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ISO 45001 Audit Checklist
Safety Management System

Start your journey towards safety excellence!

The first step towards the ISO 45001 certification is completing a full safety audit across your organisation. That's why we're providing you with a simple checklist so you can start to grasp the scope of work and gain a high-level understanding of the milestones your organisation needs to achieve.

Find a **complete list of the ISO 45001 standards and clauses** on the ISO website, or you can step back and look at the big picture by using the checklist below.

ISO 45001 Audit Checklist

Clause 4: Context of the Organisation	
4.1 Have we determined external/ internal issues that affect our OHS outcomes?	
4.2 Do we understand the needs and expectations of workers and other interested parties?	
4.3 When determining the scope of the OH&S management system, did we consider:	
The issues flagged in 4.1	
The requirements we listed in 4.2	
The planned/performed work related to those activities	

Clause 5: Leadership

Has management shown leadership/ commitment to our OH&S management system by:	
Taking responsibility and accountability for all workplace/ health activities and OH&S outcomes	
Making sure our OH&S policy/objectives are aligned with our organisation's overall direction	
Integrating our OH&S requirements into the organisation's day-to-day processes	
Ensuring all resources are readily available	
Communicating the importance of OH&S management to the whole organisation	
Directing and supporting persons to contribute	
Promoting continual improvement	
Empowering other relevant management roles to demonstrate their leadership	
Developing, leading and promoting an OH&S-focused culture	
Ensuring workers know they will be praised (not punished) for reporting incidents/hazards/ risks	
Establishing and implementing processes for worker consultation and participation	
Establishing health and safety committees	
Ensuring that responsibilities are assigned, communicated, AND documented	
Setting up a feedback loop/ reporting system to track success	
Aligning our goals with legal guidelines	
Establishing competence requirements and training needs by setting up training and evaluating those training programs on an ongoing basis	
Determining and implementing control measures	
Investigating incidents/ nonconformities, then determining corrective actions	
Have we determined external/ internal issues that affect our OHS outcomes?	

Clause 6: Planning

Have we considered the issues referred to in 4.1, the requirements referred to in 4.2, and the scope of 4.3 to:	
Ensure our OH&S management system can succeed and continuously improve	
Build a simple and scalable risk management and hazard ID system	
Outline and document who is responsible and what they are responsible for	
Ensure all policies and procedure documents are up-to-date and readily accessible	
Prevent or reduce undesired effects	
Determine the risks and opportunities based on OH&S, operational, and legal requirements	
Build a system to ensure that changes (planned and unplanned) occur in a controlled way	
Establish, implement and maintain ongoing and proactive processes for hazard I.D	
Include social factors like workload, work hours, victimisation, harassment/bullying, leadership, and our culture into the above processes	
Identify people with access to the workplace and their activities, including workers, contractors, visitors, and other persons	
Identify those in the vicinity of the workplace that can be impacted by our activities	
Ensure all legal documents are up-to-date and readily accessible	

Clause 7: Support

Are we supporting our team in the pursuit of our OH&S goals by:	
Establishing, implementing, and maintaining continuous improvement of our OH&S management system	
Determining the necessary competencies required for every role	
Ensuring that workers are competent based on their education, training or experience	
Taking required actions to provide and maintain the necessary training where required	
Retaining and updating the appropriate documents as evidence of competence	
Have we made workers aware of:	
Our OH&S policy and objectives	
Their role in our OH&S management system	
The benefits of improved OH&S performance	
The potential consequences of not conforming	
Any incidents and the outcomes of investigations that are relevant to them	
Any hazards, risks, or actions that are relevant to them	
Their right to remove themselves from hazardous situations and the proper procedure to do so	
Are we ensuring we're communicating properly by:	
Documenting all information required by ISO 45001	
Creating, implementing, and maintaining processes needed for internal and external communications relevant to the OH&S management system	
Clarifying and documenting the who, what, where, when, and how involved in those systems	
Considering diversity aspects (e.g. gender, language, culture, literacy, disability) when mapping our communication needs	
Retaining all required documents and ensuring they're up-to-date and accessible	
Protecting these documents from loss of confidentiality, improper use, or loss of integrity	

Clause 8: Operation

Have we established, implemented, controlled and maintained the processes needed to meet our OH&S management system requirements by:	
Maintaining the documents we need to have confidence that these processes have been carried out as planned	
Adapting our work to our workers	
Do we provide training and accessible documents so that our employees understand the policies and procedures for:	
Eliminating hazards	
Substituting with less hazardous processes, operations, materials or equipment	
Using engineering controls and reorganisation of work	
Using administrative controls, including training	
Using adequate personal protective equipment	
Do we have documented processes to ensure any changes (i.e. locations, conditions, equipment, personnel, legal requirements) are handled in a controlled way?	
Have we coordinated our procurement processes in order to identify hazards and assess and control the OH&S risks arising from working with contractors?	
Have we ensured that our outsourcing arrangements are consistent with any legal requirements and with achieving our OH&S goals?	
Have we established, implemented and maintained the processes needed to respond to potential emergency situations?	
Do we conduct training, uptraining, and testing of those procedures?	
Have we maintained and retained documents related to these procedures?	

Clause 9: Performance Evaluation

Have we determined:

The methods for monitoring, measurement, analysis, and performance evaluation	
The criteria against which we will evaluate our OH&S performance	
Guidelines for calibrating the needed equipment	
When the monitoring and measuring shall be performed	
The data that will be analysed, evaluated, and communicated	
Where all testing, certification, and verification documents will be stored	

Do we have the processes and documents required to:

Determine the frequency and methods for the evaluation of compliance	
Evaluate compliance and take action if needed	
Understand our compliance status with legal requirements at all times	
Do we conduct internal audits at planned intervals, with objective and impartial auditors?	
Have we made the results of all audits available to stakeholders and all interested parties?	
How do we take action to address any issues?	
Have we retained and updated all audit documents?	
Have we created a system for top management to review our OH&S management system at planned intervals?	
Do we communicate the audit findings to workers and interested parties, including opportunities to improve?	

Clause 10: Improvement

Have we determined the opportunities for improvement and implemented the necessary actions to make them a reality?	
Do we have processes in place to report, investigate, and take action on incidents and nonconformities?	
When an incident or nonconformity has occurred do we:	
Act in a timely fashion	
Act appropriately	
Learn and take action so it doesn't happen again	
Measure our reaction and find ways to improve	
Do we retain documents that show:	
The nature of the incidents or nonconformities	
The subsequent actions taken	
The results and effectiveness of any actions	
Are we continually improving our OH&S management system, by:	
Enhancing OH&S performance	
Promoting an OH&S-focused culture	
Encouraging and rewarding the participation of workers	
Communicating the relevant results of continual improvement to our workers	
Maintaining and retaining documents that prove our continual improvement	

Want to learn the exact steps you need to follow to become ISO 45001 certified? Read part one of this two-part series:
How to Become ISO 45001 Certified

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