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ISO 45001:2018 – Occupational Health and Safety Management System – The Internal Audit Checklist

This checklist is based on the information provided in the ISO 45001:2018 international standard. The checklist is best used by trained and practicing auditors to evaluate or assess Occupational Health and Safety Management Systems (OHSMS) requirements based on the standard. You will see questions on the checklist that refer to the standard and for each clause provisions are made for additional questions.

The auditors are expected to keep in mind that the standard does not requires mandatory procedures for the various OHSMS processes; however, the auditors will expect documented information to be available because in the clauses of the standard, the phrase such as 'documented procedures' is used to specify that a process, a method, a system, a work instruction, or an arrangement be documented.

The auditors must use a great deal of discretion and therefore must be careful and thoughtful prior to establishing a deficiency against a requirement. Evidence for visible top management leadership, commitment and quality management action must be looked for.

The **bold** numbers and titles used in the first two columns of the checklist indicate the "Requirements" and may be referred to on nonconformity reports prepared by the auditor.

During assessment of each requirement, auditors record the status of the evaluation by indicating in the right-hand column a

Yes - for Acceptable Condition or **No** - for Deficient Condition

---	OCCUPATIONAL HEALTH and SAFETY MANAGEMENT SYSTEM	OBSERVATIONS / COMMENTS	STATUS
4	CONTEXT OF THE ORGANIZATION		
4.1	Understanding the organization and its context		
	As an organization, does your company determine external and internal issues that are relevant to your purpose?		
	Do you consider the relevant issues that affect your ability to achieve the intended outcomes of the OH&S Management System (OHSMS)?		

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	Additional Questions		
4.2	Understanding the needs and expectations of workers and other interested parties		
	Has your company determined:		
	<ul style="list-style-type: none"> • The other interested parties that are in addition to your workers, and that are relevant to the OHSMS? 		
	<ul style="list-style-type: none"> • The relevant requirements (needs and expectations) of workers and the other interested parties? 		
	<ul style="list-style-type: none"> • Which of the needs and expectations become applicable legal requirements & other requirements? 		
	Additional Questions		
4.3	Determining the scope of the OH&S management system		
	To establish the scope of the OHSMS, does your company determine its boundaries and applicability?		
	When determining the scope of the OH&S, do you consider the:		
	<ul style="list-style-type: none"> • The external and internal issues per above 4.1? 		
	<ul style="list-style-type: none"> • The relevant interested parties per above 4.2? 		
	<ul style="list-style-type: none"> • The work-related activities performed at your 		

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	company?		
	Does the OHSMS include activities, products and services that are within your control or your influence and that can impact OH&S performance?		
	Is the scope of the OHSMS available and maintained as documented information?		
	Additional Questions		
4.4	OH&S management system		
	Do you have the latest document for the ISO 45001:2018 standard?		
	As required by the ISO 45001 standard, do you establish, document, implement, maintain, and continually improve the OHSMS?		
	Does your company determine the processes needed for the OHSMS, their interactions and applications?		
	Additional Questions		
5	LEADERSHIP AND WORKER PARTICIPATION		
5.1	Leadership and commitment		
	Does the top management demonstrate leadership and commitment with respect to the OHSMS by:		

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	<ul style="list-style-type: none"> • Taking overall responsibility and accountability for the prevention of work-related injury and ill-health and the provision of safe and healthy workplaces and activities? 		
	<ul style="list-style-type: none"> • Ensuring that the OH&S policy and related OH&S objectives are established and are compatible with the strategic direction of the company? 		
	<ul style="list-style-type: none"> • Ensuring the integration of the OHSMS processes and requirements into the company's business processes? 		
	<ul style="list-style-type: none"> • Ensuring that the resources needed to establish, implement, maintain and improve the OHSMS are available? 		
	<ul style="list-style-type: none"> • Ensuring that a process for consultation and participation of workers is established and implemented? 		
	<ul style="list-style-type: none"> • Communicating the importance of effective OH&S management and of conforming to the OHSMS requirements? 		
	<ul style="list-style-type: none"> • Ensuring that the OHSMS achieves its intended outcome(s)? 		
	<ul style="list-style-type: none"> • Directing and supporting persons to contribute to the effectiveness of the OHSMS? 		
	<ul style="list-style-type: none"> • Ensuring and promoting continual improvement of the OHSMS? 		

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	<ul style="list-style-type: none"> • Are improvement initiatives performed by systematically identifying and taking actions to address nonconformities, opportunities, and work-related hazards and risks, including deficiencies in the system? 		
	<ul style="list-style-type: none"> • Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility? 		
	<ul style="list-style-type: none"> • Developing, leading and promoting a culture in the company that supports the intended outcomes of the OHSMS? 		
	<ul style="list-style-type: none"> • Protecting workers from reprisals when reporting hazards, risks and opportunities? 		
	<ul style="list-style-type: none"> • Supporting the establishment and functioning of health and safety committees? 		
	With reference to the note in 5.1.1		
	<ul style="list-style-type: none"> • In the ISO 45001 standard, do you broadly interpret references to business as meaning those activities that are core to the purposes of your company's existence? 		
	Additional Questions		
5.2	OH&S Policy		

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	Has the top management established, implemented and maintained an OH&S policy that:		
	<ul style="list-style-type: none"> Includes a commitment to provide safe and healthy working conditions for the prevention of work-related injury and ill health and is appropriate to the purpose, the size and context of the organization and to the specific nature of the OH&S risks and opportunities? 		
	<ul style="list-style-type: none"> Provides a framework for setting the OH&S objectives? 		
	<ul style="list-style-type: none"> Includes a commitment to fulfil legal requirements and other requirements? 		
	<ul style="list-style-type: none"> Includes a commitment to eliminate hazards and reduce OH&S risks, using the control hierarchy of 8.1.2? 		
	<ul style="list-style-type: none"> Includes a commitment to continually improve the OHSMS? 		
	<ul style="list-style-type: none"> Includes a commitment to participation and the involvement of workers', and where they exist, workers' representatives, in the decision-making processes in the OHSMS? 		
	Is the OH&S policy:		
	<ul style="list-style-type: none"> Available as documented information? 		
	<ul style="list-style-type: none"> Communicated within the company? 		