ISO 45001 OH&S Internal Audit

Program Audit Checklist

Facility Name:	
Auditor:	
Date:	
Audit Period:	

Regulatory References

The following regulations and guidance documents are applicable to this program audit. Click any link to view the full text.

Regulation / Guidance Document
ISO 45001:2018 — Occupational Health and Safety Management Systems (ISO Store)
ISO 19011:2018 — Guidelines for Auditing Management Systems
ISO 45002:2023 — OH&S General Guidelines for Implementation
ISO 45001 Annex A — Guidance on the Use of ISO 45001:2018
OSHA Recommended Practices for Safety and Health Programs
IAF MD 22 — Application of ISO/IEC 17021-1 for OH&S Management Systems
ANAB Accreditation Requirements for OHSMS Certification

Instructions: Review each audit item and record findings in the Status and Notes columns. Use C (Compliant), NC (Non-Compliant), NA (Not Applicable), or NR (Needs Review) for the status. Document specific findings, evidence reviewed, and any corrective actions needed in the Notes column.

Clause 4: Context of the Organization

Audit Item	Expected Finding	Status	Notes / Evidence
Internal and external issues (4.1)	The organization has determined external and internal issues relevant to its purpose that affect its ability to achieve the intended outcomes of the OH&S management system. Issues include regulatory requirements, industry hazard profiles, organizational culture, workforce demographics, technology changes, economic factors, and supply chain considerations. Issues are monitored and reviewed. » *Ref: ISO 45001:2018 Clause 4.1*		
Workers and interested parties (4.2)	Workers and other interested parties relevant to the OH&S management system have been identified along with their relevant needs and expectations. Workers are specifically identified as interested parties. The organization has determined which needs and expectations are or could become legal requirements and other requirements. » *Ref: ISO 45001:2018 Clause 4.2*		
OH&S management system scope (4.3)	The scope of the OH&S management system has been determined considering		

Audit Item	Expected Finding	Status	Notes / Evidence
	internal/external issues (4.1), legal and other requirements (4.2), and planned or performed work-related activities. The scope is documented, available, and includes all activities, products, and services that can affect OH&S performance. » *Ref: ISO 45001:2018 Clause 4.3*		
OH&S management system (4.4)	The organization has established, implemented, maintained, and continually improves the OH&S management system including needed processes and their interactions, in accordance with ISO 45001 requirements. » *Ref: ISO 45001:2018 Clause 4.4*		

Clause 5: Leadership and Worker Participation

Audit Item	Expected Finding	Status	Notes / Evidence
Leadership and commitment (5.1)	Top management demonstrates leadership and commitment by taking overall responsibility and accountability for prevention of work-related injury and ill health, ensuring OH&S policy and objectives are established, ensuring integration of OH&S into business processes, providing resources, communicating the importance of effective OH&S, ensuring the system achieves intended outcomes, directing and supporting workers to contribute, promoting continual improvement, supporting other relevant management roles, and developing a culture that supports the OH&S management system. » *Ref: ISO 45001:2018 Clause 5.1*		
OH&S policy (5.2)	An OH&S policy is established that includes a commitment to provide safe and healthy working conditions for prevention of work-related injury and ill health, a commitment to eliminate hazards and reduce OH&S risks using the hierarchy of controls, a commitment to fulfill legal and other requirements, a commitment to consultation and participation of workers, and a commitment to continual improvement. The policy is documented, communicated, and available to interested parties. » *Ref: ISO 45001:2018 Clause 5.2*		
Roles, responsibilities, and authorities (5.3)	Top management has assigned responsibility and authority for ensuring the OH&S management system conforms to ISO 45001 requirements and for reporting on OH&S management system performance. Responsibilities are assigned at relevant levels, documented, and communicated. » *Ref: ISO 45001:2018 Clause 5.3*		
Worker consultation and participation (5.4)	The organization has established, implemented, and maintains processes for consultation and participation of workers at all applicable levels and functions. Workers are consulted on determining interested parties' needs, establishing the OH&S policy, assigning roles, determining legal requirements, establishing OH&S objectives, determining controls,		

Audit Item	Expected Finding	Status	Notes / Evidence
	identifying training needs, and determining what to communicate. Workers participate in determining mechanisms for consultation and participation, identifying hazards and assessing risks, determining actions to control hazards, investigating incidents, and determining competence needs. » *Ref: ISO 45001:2018 Clause 5.4*		

Clause 6: Planning

Audit Item	Expected Finding	Status	Notes / Evidence
Hazard identification (6.1.2.1)	The organization has established ongoing and proactive processes for hazard identification considering how work is organized, social factors, leadership, culture, routine and non-routine activities, past incidents, potential emergencies, people (including contractors and visitors), other factors (equipment design, workplace conditions, human factors), and changes or potential changes. The hazard identification process is maintained as documented information. » *Ref: ISO 45001:2018 Clause 6.1.2.1*		
Risk assessment and opportunities (6.1.2.2–6.1.2.3)	The organization has established processes to assess OH&S risks from identified hazards (considering existing controls) and assess opportunities to enhance OH&S performance. Assessment methodology is defined, documented, and applied consistently. Risk assessment includes evaluation of the effectiveness of existing controls. » *Ref: ISO 45001:2018 Clauses 6.1.2.2–6.1.2.3*		
Legal and other requirements (6.1.3)	The organization has determined and has access to legal requirements and other requirements applicable to its hazards and OH&S management system. It has determined how these apply and has taken them into account in the OH&S management system. The organization maintains documented information on its legal and other requirements and ensures they are up to date. » *Ref: ISO 45001:2018 Clause 6.1.3*		
OH&S objectives and planning (6.2)	OH&S objectives are established at relevant functions and levels, consistent with the OH&S policy, measurable (or capable of performance evaluation), take into account applicable requirements, results of risk/opportunity assessment, and results of consultation with workers. Objectives are monitored, communicated, and updated. Plans for achieving objectives include what, resources, responsibility, timeframes, evaluation methods, and how actions will be integrated into business processes. » *Ref: ISO 45001:2018 Clause 6.2*		

Clause 7: Support

Audit Item	Expected Finding	Status	Notes / Evidence
Resources and competence (7.1–7.2)	Resources needed for the OH&S management system are determined and provided. Persons affecting OH&S performance are competent on the basis of education, training, or experience. Competence needs associated with hazards and the OH&S management system are determined. Actions to acquire competence include training, mentoring, reassignment, or hiring. Effectiveness of actions is evaluated. Documented information is retained. » *Ref: ISO 45001:2018 Clauses 7.1–7.2*		
Awareness (7.3)	Workers are aware of the OH&S policy and objectives, their contribution to OH&S management system effectiveness, implications of nonconformity, incidents and investigation results relevant to them, hazards and OH&S risks and actions determined that are relevant to them, and the ability to remove themselves from work situations they consider present an imminent and serious danger to their life or health (without undue consequence). » *Ref: ISO 45001:2018 Clause 7.3*		
Communication (7.4)	Processes are established for internal and external communications relevant to the OH&S management system including what, when, with whom, and how to communicate. Communications take into account diversity aspects (language, culture, literacy, disability). Views of interested parties are considered. Legal and other communication requirements are addressed. Information communicated is consistent with OH&S management system information and is reliable. » *Ref: ISO 45001:2018 Clause 7.4*		
Documented information (7.5)	The OH&S management system includes documented information required by ISO 45001 and determined necessary by the organization. Documented information is appropriately created, updated, controlled, and protected. Controls address distribution, access, retrieval, storage, retention, and disposition. » *Ref: ISO 45001:2018 Clause 7.5*		

Clause 8: Operation

Audit Item	Expected Finding	Status	Notes / Evidence
Hierarchy of controls (8.1.2)	The organization has established processes for eliminating hazards and reducing OH&S risks using the hierarchy of controls: (a) eliminate the hazard, (b) substitute with less hazardous processes/operations/materials/equipment, (c) use engineering controls and reorganization of work, (d) use administrative controls including training, (e) use adequate personal protective equipment. The hierarchy is applied systematically and documented. Workers are involved in developing controls. » *Ref: ISO 45001:2018 Clause 8.1.2*		

Audit Item	Expected Finding	Status	Notes / Evidence
Management of change (8.1.3)	The organization has established processes for managing planned temporary and permanent changes that can impact OH&S performance including new products/services/processes, work organization/conditions/equipment, legal and other requirements, knowledge/information about hazards, and developments in knowledge and technology. Consequences of unintended changes are reviewed and action taken to mitigate adverse effects. » *Ref: ISO 45001:2018 Clause 8.1.3*		
Procurement and contractors (8.1.4)	Processes are established for procurement to ensure conformity with the OH&S management system. Processes coordinate with contractors to identify hazards and assess/control OH&S risks arising from contractor activities, the organization's activities affecting contractor workers, and contractor activities affecting other interested parties. Criteria for selecting contractors include OH&S considerations. » *Ref: ISO 45001:2018 Clause 8.1.4*		
Emergency preparedness and response (8.2)	Processes are established for preparing for and responding to potential emergency situations including planned response actions, first aid provision, training and drills, periodic testing of planned actions, evaluation and revision after occurrences or drills, and communication of relevant information to all workers. Emergency processes account for the needs of interested parties, local emergency services, and neighboring organizations. » *Ref: ISO 45001:2018 Clause 8.2*		

Clause 9: Performance Evaluation

Audit Item	Expected Finding	Status	Notes / Evidence
Monitoring, measurement, and evaluation (9.1.1–9.1.2)	The organization monitors, measures, analyzes, and evaluates OH&S performance including extent to which legal and other requirements are fulfilled, activities and operations related to identified hazards/risks/opportunities, progress toward OH&S objectives, and effectiveness of operational and other controls. Equipment is calibrated. Compliance evaluation processes are established, frequency determined, and compliance status is maintained. » *Ref: ISO 45001:2018 Clauses 9.1.1–9.1.2*		
Internal audit (9.2)	Internal audits are conducted at planned intervals providing information on whether the OH&S management system conforms to the organization's requirements and ISO 45001, and is effectively implemented and maintained. An audit program is established considering importance of processes, changes, and previous audit results. Audit criteria, scope, frequency, and methods are defined. Auditors are objective and impartial. Results are reported to relevant management and workers. Corrective action is		

Audit Item	Expected Finding	Status	Notes / Evidence
	taken without undue delay. Documented information is retained. » *Ref: ISO 45001:2018 Clause 9.2, ISO 19011:2018*		
Management review (9.3)	Top management reviews the OH&S management system at planned intervals considering: status of previous actions, changes in external/internal issues, fulfillment of OH&S policy and objectives, OH&S performance, adequacy of resources, communications from interested parties, opportunities for continual improvement, and results of worker consultation and participation. Outputs include decisions on improvement opportunities, resource needs, OH&S management system changes, and actions when objectives are not achieved. Outcomes are communicated to workers. » *Ref: ISO 45001:2018 Clause 9.3*		

Clause 10: Improvement

Audit Item	Expected Finding	Status	Notes / Evidence
Incident investigation and nonconformity (10.2)	The organization has established processes for reporting, investigating, and taking action on incidents and nonconformities. Investigation is timely and determines root causes. Workers participate in investigation. The organization evaluates the need for corrective action, implements any needed action, reviews effectiveness of corrective action, and makes changes to the OH&S management system if necessary. Results of incident investigation are communicated to relevant workers and their representatives. Documented information is retained. » *Ref: ISO 45001:2018 Clause 10.2*		
Continual improvement (10.3)	The organization continually improves the suitability, adequacy, and effectiveness of the OH&S management system by enhancing OH&S performance, promoting a culture supporting the OH&S management system, promoting worker participation in implementing continual improvement actions, communicating relevant results to workers, and maintaining and retaining documented information as evidence. » *Ref: ISO 45001:2018 Clause 10.3*		

Corrective Actions Summary

#	Finding	Corrective Action	Responsible	Due Date
1				
2				
3				

#	Finding	Corrective Action	Responsible	Due Date
4				
5				

Audit Sign-Off

Auditor Name:

Auditor Signature:

Date Completed:

Reviewed By:

Review Date:

Status Key: C = Compliant | NC = Non-Compliant | NA = Not Applicable | NR = Needs Review