

ISO 45001:2018

Internal Auditor Training



Trainer's Guide

Overview

These course materials are meant to train people to conduct internal OH&S audits within your organization, which are necessary to meet the internal audit requirements of the ISO 45001:2018 standard.

The course is divided into two sections:

1. The first section will familiarize the students with the requirements ISO 45001:2018 OH&S management system.

Allow 4 hours for this section.

2. The second section is devoted to the auditing process. The students will go through all the steps required for an audit, with hands-on involvement in performing each step by conducting a mock audit of a fictitious company.

Allow 8 hours for this section.

This guide contains everything the instructor needs to lead the class.

We recommend that you print this guide as you'll need the PowerPoint speaker notes to lead the class.

Notes:

It is assumed that the instructor has certified Lead Auditor credentials or equivalent experience. This is not meant as a self study course.

It is recommended that the first audit the student is involved with be under the leadership of a lead auditor who has audit experience.

Course Materials

The supplies you will need are:

PowerPoint: **ISO 45001 Guide to Internal Audits** (included).

PowerPoint: **Requirements of ISO 45001** (included).

- A complete version with Speaker Notes is in this Trainer's Guide

PowerPoint: **Steps of Internal Audit** (included).

- A complete version with Speaker Notes is in this Trainer's Guide

Student Manual (included).

- Print one copy for **each student**
- You may wish to have extra copies of the CAR form
- It includes reduced versions of all the PowerPoint presentations.

The ISO 45001:2018 Standard (**NOT Included***)

- One copy for every 2-3 students.

Standards are available electronically from <http://www.techstreet.com/standards>

**The ISO 45001:2018 Standard is a copyrighted document and we are unable to include it.*

Safe-Toy Company (STC) Documented Information (included).

- Print one copy for **each team** of two or three students.
- See next page for list of contents.
- Note: For the purpose of this training, it is not possible to bring all documents from a fictitious company in the classroom.
- However, documents relevant to the audit and non-conformances observed are included. In the list of documented information, the relevant manual and procedures are highlighted in **brown font**.

The purpose of the internal audit is to demonstrate that the company is doing what the company says it does. Documents and records are required to prove that systems are in place. These copies are provided in the Safe-Toy Company (STC) Documents and Records file.

Pages 3 through 8 in STC Documents and Records contain the documentation that makes up the introductory section of the OH&S Management System. The remaining pages contain the Documentation and Records required for the Internal Audit training.

Guide to Internal Auditing ISO 45001:2018

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

Introduction: Why are you here?

- ❖ To learn more about ISO 45001:2018
- ❖ 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 performance

Understanding the Requirements of ISO 45001:2018

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Ref ISO/FDIS 45001:2018

Topics / Questions covered

- ▶ What is ISO 45001?
- ▶ What is needed for registration to ISO 45001?
- ▶ What are the requirements of ISO 45001:2018?
 - ▶ Section 4 - Context of the Organization
 - ▶ Section 5 - Leadership and Worker Participation
 - ▶ Section 6 - Planning
 - ▶ Section 7 - Support
 - ▶ Section 8 - Operation
 - ▶ Section 9 - Performance Evaluation
 - ▶ Section 10 - Improvement
- ▶ What are the next steps?

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The requirements of ISO 45001:2018 are described in 7 clauses or sections

Section 4 - Context of the Organization

Section 5 – Leadership and worker participation

Section 6 - Planning

Section 7 - Support

Section 8 - Operation

Section 9 - Performance Evaluation

Section 10 -Improvement

What is ISO 45001?

ISO 45001:2018 is the latest standard for Occupational Health and Safety Management Systems Requirements.

Previous version was OHSAS 18001:2007

- ▶ The ISO 45001 standard was designed by expert representatives from many different countries
- ▶ The standard outlines the basic elements of a good **Occupational Health and Safety Management System**
- ▶ These elements are good business practices
- ▶ The standard promotes the adoption of a process approach where consistent and predictable results can be achieved

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The International Standardization Organization (ISO) has representatives from some 180-member countries that make up a Technical Advisory Group (TAG).

These groups draft the standard, then members comment and vote on the standard.

The document then becomes an ISO standard.

These standards are not regulations.

They are a method of getting a standard set of criteria for Occupational health and safety Management Systems.

An outside agency, the registrar, will then audit to see if you have all the required elements in place. If you do, you will get ISO 45001 registration.

This registration tells others all over the world that you have a health and safety system in place.

As we go through the presentation, and cover the requirements you will see that these requirements are basically just good business practice.

What is a Management System?

Your organization is made up of several Management Systems, which operate within your overall Business Management System. Example:

- Financial (FMS)
- Quality (QMS)
- Environmental (EMS)
- Safety (SMS)
- Energy (EnMS)
- IT (MIS) etc.



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A Management system refers to what an organization does to manage its processes, or activities, so that its products or services meet the organization's objectives, such as:

- Providing safe and healthy workplaces
- Satisfying the customer's requirements,
- Complying to regulations, or
- Meeting objectives



Review the steps of an ISO 45001:2018 internal audit at the Safe-Toy Company (STC)

Basic Steps for an Audit

- Scheduling the audit
- Planning the audit
- Opening meeting
- Audit the areas
- Auditors document findings
- Final audit report
- Closing meeting
- Creating the audit file

Review the Basic Steps for an Audit

This will show the class what steps they will be going through for the balance of the class.

Schedule the Audit

Memo

To: Expert Audit Assistance

From: J. Sample

Date: Jan 5, 2018

Subject: Request for Internal Audit

As we discussed on the phone, our company will be having a registration audit in September 2018. We have developed and are implementing our OH&S management system and are ready for our first of a group of planned internal audits and would like your group of expert auditors to perform the audits for us before our registration audit.

During the first audit we would like your auditors to audit a general process where the audit path goes from the OH&S policy to hazard identification to competence and awareness to nonconformity and corrective action and finally to management review. Other processes related to the remaining clauses of ISO 45001:2018 will be audited during subsequent audits.

I would like you to come in on January 8th to review our audit files and prepare your audit plan. We will schedule the audit for the morning of January 15th.

Best regards

Joe

Safe-Toy Co OH&S Manager

Review the MEMO from Joe Sample the Safe-Toy Co (STC), OH&S Manager to “Expert Audit Assistance”.

The class is “Expert Audit Assistance”.

It is now June 14th and the class is going to perform an internal audit of STC.