

# HSEQ Integrated Audit Checklist Guidance

## Implementation & Gap Analysis Auditing

Using this audit checklist to undertake a clause-by-clause audit works very effectively for the initial audits in preparation for implementation, gap analysis or certification. However, once your integrated management system is implemented, your organization is expected to develop a process approach to its auditing programme.

Each audit question phrases the ISO 9001:2015, 14001:2015 and 45001:2018 'shall' requirements as a question, in order to elicit either a 'yes' or 'no' response, that can be represented as an 'x'. The 'x' is used by various formulae to create a graphical output that summarizes audit data.

A 'yes' answer means that your organization is already meeting one of the requirements while a 'no' answer will reveal a gap that exists between requirements and your organization's management system or processes. A 'no' answer might indicate that a process needs to be developed further, modified or improved in some way to make it compliant.

## Process Auditing

We suggest that you make copies of this workbook and create one workbook for each process that you identified earlier using the Process Matrix & Application matrix. You can filter the internal audit checklist questions show those that apply to each process.

The process audit report replicates the turtle diagram (from the internal audit procedure) and requires the auditor review the inputs, risks, controls, activities, equipment, materials, personnel, and methods of measurement for each process. You can cross-refer the clause references in the process audit report to the internal audit checklist questions.

## Audit Scoring Criteria

The following qualitative audit scoring criteria are used to identify the level of compliance with each requirement:

Conforming	All performance indicators, metrics, objectives, audit results, etc. show stability and consistently achieve targets. Process is fully documented and implemented.
Minor nonconformance	Poor performance/adverse trends, expected results not achieved. Current practices conform but are not documented. Process partially documented or partially implemented.
Major nonconformance	Practices are non-conforming, likely to cause safety or regulatory compliance issues. Likely to have a significant adverse effect on customer satisfaction, product quality, the environment, health and safety, delivery, or profitability. Process not implemented, no resources, not documented.
Opportunity for improvement	Minor problems exist, otherwise conforming, minor process or product changes planned. Post audit follow up and review is required to assess new opportunities.

**HSEQ Integrated Audit Checklist**

The integrated internal audit checklist will ensure your implementation audits concisely compare your management system against the requirements of ISO 9001:2015, ISO 14001:2015 and ISO 45001:2018. Each audit question phrases the ISO 9001:2015, 14001:2015 and 45001:2018 'shall' requirements as a question, in order to elicit either a 'yes' or 'no' response, that can be represented as an 'x'.						The scoring formula assumes each requirement is conforms, until an 'x' is entered into Column I or J. The error tracking cells in Column O display a message if there is more than response entered in Columns H, I and J, per row. The cells also display whether a response has yet to be entered. See Cells O6 and O7 as an example.	Audit Findings				Provide a reference to documented information to justify each audit finding. Describe the nature of any minor or major nonconformance *.	Note any process or practice that seems weak, cumbersome, redundant or complex. An OFI may be an improvement to the management system or something that could prevent future problems **.	Audit Score	0 Entries yet to be entered 0 Errors
Clause No	Clause Title	Q-No	9001	14001	45001	Audit Question	Conform	Minor NC	Major NC	OFI	Audit Evidence & Notes	Opportunities to Improve	Status %	Error Checking Summary
4.1	Organizational Context	1	Q	E	HS	Has your organization determined external and internal issues relevant to its purpose and its strategic direction that affect its ability to achieve the intended result(s) of its HSEQ management system?	x						100	
4.1	Organizational Context	2	Q	E	HS	Does your organization monitor and review information about these external and internal issues?	x						100	
4.2a	Relevant Interested Parties	3	Q	E	HS	Does your organization determine the interested parties and workers that are relevant to the HSEQ management system?		x					75	
4.2b	Relevant Interested Parties	4	Q	E	HS	Does your organization determine the requirements 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?	x			x			100	
4.2c	Relevant Interested Parties	5		E	HS	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?			x				25	
4.3	Management System Scope	6	Q	E	HS	Does your organization determine the boundaries and applicability of the HSEQ management system to establish its scope?	x						100	
4.3a	Management System Scope	7	Q	E	HS	When determining this scope, has your organization considered the external and internal issues referred to in 4.1?			x				25	
4.3b	Management System Scope	8	Q	E	HS	When determining this scope, has your organization considered the requirements of relevant interested parties referred to in 4.2?		x					75	
4.3c	Management System Scope	9	Q	E	HS	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?	x						100	
4.3d	Management System Scope	10		E		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; 6. Final disposal.	x			x			100	
4.3e	Management System Scope	11		E		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?		x					75	
4.3	Management System Scope	12	Q	E	HS	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?			x				25	
4.3	Management System Scope	13	Q			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?		x					75	
4.3	Management System Scope	14		E	HS	When determining scope, has your organization considered and documented its ability and authority to control and influence factors relating to external and internal issues?	x						100	
4.3	Management System Scope	15	Q	E	HS	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)	x						100	
4.4	Management System Processes	16	Q	E	HS	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?	x						100	
4.4	Management System Processes	17		E		Has your organization has considered the knowledge and information obtained by 4.1 and 4.2 when implementing and operating it HSEQ management system?	x						100	
4.4	Management System Processes	18	Q	E	HS	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?	x						100	