

### HSQ Integrated Internal Audit Checklist

4		Question No	ISO 9001:2015	ISO 45001:2018	Enter the letter 'x' into either Column H, I or J, to express the answer to each audit question. 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 <u>each</u> audit finding.  Describe the nature of any minor or major nonconformity. Only failures to fulfill requirements should be reported as a nonconformity *.	A compliant but inefficient 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
						Conforming	Minor nonconformance *	Major nonconformance *	Opportunity to improve **				
4.1	Organizational Context	1	Q	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 HSQ management system?	x						100	
4.1	Organizational Context	2	Q	HS	Does your organization monitor and review information about these external and internal issues?	x						100	
4.2a	Relevant Interested Parties	3	Q	HS	Does your organization determine the interested parties and workers that are relevant to the HSQ management system?		x					75	
4.2b	Relevant Interested Parties	4	Q	HS	Does your organization determine the requirements of these interested parties and workers that are relevant to the HSQ management system, which may include regulatory requirements, local, regional or global conditions that can affect, or be affected by, your organization?	x			x			100	
4.2c	Relevant Interested Parties	5		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 HSQ management system?			x				25	
4.3	Management System Scope	6	Q	HS	Does your organization determine the boundaries and applicability of the HSQ management system to establish its scope?	x						100	
4.3a	Management System Scope	7	Q	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	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	HS	When determining this scope, has your organization considered all relevant products, services and work-related activities, functions and physical boundaries to the HSQ management system?	x						100	
4.3	Management System Scope	10	Q	HS	Has your organization applied all the requirements of ISO 9001:2015 and ISO 45001:2018 if they are applicable within the determined scope of the HSQ management system?			x				25	
4.3	Management System Scope	11	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 HSQ management system?		x					75	
4.3	Management System Scope	12		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	13	Q	HS	Is the scope of your organization's HSQ 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	14	Q	HS	Has your organization established, implemented, maintained and continually improved its HSQ management system, including the processes needed and their interactions, in accordance with the requirements of ISO 9001:2015 and ISO 45001:2018?	x						100	
4.4	Management System Processes	15	Q	HS	Has your organization determined the process required for the HSQ management system, including their interactions, in accordance with requirements and their application throughout the organization?	x						100	
4.4.1a	Management System Processes	16	Q		Has your organization determined the inputs required and the outputs expected from these processes?	x						100	
4.4.1b	Management System Processes	17	Q		Has your organization determined the sequence and interaction of these processes?	x						100	
4.4.1c	Management System Processes	18	Q		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?	x			x			100	