

[organization name]

Appendix 1 – Internal Audit Checklist for ISO 45001

ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1-01	Did the organization determine external and internal		
4.2-01	Did the organization determine interested parties that are relevant to its OH&SMS?		
4.2-02			
4.2-03	Do some expectations from the organization become its compliance obligations?		
4.3-01			
4.3-02	When determining the scope, had the organization considered external and internal issues referred to in 4.1?		
4.3-03			
4.3-04	When determining the scope, had the organization considered its organizational units, functions, and physical boundaries?		
4.3-05			
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	Does top management ensure availability of the resources needed for the OH&SMS?		
5.1-05			
5.1-06			
5.1-07	Does top management direct and support persons to		

Commented [45A1]: 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 [45A2]: 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
	contribute to the OH&SMS?		
5.1-08	Does top management promote continual improvement?		
5.1-09			
5.1-10			
5.1-11	Does top management protect workers from reprisals when reporting incidents, hazards, risks and opportunities?		
5.1-12			
5.1-13	Does top management consider the need for establishing health and safety committees together with providing support for their functioning?		
5.2-1			
5.2-2	Is the OH&S Policy appropriate for the purpose and context of the organization?		
5.2-3			
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			
5.3-1	Does the organization define its OH&SMS roles, responsibilities, and authorities?		
5.3-2			
5.3-3			
5.4-01	Has the organization established, implemented and maintained the process for consultation and participation evaluation and actions to improve OH&SMS?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
5.4-02	[blurred text]		
5.4-03	Does the organization provide timely access to clear, understandable and relevant information about the OH&SMS?		
5.4-04	[blurred text]		
5.4-05	Does the organization emphasize the consultation of non-managerial works regarding determining the needs and expectations of interested parties?		
5.4-05	[blurred text]		
5.4-06	Does the organization emphasize the consultation of non-managerial works regarding assigning roles, responsibilities and authorities as applicable?		
5.4-07	[blurred text]		
5.4-08	[blurred text]		
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	[blurred text]		
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	[blurred text]		
5.4-13	Does the organization emphasize the consultation of non-managerial works regarding determining the mechanisms for their consultation and participation?		
5.4-14	[blurred text]		
5.4-15	[blurred text]		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
5.4-16	Does the organization emphasize the consultation of non-managerial workers regarding the determination of training needs, including the evaluation of training?		
5.4-17	Does the organization emphasize the consultation of non-managerial workers regarding determining the needs to be communicated and how this shall be done?		
5.4-18			
5.4-19	Does the organization emphasize the consultation of non-managerial workers regarding investigating incidents and nonconformities and determining corrective actions?		
6.1.1-01			
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	Has the organization determined risks and opportunities arising from changes in organization, its processes or the OH&SMS?		
6.1.1-09	Has the organization performed assessment of risks and opportunities in case of planning changes?		
6.1.1-10	Does the organization maintain documented information that the planned actions are carried out as planned?		
6.1.2.1-01	Did the organization establish, implement and maintain a process for hazard identification?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1.1	Has the process for hazard identification taken into account past relevant incidents, internal and external to the organization, including management and their control?		
4.1.2	Has the process for hazard identification taken into account those aspects of equipment, social factors, technology and culture in the organization?		
4.1.3	Has the process for hazard identification taken into account routine and non-routine activities and situations?		
4.1.4	Has the process for hazard identification taken into account emergency situations?		
4.1.5	Has the process for hazard identification taken into account people and other users?		
4.1.6	Has the process for hazard identification taken into account actual or proposed changes in the organization, its operations, processes, activities and products?		
4.1.7	Has the process for hazard identification taken into account changes in knowledge of, and information about, hazards?		
4.2.1	Has the organization established, implemented and maintained a process to assess OH&S risks from identified hazards, while taking into account legal and other requirements and effectiveness of existing controls?		
4.2.2	Has the organization established, implemented and maintained a process to identify and assess the risk related to non-compliance, implementation, operation and maintenance of OH&S that can occur from hazards identified in 4.1 and needs and opportunities identified in 4.2?		
4.2.3	Has the methodology and criteria for assessment of OH&S risks defined in respect to their scope, nature and being to ensure they are proportionate rather than reactive and are used in a systematic way?		
4.2.4	Has the organization retained and used documented information on the methodology and criteria?		
4.2.5	Has the organization implemented, established and maintained a process to assess opportunities to enhance OH&S performance and opportunities for improvement of OH&S?		
4.2.6	Has the organization implemented, established and maintained a process to determine and have access to legal requirements and other requirements that are applicable to its hazards, OH&S risks and OH&S?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1.1	Has the organization implemented, established and maintained processes to determine how these legal and other requirements apply to the organization and what needs to be communicated?		
4.1.2	Has the organization implemented, established and maintained processes to take these legal and other requirements into account when establishing, implementing, maintaining and continually improving objectives?		
4.1.3	Does the organization maintain and retain documented information on its legal and other requirements and ensure that it is updated to reflect any changes?		
4.1.4	Does the organization plan actions to address risks and opportunities?		
4.1.5	Does the organization plan actions to address legal and other requirements?		
4.1.6	Does the organization plan actions to prepare and respond to emergency situations?		
4.1.7	Does the organization plan how to integrate and implement actions into its OH&SH processes or other business processes?		
4.1.8	Does the organization plan how to evaluate effectiveness of these actions?		
4.1.9	Does the organization take into account hierarchy of controls and outputs from the OH&SH when planning actions?		
4.1.10	Does the organization consider best practices, technological options, financial, operational and business requirements when planning actions?		
4.1.11	Has the organization created OH&SH objectives at relevant functions and levels?		
4.1.12	Has the organization considered OH&SH, taking into account the results of the assessment of risks and opportunities?		
4.1.13	Are OH&SH objectives consistent with the OH&SH Policy?		
4.1.14	Are OH&SH objectives measurable?		
4.1.15	Does the organization monitor its OH&SH objectives?		
4.1.16	Does the organization communicate its OH&SH objectives?		
4.1.17	Does the organization update its OH&SH objectives?		
4.1.18	Does the organization maintain documented information on its OH&SH objectives?		
4.1.19	Has the organization determined how to address its OH&SH objectives?		
4.1.20	Has the organization determined who will be responsible for achieving OH&SH objectives?		
4.1.21	Has the organization determined resources for achieving		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1.1	Does the organization determine how to address the needs of workers when it addresses OH&S objectives?		
4.1.2	Does the organization consider how to integrate activities for addressing its OH&S objectives into its business process?		
4.1.3	Are the organization provide enough resources to establish and fulfil its OH&S requirements?		
4.1.4	Are the organization determine necessary competence of personnel involved in the OH&S?		
4.1.5	Does the organization employ OH&S-competent personnel?		
4.1.6	Does the organization determine training needs associated with its OH&S hazards and the OH&S?		
4.1.7	Does the organization retain documented information as evidence of competence?		
4.1.8	Are the workers aware of the OH&S policy and the objectives?		
4.1.9	Are the workers aware of their contribution to the effectiveness of OH&S, including the benefits of improved OH&S performance?		
4.1.10	Are the workers aware of the implications and potential consequences of nonconforming with OH&S requirements?		
4.1.11	Are the workers aware of incidents, and the outcomes of their investigations, that are relevant to them?		
4.1.12	Are the workers aware of hazards, OH&S risks and control measures, that are relevant to them?		
4.1.13	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 further consequences for doing so?		
4.1.14	Are the organization established, implemented and maintained process needed for the internal and external communication relevant to the OH&S?		
4.1.15	Are the organization determine what to communicate?		
4.1.16	Are the organization determined when to communicate?		
4.1.17	Are the organization determined with whom to communicate?		
4.1.18	Are the organization determined how to communicate?		
4.1.19	Are the organization take into account workers' inputs when considering its communication needs?		
4.1.20	Are the organization ensure that the status of external		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
7.1.1	Information systems are considered in establishing its communication process?		
7.1.2	When establishing its communication process, is the organization able to account to legal and other requirements?		
7.1.3	When establishing its communication process, is the organization aware that OHS&S information to be communicated is consistent with information generated within OHS&S, and is visible?		
7.1.4	Does the organization respond to relevant communications as to OHS&S?		
7.1.5	Does the organization retain documented information as evidence of its communication, as appropriate?		
7.1.6	Does the organization internally communicate information relevant to OHS&S among the various levels and functions of the organization, including changes to the OHS&S, as appropriate?		
7.1.7	Does the organization ensure its communication process enables workers to contribute to continual improvement?		
7.1.8	Does the organization internally communicate information relevant to the OHS&S as established by the organization's communication process and its response to its legal and other requirements?		
7.1.9	Does the organization's OHS&S include documented information required by the OHS&S?		
7.1.10	Does the organization's OHS&S include documented information determined by the organization to be necessary?		
7.1.11	Does the organization's OHS&S include documented information required by legal and other requirements?		
7.1.12	Does the organization's documented information have proper identification, description, and format?		
7.1.13	Does the organization ensure proper review, approval, and updates of its documented information?		
7.1.14	Is the organization's documented information available and suitable for use, access and when it is needed?		
7.1.15	Does the organization ensure that protection of its documented information is adequate?		
7.1.16	Does control of the organization's documented information include distribution, access, retrieval and use?		
7.1.17	Does the organization control change and conservation of its documented information, including legibility?		
7.1.18	Does the organization track retention time of		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1.1	Does the organization establish and document, including within an organization, the requirements of the standard, including the requirements of external organizations, and control it as appropriate?		
4.1.2	Has the organization plan, implement, control and maintain the processes needed to meet requirements of the standard and the requirements of external organizations?		
4.1.3	Has the organization established criteria for the processes?		
4.1.4	Has the organization implemented control of the processes in accordance with the criteria?		
4.1.5	Has the organization monitored and used documented information to the extent necessary to have confidence that the processes have been carried out as planned?		
4.1.6	In multi-organizational workplaces, has the organization coordinated the relevant parts of the standard with other organizations?		
4.1.7	Has the organization established, implemented and maintained processes for the identification of hazards and reduction of risks not using the hierarchy of controls?		
4.1.8	Has the organization established a process for the implementation and control of planned temporary and permanent changes that impact OHS performance?		
4.1.9	Does the organization review the consequences of unintended changes, taking into account its unique adverse effects, as necessary?		
4.1.10	Has the organization ensured that contractual processes are controlled?		
4.1.11	Has the organization defined the type and degree of control to be applied to these processes within the standard?		
4.1.12	Has the organization established, implemented and maintained a process to control the procurement of product and services in order to ensure their conformance with the standard?		
4.1.13	Has the organization established, implemented and maintained the process, in coordination with its contractors, for hazard identification and to assess and control the OHS risks arising from the contractors' activities and operations that impact the organization?		
4.1.14	Has the organization established, implemented and maintained the process, in coordination with its contractors, for hazard identification, and to assess and control the OHS risks arising from organization's activities and operations that impact contractors' workers?		

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ISO 45001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1.1	Has the organization established, implemented and maintained the process, in consultation with its contractors, for hazard identification and to assess and control the OH&S risk arising from contractors' activities and operations that impact other interested parties in the workplace?		
4.1.2	Has the organization established and maintained systems to ensure that the requirements of the organization's OH&S are met by contractors and their workers?		
4.1.3	Does the process define and apply occupational health and safety criteria for the selection of contractors?		
4.1.4	Has the organization established, implemented, and maintained the processes needed to prepare for and respond to potential emergency situations?		
4.1.5	Does the organization plan actions to prevent or mitigate other OH&S impacts from emergency situations?		
4.1.6	Does the organization periodically test the planned response actions?		
4.1.7	Does the organization provide relevant information and training related to emergency preparedness and response to relevant interested parties?		
4.1.8	Does the organization monitor and review the processes and planned response actions, particularly after the occurrence of emergency situations and tests?		
4.1.9	Does the organization maintain documented information about emergency preparedness procedures?		
4.1.10	Does the organization monitor, measure, analyze and evaluate its OH&S performance?		
4.1.11	Has the organization determined what needs to be monitored and measured, as well as monitoring and measuring methods to ensure valid results?		
4.1.12	Has the organization determined the criteria and indicators for evaluation of its OH&S performance?		
4.1.13	Has the organization determined when the monitoring and measurement will be performed and when the results will be analyzed and evaluated?		
4.1.14	Has the organization ensured that calibrated or certified monitoring and measurement equipment is used and maintained?		
4.1.15	Has the organization evaluated its OH&S performance and the effectiveness of its OH&S?		
4.1.16	Has the organization communicated relevant OH&S performance information according to the communication process and compliance obligations?		
4.1.17	Has the organization retained appropriate documented information as evidence of the monitoring and		

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9.1.1	Does the organization establish, implement, and maintain the processes needed to evaluate fulfillment of its compliance obligations?		
9.1.2	Has the organization determined the frequency of the compliance evaluation?		
9.1.3	Has the organization evaluated the compliance and other criteria needed?		
9.1.4	Does the organization maintain knowledge and understanding of its compliance status?		
9.1.5	Does the organization retain documented information as evidence of the compliance evaluation results?		
9.1.6	Does the organization conduct internal audits at planned intervals to provide information on whether: <ul style="list-style-type: none"> a) conforms to its own requirements for its ISO 45001 MS? b) conforms to requirements of the ISO 45001 MS? c) is effectively implemented and maintained? 		
9.1.7	Does the organization establish, implement, and maintain internal audit programs?		
9.1.8	Has the organization determined the frequency, methods, responsibilities, planning requirements, and reporting of its internal audits?		
9.1.9	When establishing the internal audit program, do the organization also take account the results of previous audits?		
9.1.10	When establishing the internal audit program, do the organization also take account the importance of the processes concerned?		
9.1.11	Has the organization defined the audit criteria and scope of each audit?		
9.1.12	Does the organization ensure objectivity of the audit process?		
9.1.13	Does the organization communicate audit results to the relevant management?		
9.1.14	Does the organization document information about audits and audit results?		
9.1.15	Does top management review the organization's internal audits?		
9.1.16	Does top management, during review, consider the status of actions from previous management reviews?		
9.1.17	Does top management review include consideration of internal and external issues relevant to the organization's internal audits?		
9.1.18	Does top management review include consideration of		

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	Do the needs and expectations of interested parties, including compliance obligations?		
4.1.1	Does top management ensure that the consideration of the significant risks (hazard and risk)?		
4.1.2	Does top management ensure that the consideration of the risks (hazard and opportunity)?		
4.1.3	Does top management ensure that the consideration of the extent to which OH&S objectives have been achieved?		
4.1.4	Does top management ensure that the consideration of needs in nonconformities and corrective action?		
4.1.5	Does top management ensure that the consideration of needs in monitoring and measurement results?		
4.1.6	Does top management ensure that the consideration of needs in efficiency?		
4.1.7	Does top management ensure that the consideration of opportunities for continual improvement?		
4.1.8	Does top management ensure that the consideration about continual improvement opportunities?		
4.1.9	Does top management ensure that the decision related to continual improvement?		
4.1.10	Does top management ensure that the needed action plan (OH&S) goals have not been achieved?		
4.1.11	If needed, does top management ensure that opportunities to improve integration of the OH&S with other business processes?		
4.1.12	Does top management ensure that any implications for the strategic direction of the organization?		
4.2.1	Does the organization establish documented information about management system?		
4.2.2	Does the organization take actions to improve its system?		
4.2.3	Do the organization establish, implement and maintain the process that includes reporting, investigating and taking actions to determine and manage incidents and nonconformities?		
4.2.4	When an incident or a nonconformity occurs, does the organization report in timely manner to the incident or nonconformity?		
4.2.5	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 cause elsewhere?		

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4.3.1	When an incident or a nonconformity occurs, does the organization assess existing assessments of OH&S risks and other risks, as appropriate?		
4.3.2	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?		
4.3.3	When an incident or a nonconformity occurs, does the organization assess OH&S risks prior to taking action that can result in new or changed hazards?		
4.3.4	When an incident or a nonconformity occurs, does the organization assess effectiveness of any action taken, including corrective action?		
4.3.5	When an incident or a nonconformity occurs, does the organization make changes to the OH&SMS, if necessary?		
4.3.6	Are the corrective actions appropriate to the effects of the incidents or nonconformities encountered?		
4.3.7	Does the organization retain documented information as evidence of the nature of the incidents or nonconformities and any subsequent action taken?		
4.3.8	Does the organization retain documented information as evidence of the results of any action and corrective action including their effectiveness?		
4.3.9	Does the organization communicate this documented information to relevant workers, and where this may affect representatives, and relevant interested parties?		
4.3.10	Does the organization continually improve suitability, adequacy and effectiveness of the OH&SMS by enhancing OH&S performance?		
4.3.11	Does the organization continually improve suitability, adequacy and effectiveness of the OH&SMS by providing workers that supports OH&S?		
4.3.12	Does the organization continually improve suitability, adequacy and effectiveness of the OH&SMS by communicating the relevant results of continual improvement to workers, and where this may affect representatives?		
4.3.13	Does the organization continually improve suitability, adequacy and effectiveness of the OH&SMS by maintaining and retaining documented information as evidence of results of continual improvement?		

Commented [45A3]: 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.

Commented [45A5]: To be filled in during the audit – records, verbal statements or auditor's personal observations that confirm the finding.

Commented [45A4]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.