

OHSAS 18001

Internal Auditor Training



Student Manual

Agenda

I. The Standard

Introduction to auditing

0:15 Presentation: 18001 Internal Auditing Guide

0:15 Review Document: OHSAS 18001:2007

0:30 Exercise - Is it a requirement?

2:00 Presentation: Requirements of OHSAS 18001

0:45 Exercise - Find the requirement

0:15 Questions

II. The Audit

0:30 Scheduling the audit

0:30 Planning the audit

0:45 Opening meeting

0:45 Audit 4.2 OH&S policy

0:45 Audit 4.3.1 Hazard identification, risk assessment
and determining controls

0:45 Audit 4.4.2 Competence, training and awareness

0:45 Audit 4.5.3 Incident investigation, nonconformity,
corrective action and preventive
action

0:45 Audit 4.6 Management review

0:30 Auditors Document the Findings

0:30 Final Audit Report

0:30 Closing Meeting

0:30 Creating the Audit File

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Guide to Internal Auditing

OHSAS 18001

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A Guide to Internal Auditing

- Introduction
- Types of Audits
- Why Audit?
- Who Can Audit?
- Performing an Internal Audit
 - Planning
 - Opening Meeting
 - Techniques
 - Tools
 - Closing Meeting

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Introduction: Why are you here?

- To learn more about OHSAS 18001
- To be able to evaluate you own area and make improvements.
- To understand the audit process
- To be able to participate in the audit process
- To help our organization improve their health and safety position
- To help our organization improve the workplace(s)

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Is it a Requirement?

| <i>The standard requires that:</i> If the requirement is true, circle True and list the clause. If it is false, circle False and list the clause used. | True | False |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---------------------|
| 1. The OHSAS 18001 Occupational Health and Safety management system (OH&S system) must be established, documented, implemented and maintained to continually improve the system. | T <i>Clause:</i> | F <i>Clause:</i> |
| 2. The OH&S policy as defined by top management is required to be communicated to all persons working for or on behalf of the company. | T <i>Clause:</i> | F <i>Clause:</i> |
| 3. Top management must appoint a representative to ensure that the OH&S system is established, implemented and maintained. | T <i>Clause:</i> | F <i>Clause:</i> |
| 4. The management representative is not required to report on the performance of the OH&S system to top management. | T <i>Clause:</i> | F <i>Clause:</i> |
| 5. Internal and external communication regarding health and safety matters must be maintained. | T <i>Clause:</i> | F <i>Clause:</i> |
| 6. It is not necessary to involve workers and other interested parties in participation and consultation activities regarding OH&S matters. | T <i>Clause:</i> | F <i>Clause:</i> |
| 7. Management must review the OH&S management system every quarter of the year. | T <i>Clause:</i> | F <i>Clause:</i> |
| 8. A written procedure is needed to identify the health and safety hazards, assess their risks and determine the controls needed to reduce or eliminate the risks that have significant impact(s) on the organization. | T <i>Clause:</i> | F <i>Clause:</i> |
| 9. Persons performing tasks for the company or on behalf of the company that may have potential health and safety impacts must be competent. | T <i>Clause:</i> | F <i>Clause:</i> |
| 10. Employee training must include the awareness of the consequences of departure from specified procedures. | T <i>Clause:</i> | F <i>Clause:</i> |
| 11. The scope of the OH&S management system is required to be defined and documented. | T <i>Clause:</i> | F <i>Clause:</i> |
| 12. A documented procedure is required to deal with the investigation of incidents, and identifying the need for taking corrective and preventive actions. | T <i>Clause:</i> | F <i>Clause:</i> |
| 13. A documented procedure is required to handle emergency preparedness and response. | T <i>Clause:</i> | F <i>Clause:</i> |
| 14. The results of corrective and preventive actions taken to address nonconformities do not need to be recorded and communicated. | T <i>Clause:</i> | F <i>Clause:</i> |



OHSAS 18001 Requirements

4.3.3 Objectives and program(s)

Health and safety programs, with measurable objective and targets, need to be established to support the:

- OH&S policy,
- Prevention of injury,
- Prevention of ill health
- Reduction of hazards,
- Compliance to regulations, and
- Continual improvement.

[+ More details ..](#)

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OHSAS 18001 Requirements

4.4 Implementation and Operation

4.4.1 Resources, roles, responsibility, accountability and authority

- Resources include infrastructure and work environment
- Resources must be adequate and sufficient to maintain sites, products or services that are safe and healthy.
- Resources include human resources, where roles, responsibility, accountability and authority are defined.

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OHSAS 18001 Requirements

4.4.1 Resources, roles, responsibility, accountability and authority (cont.)

- A Management Representative is required to be appointed to oversee the OH&S system.
- Define the responsibility, accountability and authority for processes required for the OH&S system .. for example make use of:
 - Job descriptions,
 - Organization charts,
 - Single-point responsibility for activities / procedures
 - Etc.

[+ More details ..](#)

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Appendix


| Qty | Item | # of pages |
|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|
| 1 | Procedure 18QP-455 Internal audit | 3 |
| 1 | Memo from J. Sample at Eco Toy Company (ETC) | 1 |
| 1 | Basic Steps to an Internal Audit | 1 |
| 1 | Internal audit plan – blank form F-455-001 | 1 |
| 1 | Example of internal audit plan on form F-455-001 | 1 |
| 1 | Internal audit checklist – blank form F-455-002 | 1 |
| 5 | Examples of internal audit checklists for: 4.2 OH&S policy, 4.3.1 Hazard identification, risk assessment and determining controls 4.4.2 Competency, training and awareness, 4.5.3 Incident investigation, nonconformity, corrective and preventive action, 4.6 Management review. | 5 |
| 1 | Corrective/preventive action request –CPAR blank form F-453-010 | 1 |
| 5 | Examples of audit non-conformances – CPARs on form F-453-010 CAR-005 OH&S policy, CAR-010 Hazard identification, risk assessment and determining of controls, CAR-015 Competency, training and awareness, CAR-020 Incident investigation, nonconformity, corrective and preventive action, CAR-025 Management review. | 5 |
| 1 | Internal audit report – blank form F-455-002 | 2 |
| 1 | Example of internal audit report on form F-455-002 | 2 |
| 1 | Closing meeting agenda | 1 |
| 1 | The audit file | 1 |



| Audit Number: One | | Opening Meeting Attendees: <i>R Smith, R Ryan, D Delany, D Thomas, M T Moore, J Sample, A Bolt,</i> | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|--------|
| Date: <i>June 8, 2010</i> | | <i>R Richards, A Anderson, R Roberts</i> | |
| Area(s) to be audited: <i>Top Management (4.2 & 4.6) OHS Management Rep (4.3.1) Human resources (4.4.2) Manufacturing (4.5.3)</i> | | Closing Meeting Attendees: <i>Same as above</i> | |
| Scope of audit and objectives: <i>The scope of this audit will include auditing the warehouse for the following clauses of the standard: 4.2, 4.3.1, 4.4.2, 4.5.3, 4.6</i> | | Standard: <input checked="" type="checkbox"/> OHSAS 18001:2007 <input type="checkbox"/> Other: _____ | |
| Auditors: <i>Lead auditor: Richard Richards. Auditors: Ander Anderson, Robbie Roberts</i> | | | |
| Proposed Schedule | | | |
| Time | Process or Procedure | Team 1 | Team 2 |
| 8:00 | Opening meeting | | |
| 8:30 | Auditors meeting (doc review) | | |
| 9:30 | 4.2 OH&S policy | | |
| 10:00 | 4.6 Management review | | |
| 11:00 | 4.3.1 Hazard identification, risk assessment and determining controls | | |
| 12:00 | Lunch break | | |
| 1:00 | 4.4.2 Competence, training and awareness | | |
| 2:00 | 4.5.3 Incident investigation, nonconformity, correction and preventive action | | |
| 3:00 | Auditors meeting | | |
| 4:00 | Closing meeting | | |
| Corrective Actions to be verified: <i>None – this is the 1st internal audit</i> | | | |
| Primary contact: <i>Pete Peters</i> | | Time and Place for closing meeting: <i>4:00 pm in Conference room 3</i> | |
| Additional information: <i>Lunch will be catered at noon in conference room 1</i> | | | |
| Signature of Lead Auditor: <i>Richard Richards</i> | | Date: <i>June 8, 2010</i> | |

Example of Internal Audit Report

F-455-002

| | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Audit Number: 1 Page 1  | | Closing Meeting Attendees: <i>For Eco Toy Company:</i> <i>R Smith, R Ryan, D Delany,</i> <i>D Thomas, M T Moore,</i> <i>A Bolt, J Sample,</i> <i>+ Auditors R Richards,</i> <i>A Anderson, R Roberts</i> |
| Date: <i>June 15, 2010</i> | | |
| Area(s) audited: <i>Top Management (4.2 & 4.6)</i> <i>OHS Management Rep (4.3.1)</i> <i>Human resources (4.4.2)</i> <i>Manufacturing (4.5.3)</i> | | |
| Changes to Scope of Audit: <i>No changes, areas audited as planned.</i> | | |
| Auditor(s): <i>Lead auditor: Richard Richards, Auditors: Ander Anderson, Robbie Roberts</i> | | |
| Audit Record (Describe what you did, who you spoke to, what records you examined below): | | |
| General Comments: <i>All involved were very helpful and open when being audited. The documents and records requested were promptly furnished.</i> | | |
| List of documents reviewed: | | |
| <i>18QP-453 Incident investigation, nonconformity, corrective action and preventive action. Records R-450, F-443-001, F-447-001, F-453-001</i> | <i>18AP-431 Hazard identification, risk assessment and determining of controls. Records F-412-001. F-431-001</i> | |
| <i>18AP-442 Competency, training and awareness. Records F-442-001, F-442-003, F-442-004, F-442-005</i> | <i>18AP-460 Management review. Records F-460-001 and Meeting minutes</i> | |
| <i>18AP-420 OH&S policy</i> | -- | |
| List of persons interviewed: | | |
| <i>President, R Smith</i> | <i>Manufacturing manager, R Ryan</i> | |
| <i>Human resources manager, MT Moore</i> | <i>OHS Management Rep, J Sample</i> | |
| <i>Technical support manager, A Bolt</i> | <i>Materials manager, D Delany</i> | |