

[organization name]

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			
4.2-02	Did the organization determine relevant needs and expectations of the interested parties?		
4.2-03			
4.3-01	Has the organization determined boundaries and applicability of its OH&SMS?		
4.3-02			
4.3-03	When determining the scope, had the organization considered compliance obligations referred to in 4.2?		
4.3-04			
4.3-05	When determining the scope, had the organization considered, planned or performed work related activities?		
4.3-06			
4.3-07	Does the organization maintain its scope as documented information?		
4.4			
5.1-01	Did top management take accountability for the effectiveness of the organization's OH&SMS?		
5.1-02			
5.1-03	Does top management ensure integration of OH&SMS requirements in the organization's business processes?		
5.1-04			
5.1-05			
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			
5.1-10	Does top management develop, lead and promote culture in the organization that supports intended outcomes of OH&SMS?		
5.1-11			
5.1-12			
5.1-13			
5.2-1	Did the organization establish, implement, and maintain its OH&S Policy within the scope of the OH&SMS?		
5.2-2			
5.2-3	Does the OH&S Policy provide the organization with a framework for setting OH&S objectives?		
5.2-4			
5.2-5	Does the OH&S Policy help the organization to continually improve its OH&SMS?		
5.2-6			
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			
5.3-2			
5.3-3	Did top management assigned a person or persons responsible to report on the performance of the OH&SMS?		
5.4-01			

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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	Does the organization provide resources for consultation and participation?		
5.4-03	Does the organization provide timely access to clear, understandable and relevant information about the OH&SMS?		
5.4-04	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		
5.4-05	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		
5.4-05	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		
5.4-06	Does the organization emphasize the consultation of non-managerial works regarding assigning roles, responsibilities and authorities as applicable?		
5.4-07	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		
5.4-08	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		
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	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		
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	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		
5.4-13	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		
5.4-14	Does the organization emphasize the consultation of non-managerial works regarding determining the roles and responsibilities of contractors?		

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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			
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			
5.4-19			
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			
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			
6.1.1-05	Did the organization take into account OH&S risks, opportunities when addressing risks and opportunities?		
6.1.1-06			
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			
6.1.1-09	Has the organization performed assessment of risks and opportunities in case of planning changes?		
6.1.1-10			

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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			
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			
6.1.2.1-05	Did the process for hazard identification take into account emergency situations?		
6.1.2.1-06			
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			
6.1.2.2-01			
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			
6.1.2.2-04	Does the organization maintain and retain documented information on the methodology and criteria?		
6.1.2.3-01			

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Has the organization implemented, established and maintained a process to determine and take action to legal requirements and other requirements that are applicable to its products, OH&S risks and OH&S? (9.1.1)		
9.1.2	Has the organization implemented, established and maintained a process to determine how those legal and other requirements apply to the organization and what needs to be communicated? (9.1.2)		
9.1.3	Has the organization implemented, established and maintained a process to take those legal and other requirements into account when establishing, implementing, maintaining and continually improving OH&S? (9.1.3)		
9.1.4	Does the organization maintain and retain documented information on its legal and other requirements and ensure that it is updated to reflect any changes? (9.1.4)		
9.1.5	Does the organization plan actions to address risks and opportunities? (9.1.5)		
9.1.6	Does the organization plan actions to address legal and other requirements? (9.1.6)		
9.1.7	Does the organization plan actions to prepare and respond to emergency situations? (9.1.7)		
9.1.8	Does the organization plan how to integrate and implement actions into its OH&S processes or other business processes? (9.1.8)		
9.1.9	Does the organization plan how to evaluate effectiveness of these actions? (9.1.9)		
9.1.10	Does the organization take into account hierarchy of controls and outputs from the OH&S other planning actions? (9.1.10)		
9.1.11	Does the organization consider how scientific, technological options, financial, operational and business requirements affect planning actions? (9.1.11)		
9.1.12	Has the organization created OH&S objectives at relevant functions and levels? (9.1.12)		
9.1.13	Has the organization created OH&S taking into account the results of the assessment of risks and opportunities? (9.1.13)		
9.1.14	Are OH&S objectives consistent with the OH&S Policy? (9.1.14)		
9.1.15	Are OH&S objectives measurable? (9.1.15)		
9.1.16	Does the organization monitor its OH&S objectives? (9.1.16)		
9.1.17	Does the organization communicate its OH&S objectives? (9.1.17)		
9.1.18	Does the organization update its OH&S objectives? (9.1.18)		
9.1.19	Does the organization maintain documented information on its OH&S objectives? (9.1.19)		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1.1	Has the organization determined how to address its OH&S objectives?		
4.1.2	Has the organization determined who will be responsible for achieving OH&S objectives?		
4.1.3	Has the organization determined methods for achieving OH&S objectives?		
4.1.4	Does the organization determine how it will evaluate results of actions taken to address OH&S objectives?		
4.1.5	Does the organization consider how to integrate activities for achieving its OH&S objectives into its business processes?		
4.2.1	Has the organization provided enough resources to establish and fulfil all OH&S requirements?		
4.2.2	Has the organization determined necessary competence of personnel involved in the OH&S?		
4.2.3	Does the organization employ OH&S-competent personnel?		
4.2.4	Does the organization determine training needs associated with its OH&S hazards and the OH&S?		
4.2.5	Does the organization retain documented information as evidence of competence?		
4.3.1	Are the workers aware of the OH&S policy and the objectives?		
4.3.2	Are the workers aware of their contribution to the effectiveness of OH&S, including the benefits of improved OH&S performance?		
4.3.3	Are the workers aware of the implications and potential consequences of nonconforming with OH&S requirements?		
4.3.4	Are the workers aware of incidents, and the outcomes of their investigations, that are relevant to them?		
4.3.5	Are the workers aware of hazards, OH&S risks and actions determined, that are relevant to them?		
4.3.6	Are the workers aware of arrangements which provide workers the ability to remove themselves from work situations that they believe present an imminent and serious danger to their life and health, as well as protecting them from unfair consequences for doing so?		
4.3.7	Has the organization established, implemented and maintained a process needed for the internal and external communications relevant to the OH&S?		
4.3.8	Has the organization determined what it will communicate?		
4.3.9	Has the organization determined when to communicate?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Has the organization determined with whom to communicate?		
9.1.2	Has the organization determined how to communicate?		
9.1.3	Has the organization taken into account those who report other considerations to communication needs?		
9.1.4	Has the organization ensured that the roles of external interested parties are considered in establishing its communication process?		
9.1.5	When establishing its communication process, has the organization taken into account its legal and other requirements?		
9.1.6	When establishing its communication process, has the organization ensured that OH&SH information to be communicated is consistent with information generated under OH&SH, and is reliable?		
9.1.7	Does the organization respond to relevant communications as its OH&SH?		
9.1.8	Does the organization retain documented information as evidence of its communication, as appropriate?		
9.1.9	Does the organization internally communicate information relevant to OH&SH among the various levels and functions of the organization, including changes to the OH&SH, as appropriate?		
9.1.10	Does the organization ensure its communication process enables workers to contribute to continual improvement?		
9.1.11	Does the organization internally communicate information relevant to the OH&SH as established by the organization's communication process and as required by its legal and other requirements?		
9.1.12	Does the organization's OH&SH include documented information required by ISO 45001?		
9.1.13	Does the organization's OH&SH include documented information determined by the organization to be necessary?		
9.1.14	Does the organization's OH&SH include documented information required by legal and other requirements?		
9.1.15	Does the organization's documented information have proper identification, description, and format?		
9.1.16	Does the organization ensure proper review, approval, and updates of its documented information?		
9.1.17	Is the organization's documented information available and suitable for use, access and when it's needed?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
7.1.1.1	Does the organization ensure that production of its documented information is adequate?		
7.1.1.2	Does control of the organization's documented information include distribution, access, retrieval and use?		
7.1.1.3	Does the organization control storage and preservation of its documented information, including legibility?		
7.1.1.4	Has the organization decided retention time of documented information and disposition, including control of changes?		
7.1.1.5	Has the organization identified the documented information of external origin and control it as appropriate?		
8.1.1.1	Has the organization plan, implement, control and maintain the processes needed to meet requirements of the OH&SH and the implement the actions determined in clause 9?		
8.1.1.2	Has the organization established criteria for the processes?		
8.1.1.3	Has the organization implement control of the processes in accordance with the criteria?		
8.1.1.4	Has the organization maintain and retain documented information to the extent necessary to have confidence that the processes have been carried out as planned?		
8.1.1.5	In multi-employer workplaces, has the organization coordinate the relevant parts of the OH&SH with other organizations?		
8.1.1.6	Has the organization establish, implement and maintain processes for the identification of hazards and selection of OH&SH risk using the hierarchy of controls?		
8.1.1.7	Has the organization establish a process for the implementation and control of planned temporary and permanent changes that impact OH&SH performance?		
8.1.1.8	Does the organization assess the consequences of unintended changes, taking into account its unique adverse effects, as necessary?		
8.1.1.9	Has the organization ensure that contractual processes are controlled?		
8.1.1.10	Has the organization define the type and degree of control to be applied to these processes within OH&SH?		
8.1.1.11	Has the organization establish, implement and maintain a process to control the procurement of product and services in order to ensure their conformance with its OH&SH?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Has the organization established, implemented and maintained the process, in coordination with its contractors, to hazard identification and to assess and control the OH&S risk arising from the contractor's activities and operations that impact the organization?		
9.1.2	Has the organization established, implemented and maintained the process, in coordination with its contractors, to hazard identification, and assess and control the OH&S risk arising from organization's activities and operations that impact contractor's workers?		
9.1.3	Has the organization established, implemented and maintained the process, in coordination with its contractors, to hazard identification and to assess and control the OH&S risk arising from contractor's activities and operations that impact other interested parties in the workplace?		
9.1.4	Has the organization established and maintained a process to ensure that the requirements of the organization's OH&S are met by contractors and their workers?		
9.1.5	Does the process define and apply to operational health and safety criteria for the selection of contractors?		
9.1.6	Has the organization established, implemented and maintained the processes needed to prepare for and respond to potential emergency situations?		
9.1.7	Does the organization also address to prevent or mitigate adverse OH&S impacts from emergency situations?		
9.1.8	Does the organization periodically test the planned response actions?		
9.1.9	Does the organization provide relevant information and training related to emergency preparedness and response to relevant interested parties?		
9.1.10	Does the organization review and revise the procedures and planned response actions, particularly after the occurrence of emergency situations and tests?		
9.1.11	Does the organization maintain documented information about emergency preparedness procedures?		
9.1.12	Does the organization monitor, measure, analyze and evaluate its OH&S performance?		
9.1.13	Has the organization determined what needs to be monitored and measured, as well as monitoring and measuring methods to ensure valid results?		
9.1.14	Has the organization determined the criteria and indicators for evaluation of its OH&S performance?		
9.1.15	Has the organization determined when the monitoring and measurement will be performed and when the results will be analyzed and evaluated?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Has the organization ensured that calibrated or verified (monitoring and measurement equipment is used and maintained)		
9.1.2	Has the organization evaluated its OHS performance and the effectiveness of its OHSMS?		
9.1.3	Has the organization communicated relevant OHS performance information according to the communication process and compliance obligations?		
9.1.4	Has the organization retained appropriate documented information as evidence of the monitoring and measurement, analysis, and evaluation results?		
9.1.5	Has the organization established, implemented, and maintained the processes needed to evaluate fulfillment of its compliance obligations?		
9.1.6	Has the organization determined the frequency of the compliance evaluation?		
9.1.7	Has the organization evaluated the compliance and other actions needed?		
9.1.8	Does the organization maintain knowledge and understanding of its compliance status?		
9.1.9	Does the organization retain documented information as evidence of the compliance evaluation results?		
9.2	Does the organization conduct internal audits at planned intervals to provide information on whether its OHSMS: <ul style="list-style-type: none"> a) conforms to its own requirements for its OHSMS? b) conforms to requirements of the OHSMS? c) is effectively implemented and maintained? 		
9.2.1	Does the organization establish, implement, and maintain internal audit programs?		
9.2.2	Has the organization determined the frequency, methods, responsibilities, planning requirements, and reporting of its internal audits?		
9.2.3	When establishing the internal audit program, did the organization take into account the results of previous audits?		
9.2.4	When establishing the internal audit program, did the organization take into account the importance of the processes concerned?		
9.2.5	Has the organization defined the audit criteria and scope of each audit?		
9.2.6	Does the organization ensure objectivity of the audit process?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Does the organization communicate audit results to the relevant management?		
9.1.2	Does the organization document information about audits and audit results?		
9.1.3	Does top management review the organization's OHSAS?		
9.1.4	Does top management, during review, consider the status of actions from previous management reviews?		
9.1.5	Does top management review include consideration of external and internal issues relevant to the organization's OHSAS?		
9.1.6	Does top management review include consideration of the needs and expectations of interested parties, including compliance obligations?		
9.1.7	Does top management review include consideration of the significant OHS hazards and risks?		
9.1.8	Does top management review include consideration of OHS risks and opportunities?		
9.1.9	Does top management review include consideration of the extent to which OHS objectives have been achieved?		
9.1.10	Does top management review include consideration of trends in nonconformities and corrective actions?		
9.1.11	Does top management review include consideration of trends in monitoring and measurement results?		
9.1.12	Does top management review include consideration of resource allocation?		
9.1.13	Does top management review include consideration of opportunities for continual improvement?		
9.1.14	Does top management review include consideration about continual improvement opportunities?		
9.1.15	Does top management review include decisions related to continual improvement?		
9.1.16	Does top management review include needed actions when OHSAS goals have not been achieved?		
9.1.17	If needed, does top management review include opportunities to improve integration of the OHSAS with other business processes?		
9.1.18	Does top management review include any implications to the strategic direction of the organization?		
9.1.19	Does the organization retain documented information about management review?		
9.1.20	Does the organization take actions to improve its OHSAS?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	For the organization establish, implement and maintain the process that includes reporting, investigating and taking actions, to determine and manage incidents and nonconformities?		
9.1.2	When an incident or a nonconformity occurs, does the organization report or track manner to the incident or nonconformity?		
9.1.3	When an incident or a nonconformity occurs, does the organization evaluate, with participation of workers and involvement of other interested parties, the need for corrective actions to eliminate the root cause of the incident or nonconformity, in order that it does not recur or occur elsewhere?		
9.1.4	When an incident or a nonconformity occurs, does the organization review existing requirements of OHSW rules and other rules, as appropriate?		
9.1.5	When an incident or a nonconformity occurs, does the organization determine and implement any action needed, including corrective action, in accordance with the hierarchy of controls and the management of change?		
9.1.6	When an incident or a nonconformity occurs, does the organization assess OHSW rules prior to taking action that can result in new or changed hazards?		
9.1.7	When an incident or a nonconformity occurs, does the organization review effectiveness of any action taken, including corrective action?		
9.1.8	When an incident or a nonconformity occurs, does the organization make changes to the OHSW, if necessary?		
9.1.9	Are the corrective actions appropriate to the effects of the incidents or nonconformities encountered?		
9.1.10	Does the organization retain documented information as evidence of the nature of the incidents or nonconformities and any subsequent action taken?		
9.1.11	Does the organization retain documented information as evidence of the results of any action and corrective action including their effectiveness?		
9.1.12	Does the organization communicate this documented information to relevant workers, and where this calls workers' representatives, and relevant interested parties?		
9.1.13	Does the organization continually improve suitability, adequacy and effectiveness of the OHSW by enhancing OHS performance?		

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Commented [9A5]: To be filled in during the audit – records, verbal statements or auditor's personal observations that confirm the finding.

Commented [9A4]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Does the organization continually improve suitability, adequacy and effectiveness of the ISO45001 by providing a system that supports ISO45001?		
9.1.2	Does the organization continually improve suitability, adequacy and effectiveness of the ISO45001 by communicating the relevant results of continual improvement to workers, and where this adds further opportunities?		
9.1.3	Does the organization continually improve suitability, adequacy and effectiveness of the ISO45001 by monitoring and measuring documented information as evidence of results of continual improvement?		

Commented [9A3]: These are the requirements of the ISO 45001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 2 Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

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