities

The roles and responsibilities associated with the internal audit process are defined in the context of the management function and are not intended to correspond with organizational job titles. A role refers to a set of connected behaviors or actions performed by a person, team, or group in a specific context.

1.3.1.1 Top Management

Top management is accountable for the effectiveness of the management system and the audit process;

1. Reviewing the performance of the health and safety management system at planned intervals;
2. Agreeing on the audit frequency;
3. Ensuring that internal audits are conducted at planned intervals;
4. Determining requirements for resources for auditing needs;
5. Making judgments about the adequacy of health and safety performance.

1.3.1.2 Line Managers & Supervisors

Line Managers and Supervisors are responsible for:

1. Ensure that regular self-audits are conducted and that corrective actions are implemented;
2. Provide the Auditor with evidence of current procedural practices in response to audit questions;
3. Follow up on the implementation of corrective actions,
4. Review the efficacy of any corrective actions implemented.

1.3.1.3 H&S Manager

The H&S Manager is responsible for coordinating the internal audit programme to:

1. Obtain and review audit results;
2. Monitor trends, e.g., repeat audit findings or acknowledged improvement;
3. Determine the root-causes of nonconformities;
4. Provide the results of audits to Top management;
5. Track how long corrective actions remain open versus planned closure;
6. Review the effectiveness of corrective actions taken.

1.3.1.4 Purchasing Manager

The Purchasing Manager is responsible for liaising with suppliers to:

1. Plan 2nd Party audits of suppliers;

2. Ensure that key personnel are available for the audit;
3. Attend supplier audits;
4. Coordinate supplier evaluation forms;
5. Monitor the status of supplier corrective action;
6. Prepare supplier audit reports.

1.3.1.5   Internal Auditors

The Internal Auditors are required to:

1. Review relevant health and safety management system documents and records;
2. Review and prepare the *Internal Audit Checklist*;
3. Arrange audit appointment;
4. Conduct opening/closing meeting;
5. Sample and observe process inputs/activities/outputs;
6. Record objective evidence to verify process compliance or nonconformance;
7. Provide input for improvement of the audit programme and audit process.

1.3.1.6   Auditees

The Auditees are required to:

1. Ensure corrective actions are implemented and are closed out within the agreed timeframe;
2. Minor areas of nonconformance are taken care of immediately;
3. Provide the Auditor with evidence of procedural practices in response to audit questions;
4. Undertake timely corrections to fix immediate problems and corrective actions to prevent recurrence;
5. Ensure the status of corrective actions and any non-conformances are kept up-to-date.

1.4 Internal Audit Process

1.4.1 Auditor Competency

Internal audit resources include the personnel with the necessary skills, training, and qualifications. Evidence of auditor qualification is maintained in the employee training files. All auditors are appropriately trained and experienced. Minimum competency requirements have been set as:

1. Secondary or higher education;
2. Familiarity with the five principles of auditing and applying them to the audit process;
3. Work experience: more than five years;
4. Relevant training: provided in-house or externally;
5. Audit experience: demonstrable knowledge/skills.
6. Management system lead auditor training;
7. Technical understanding of the control requirements for the area or subject being audited.

The Internal Auditors are selected to ensure objectivity and impartiality from the area being audited. This is achieved by selecting a team of auditors from cross-functional departments who have received the appropriate training in the auditing process.

1.4.2 Internal Audit Programme

The H&S Manager is required to prepare and distribute the *Internal Audit Programme* that is dependent upon the size and complexity of operations, including the identification and frequency of each audit, e.g., monthly, quarterly, annually:

1. Determine the status and importance of each process;