Appendix 3 – ISO 45001:2018 Internal Audit Checklist

ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1-01	Did the organization determine external and internal issues relevant to its purpose and that affect its ability to achieve intended results of OH&SMS?		
4.2-01	[illegible]		
4.2-02	Did the organization determine relevant needs and expectations of the interested parties?		
4.2-03	[illegible]		
4.3-01	Has the organization determined boundaries and applicability of its OH&SMS?		
4.3-02	[illegible]		
4.3-03	When determining the scope, had the organization considered compliance obligations referred to in 4.2?		
4.3-04	[illegible]		
4.3-05	When determining the scope, had the organization considered, planned or performed work related activities?		
4.3-06	[illegible]		
4.3-07	Does the organization maintain its scope as documented information?		
4.4	[illegible]		
5.1-01	Did top management take accountability for the effectiveness of the organization's OH&SMS?		
5.1-02	[illegible]		
5.1-03	Does top management ensure integration of OH&SMS requirements in the organization's business processes?		
5.1-04	[illegible]		
5.1-05	[illegible]		
5.1-06	Does top management ensure that the OH&SMS achieves its intended outcomes?		

Commented [9A1]: Note 1: The term "documented procedure" means that the standard requires the organization to establish, document, apply, and maintain the procedure.

Note 2: Scope of OH&SMS can differ from one organization to another and depends on:
a) Size and type of organization
b) Complexity and interaction of processes
c) Competence of employees.

Note 3: Documentation can be in any form and any type of medium.

Commented [9A2]: If you want to find out more about the ISO 45001 internal audit, see:

- How to perform internal audits in OHSAS 18001 http://advisera.com/45001academy/blog/2015/09/23/how-to-perform-internal-audits-in-ohsas-18001/
- Why you should perform effective internal audits in OHSAS 18001 http://advisera.com/45001academy/blog/2015/07/15/why-you-should-perform-effective-internal-audits-in-ohsas-18001/

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
5.1-07	Does top management direct and support persons to contribute to the OH&SMS?		
5.1-08	Does top management promote continual improvement?		
5.1-09	[illegible]		
5.1-10	Does top management develop, lead and promote culture in the organization that supports intended outcomes of OH&SMS?		
5.1-11	[illegible]		
5.1-12	[illegible]		
5.1-13	[illegible]		
5.2-1	Did the organization establish, implement, and maintain its OH&S Policy within the scope of the OH&SMS?		
5.2-2	[illegible]		
5.2-3	Does the OH&S Policy provide the organization with a framework for setting OH&S objectives?		
5.2-4	[illegible]		
5.2-5	Does the OH&S Policy help the organization to continually improve its OH&SMS?		
5.2-6	[illegible]		
5.2-7	Does the organization communicate its OH&S Policy within the organization and to interested parties?		
5.2-8	Has the organization documented its OH&S Policy?		
5.3-1	[illegible]		
5.3-2	[illegible]		
5.3-3	Did top management assigned a person or persons responsible to report on the performance of the OH&SMS?		
5.4-01	[illegible]		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
	development, planning, implementation, performance evaluation and actions to improve OH&SMS?		
5.4-02	[illegible]		
5.4-03	Does the organization provide timely access to clear, understandable and relevant information about the OH&SMS?		
5.4-04	[illegible]		
5.4-05	[illegible]		
5.4-05	[illegible]		
5.4-06	Does the organization emphasize the consultation of non-managerial works regarding assigning roles, responsibilities and authorities as applicable?		
5.4-07	[illegible]		
5.4-08	[illegible]		
5.4-09	Does the organization emphasize the consultation of non-managerial works regarding determining applicable controls for outsourcing, procurement and contractors?		
5.4-10	[illegible]		
5.4-11	Does the organization emphasize the consultation of non-managerial works regarding planning, establishing, implementing and maintaining an audit program?		
5.4-12	[illegible]		
5.4-13	[illegible]		
5.4-14	[illegible]		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
5.4-15	Does the organization emphasize the consultation of non-managerial works regarding actions to eliminate hazards and reduce OH&S risks?		
5.4-16	[illegible]		
5.4-17	Does the organization emphasize the consultation of non-managerial works regarding determining the needs to be communicated and how this shall be done?		
5.4-18	[illegible]		
5.4-19	[illegible]		
6.1.1-01	Has the organization considered the issues referred to 4.1, 4.2 and 4.3 when planning OH&SMS?		
6.1.1-02	[illegible]		
6.1.1-03	Has the organization determined risks and opportunities that need to be addressed to prevent or reduce undesired effects?		
6.1.1-04	[illegible]		
6.1.1-05	Did the organization take into account OH&S risks, opportunities when addressing risks and opportunities?		
6.1.1-06	[illegible]		
6.1.1-07	When determining risks and opportunities to be addressed, has the organization taken into account legal and other requirements?		
6.1.1-08	[illegible]		
6.1.1-09	Has the organization performed assessment of risks and opportunities in case of planning changes?		
6.1.1-10	[illegible]		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
	to the extent necessary to provide confidence that they are carried out as planned?		
6.1.2.1-01	Did the organization establish, implement and maintain a process for hazard identification?		
6.1.2.1-02	[illegible]		
6.1.2.1-03	Did the process for hazard identification take into account how work is organized, social factors, leadership and culture in the organization?		
6.1.2.1-04	[illegible]		
6.1.2.1-05	Did the process for hazard identification take into account emergency situations?		
6.1.2.1-06	[illegible]		
6.1.2.1-07	Did the process for hazard identification take into account actual or proposed changes in the organization, its operations, processes, activities and OH&SMS?		
6.1.2.1-08	[illegible]		
6.1.2.2-01	[illegible]		
6.1.2.2-02	Has the organization established, implemented and maintained a process to identify and assess the risks related to establishment, implementation, operation and maintenance of OH&SMS that can occur from issues identified in 4.1 and needs and expectations identified in 4.2?		
6.1.2.2-03	[illegible]		
6.1.2.2-04	Does the organization maintain and retain documented information on the methodology and criteria?		
6.1.2.3-01	[illegible]		

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9.1.1.05	Has the organization ensured that calibrated or verified monitoring and measurement equipment is used and maintained?		
9.1.1.06	Has the organization evaluated its OH&S performance and the effectiveness of its OH&SMS?		
9.1.1.07	Has the organization communicated relevant OH&S performance information according to the communication process and compliance obligations?		
9.1.1.08	Has the organization retained appropriate documented information as evidence of the monitoring and measurement, analysis, and evaluation results?		
9.1.2.01	Has the organization established, implemented, and maintained the processes needed to evaluate fulfillment of its compliance obligations?		
9.1.2.02	Has the organization determined the frequency of the compliance evaluation?		
9.1.2.03	Has the organization evaluated the compliance and taken actions needed?		
9.1.2.04	Does the organization maintain knowledge and understanding of its compliance status?		
9.1.2.05	Does the organization retain documented information as evidence of the compliance evaluation results?		
9.2.1	Does the organization conduct internal audits at planned intervals to provide information on whether its OH&SMS: • conforms to its own requirements for its OH&S MS? • conforms to requirements of ISO 45001? • is effectively implemented and maintained?		
9.2.2.01	Does the organization establish, implement, and maintain internal audit programs)?		
9.2.2.02	Did the organization determine the frequency, methods, responsibilities, planning requirements, and reporting of its internal audits?		
9.2.2.03	When establishing the internal audit program, did the organization take into account the results of previous audits?		
9.2.2.04	When establishing the internal audit program, did the organization take into account the importance of the processes concerned?		
9.2.2.05	Did the organization define the audit criteria and scope of each audit?		
9.2.2.06	Does the organization ensure objectivity of the audit process?		

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