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ISO 45001 internal audit

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Annexes

Goal of the module: To perform an internal audit according to ISO 19011 in order to:

- seize improvement opportunities
- increase the satisfaction of interested parties
- evaluate the performance of the OH&SMS ISO 45001

1 Scope

The word audit comes from Latin "audire" = to listen.

Audit: *a systematic and independent survey to determine whether activities and results comply with pre-established measures and are capable of achieving the objectives*

Audits are mostly internal or external.

Internal audits, also called first party audits, are a requirement of the ISO 45001 standard (cf. sub-clause 9.2).

External, customer (or supplier) and certification audits, also called second and third party audits, are not within the scope of this module.

Internal audits are the most widespread tool for checking and evaluating the effectiveness of an occupational health and safety management system (OH&SMS). It is never intended to find the weak points in personnel. The internal audit has entered many company's daily lives as it has become inseparable from:

- any management system
- internal communication
- daily improvement
- corporate culture

It's only through other people's eyes that one can really see one's weakness. Chinese proverb

An internal audit is of (cf. figure 1-1):

- the management system
- a process
- a product (service, project)

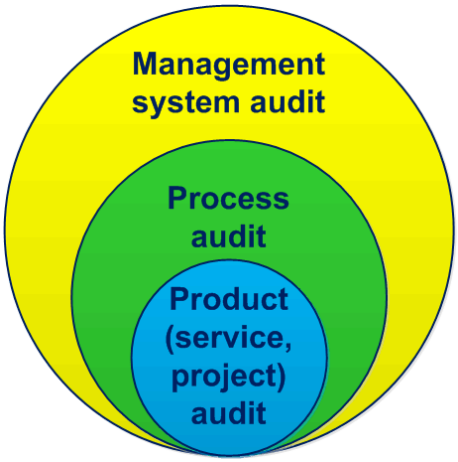


Figure 1-1. Internal audit types

Process: *activities that transform inputs into outputs*

The internal audit results are part of the inputs of the management review and allow the identification of fields in which to improve the occupational health and safety management system (OH&SMS) as:

No system is perfect

As shown in figure 1-2, for the process “Conduct an audit”, top management (via the management review) is considered as an audit client with needs and expectations, which are themselves related to processes and various requirements.

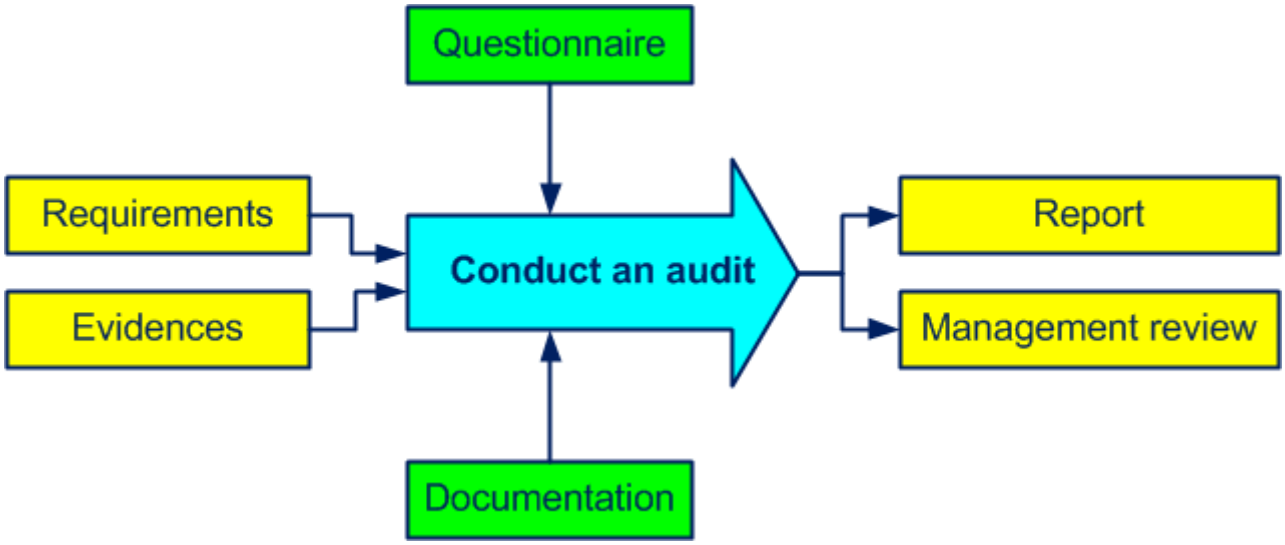


Figure 1-2. Conduct an audit process

2 Normative references

The advice given by the ISO 19011 standard can be summarized in the following fields:

- audit principles - clause 4
- audit program - clause 5
- audit activities - clause 6
- auditor competence - clause 7

A good knowledge of the ISO 45001 standard is required to understand and follow this module.

This module is based on the following generic and international standards:

- **ISO 45001 (2018): Occupational health and safety management systems - Requirements with guidance for use**
- **ISO 19011 (2018): Guidelines for auditing management systems**
- **ISO 9001 (2015): Quality management systems - Requirements**

All these standards and many more can be ordered in electronic or paper format on the ISO site.

More than 28,000 standards (in English and other languages) are available on the Public.Resource.Org site.

3 Definitions

The beginning of wisdom is calling things by their proper names. Chinese proverb

Some terms and definitions currently used in this module:

Acceptable risk: *risk reduced to a tolerable level*
Accident: *undesired event causing death or health and environmental damages*
Audit client: *everyone requesting an audit*
Audit conclusions: *outcome of an audit*
Audit criteria: *everything against which audit evidence is compared*
Audit findings: *every deviation from audit criteria*
Auditee: *everyone who is audited*
Auditor: *everyone who is trained to carry out audits*
Competence: *personal skills, knowledge and experiences*
Corrective action: *action to eliminate the causes of nonconformity or any other undesirable event and to prevent their recurrence*
Customer: *anyone who receives a product*
Environment: *space in which any organization functions*
Hazard: *situation that could lead to an incident*
Incident: *undesired event that could lead to health damages*
Interested party: *person, group or company affected by the impacts of an organization*
Nonconformity: *non-fulfillment of a specified requirement*
Occupational health and safety (OH&S): *everything that can influence on the wellbeing of the personnel in a company*
OHSMS: *Occupational Health and Safety Management System*
Organization: *a structure that satisfies a need*
Product (or service): *every result of a process or activity*
Risk: *likelihood of occurrence of a threat or an opportunity*
Safety: *aptitude to avoid an undesired event*
Stakeholder: *person, group or company that can affect or be affected by an organization*
Supplier: *an entity that provides a product*

Examples of stakeholders: investors, customers, suppliers, employees and social, public or political organizations

In the terminology of occupational health and safety management systems, do not confuse the following:

- anomaly, defect, dysfunction, failure, nonconformity, reject and waste:
  - anomaly is a deviation from what is expected
  - defect is the non-fulfillment of a requirement related to an intended use
  - dysfunction is a degraded function which can lead to a failure
  - failure is when a function has become unfit
  - nonconformity is the non-fulfillment of a requirement in production
  - reject is a nonconforming product which will be destroyed
  - waste is when there are added costs but not value
- accident and incident
  - an accident is an unexpected serious event
  - an incident is an event which can lead to an accident
- audit and inspect
  - to audit is to check and improve the OH&SMS
  - to inspect is to verify the conformity of a process or product
- audit, auditee and auditor

    - an audit is a process of evaluating and improving the OH&SMS
    - an auditee is the one who is audited
    - an auditor is the one who conducts the audit
- audit program and plan
    - an audit program is the annual planning of the audits
    - an audit plan is the description of the audit activities
- control and optimization
    - control is meeting the objectives
    - optimization is the search for the best possible results
- customer, supplier and subcontractor
    - a customer receives a product
    - a supplier provides a product
    - a subcontractor provides a service or a product on which a specific work is done
- effectiveness and efficiency
    - effectiveness is the level of achievement of planned results
    - efficiency is the ratio between results and resources
- follow-up and review
    - follow-up is the verification of the obtained results of an action
    - review is the analysis of the effectiveness in achieving objectives
- hazard and risk:
    - hazard is the state, the situation, the source which can lead to an accident
    - risk is the measurement, the consequence of a hazard
- indicator and objective
    - an indicator is the information on the difference between the achieved result and the pre-set objective
    - an objective is a sought after commitment
- organization and enterprise, society, company
    - organization is the term used in the standard ISO 45001 as the entity between the supplier and the customer
    - enterprise, society and company are examples of organizations
- organizational chart and process map
    - the organizational chart is the graphic display of departments and their links
    - the process map is the graphic display of processes and their interaction
- process, procedure, product, activity and task
    - a process is how we satisfy the customer using people to achieve the objectives
    - a procedure is the description of how we should conform to the rules
    - a product is the result of a process
    - an activity is a set of tasks
    - a task is a sequence of simple operations

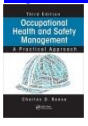
Remark 1: each time you use the term "improvement opportunity" instead of nonconformity, malfunction or failure, the auditee will gain a little more confidence in you.

Remark 2: the use of ISO 19011, ISO 45001 and ISO 9000 definitions is recommended. The most important thing is to determine a common and unequivocal vocabulary for everyone in the company.

For other definitions, comments, explanations and interpretations that you don't find in this module and annex 06, you can consult:

- ISO 9000: 2015 .Quality management systems - Fundamentals and vocabulary
- Introduction and support package: Guidance on the Terminology used in ISO 9001 and ISO 9004 (Document: ISO/TC 176/SC 2/N526 R2, October 2008)
- Quality management system – Indicators and synoptical tables (FD X50 - 171, AFNOR 2000)
- Information technology - Vocabulary - Part 36: Learning, education and training (ISO/IEC 2382-36, May 2008)

Books for further reading on internal audits:

-  David Hoyle, John Thompson, ISO 9000 Auditor Questions, Transition Support, 2001
-  J. P. Russel, The Internal Auditing Pocket Guide, ASQ Quality Press, 2002
-  Spencer Pickett, The Essential Handbook of Internal Audit, John Wiley & Sons, 2005
-  Karen Welch, The Process Approach Audit Checklist for Manufacturing, ASQ Quality Press, 2005
-  J. P. Russel, The Process Auditing and Techniques Guide, ASQ Quality Press, 2010
-  Janet Smith, Auditing Beyond Compliance, ASQ Quality Press, 2012
-  Patrick Ambrose, ISO 9001:2008: Process Auditing Checklist, Amazon Digital Services, 2013
-  Ron McKinnon, Risk-based, Management-led, Audit-driven, Safety Management Systems, CRC Press, 2016
-  Charles Reese, Occupational Health and Safety Management: A Practical Approach, CRC Press, 2017
-  Milton Dentch, The ISO 45001:2018 Implementation Handbook: Guidance on Building an Occupational Health and Safety Management System, ASQ Quality Press, 2018

-  Chris Ward, ISO 45001 Occupational Health and Safety Management System. Guide to Requirements: Non Technical Interpretation of ISO 45001 Requirements, Chris J Ward, 2018
-  Ramesh Lakhe, Kranti Dharkar, ISO 45001:2018 OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM (RRL), Independently published, 2018
-  Fred Dobb, The ISO 9001, 14001 or 18001(45001) certification audit: Make it painless, Eliminate auditors' invalid nonconformities, Brodsworth & Woods, 2018
-  Stephen Asbury, Health and Safety, Environment and Quality Audits: A Risk-based Approach, CRC Press, 2018

When I think of all the books still left for me to read, I am certain of further happiness. Jules Renard

4 Principles

4.1 Management principles

The seven quality management principles (cf. figure 4-1) will help us achieve sustained success (ISO 9001, sub-clause 0.2).

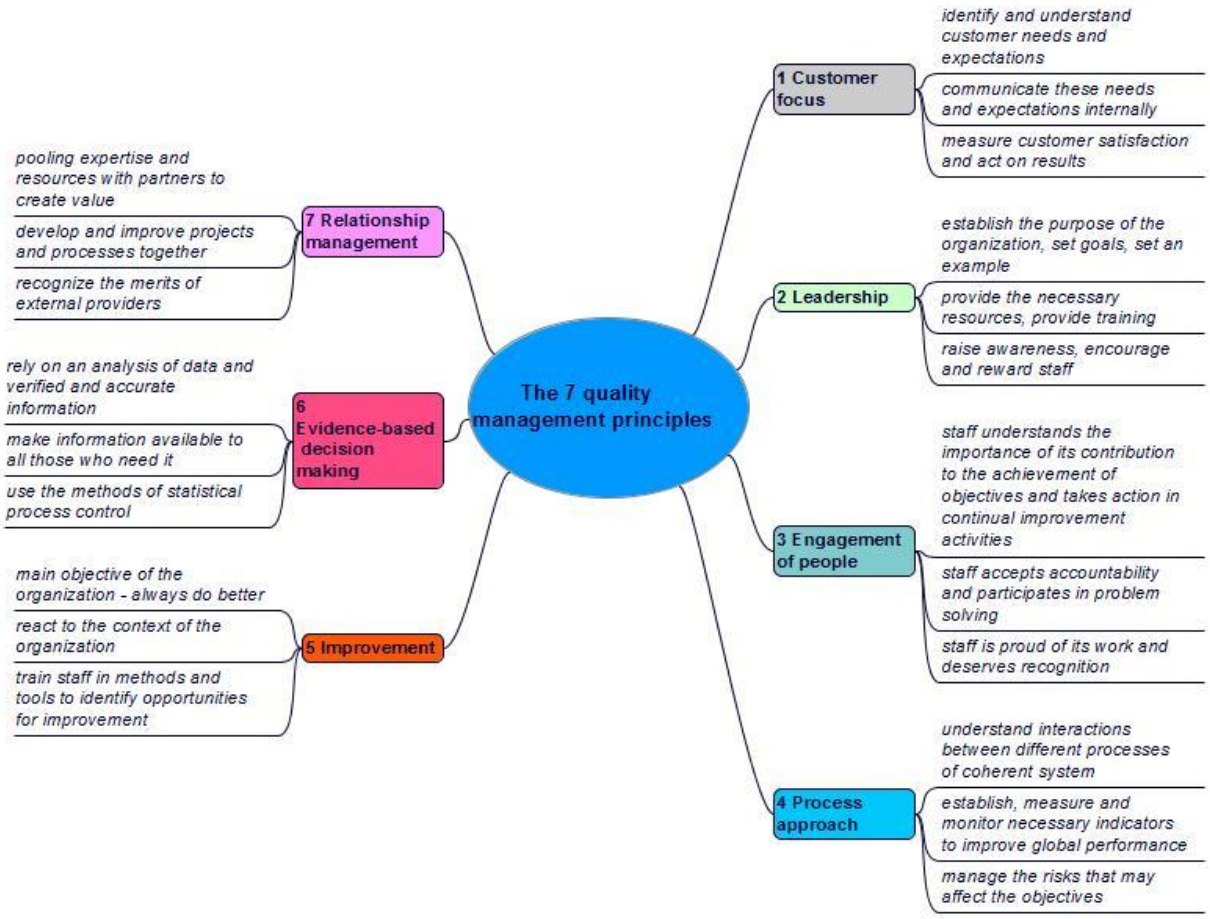


Figure 4-1. The 7 quality management principles

4.2 Audit principles

Certain principles must be followed for an audit to be a value added tool.

For the auditor:

- professional ethics, to guarantee:
  - mutual trust
  - compliance with legal requirements
- impartial presentation, to ensure:
  - honest and precise audit conclusions
  - detailed findings and audit reports
- professional integrity to guarantee:
  - the importance of the task
  - the trust given
- confidentiality, to treat with care information which is:

    - sensitive
    - confidential
- common sense - always the best tool
- curiosity, to learn and succeed
- goodwill to help the auditee identify improvement opportunities
- understandable language
- positive attitude is gratifying for the auditee

For the audit:

- independence (the auditor and audited activity do not have conflicts of interest), to guarantee:
    - objective conclusions
    - findings based on objective evidence
- factual approach, to ensure that:
    - audit evidence is verifiable
    - audit conclusions are repeatable

For the auditee:

- remain available
- do not try to hide the truth
- do not be afraid of the answers
- objectively accept the nonconformities found
- be aware of participating in the improvement of the OH&SMS by being:
    - benevolent and
    - cooperative

An auditor cannot audit their own department as:

No-one is a judge in his own case. Latin proverb



Minute of relaxation. Cf. joke "The engineer and the shepherd"

4.3 Performance of the OH&SMS

For an occupational health and safety management system what is of interest is the degree of achievement of objectives or, in other words, performance. The performance of an OH&SMS is measured by its effectiveness and, above all, by its efficiency (see figure 4-2).

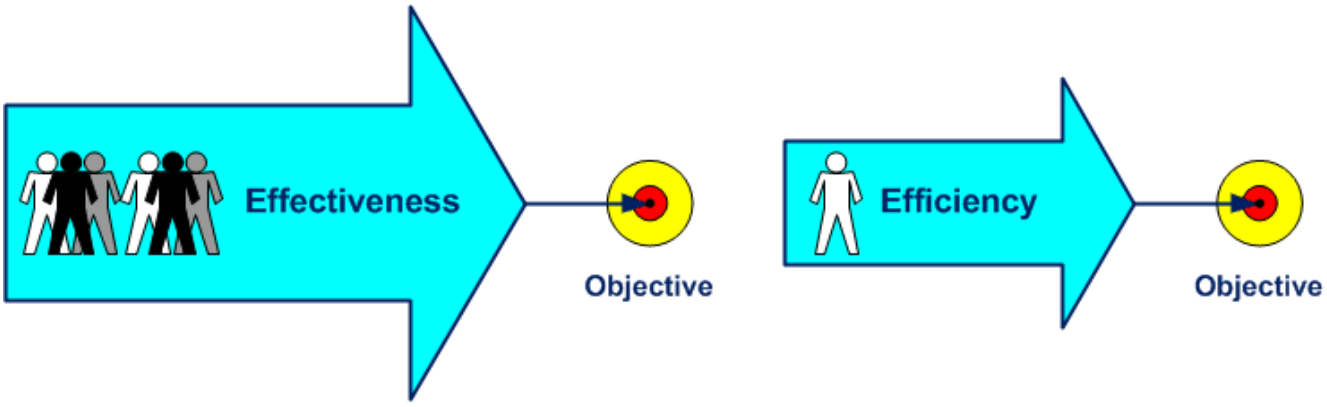


Figure 4-2. Performance of an OH&SMS

Effectiveness: *capacity to perform planned activities with minimum effort*
Efficiency: *financial relationship between achieved results and resources used*



N.B. We can be effective because we achieved our objective, but are not efficient if we used too many resources or tolerated and produced too much waste!