IOSH Qatar Branch
Date: 16th   Sept. 2020

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Ahmed Elidrisy

About ISO

- Non-governmental organization (NGO) established in 1947, based in Geneva, Switzerland

- Has a membership of 160 national standards institutes from countries in all regions of the world

Audit

systematic, independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled." – *ISO, from ISO 19011:2018*

Global Toll

- **2.78 million** fatal accidents occur at work <u>yearly</u>

- **7,700 persons** die of work-related diseases or injuries <u>daily</u>

- **374 million** non-fatal work-related <u>injuries</u> and illnesses each <u>year</u>

- **180 million** people with occupational disease

- **4%** of world GDP = work accidents and diseases - $ 3.2 trillion

Source: International Labor Organization (ILO)

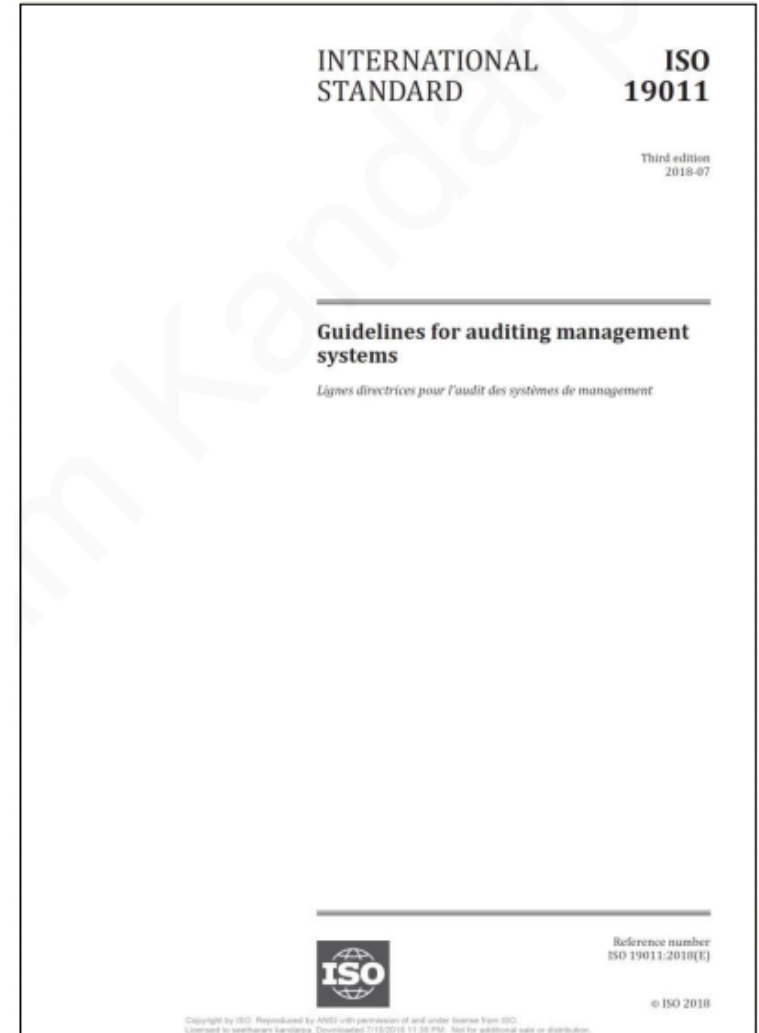# Audit vs inspections

Audit	Inspection
Qualitative	Quantitative
Exploratory (Details)	Tick-box style
Complex root cause analysis & problem solving	Rapid root cause analysis
Focus on Why (process based) create recommendations	Focus on what (Action based) and generate actions
Complex (more details)	Simple (yes/no)

What does the Audit Process implies?

- What's documented by the company (e.g. internal processes, policies, and <u>SOPs</u>)

- Evidence to support how these policies, procedures, and SOPs are implemented

- The requirements defined by the ISO standard being audited against (e.g. ISO 45001)

ISO 19011

❑ ISO 19011 is a set of guidelines for auditing management systems.

❑ It's sort of like a meta-standard designed to inform companies how to prepare audit programs for auditing their management systems.

INTERNATIONAL STANDARD

ISO 19011

Third edition
2018-07

Guidelines for auditing management systems

Lignes directrices pour l'audit des systèmes de management

Reference number
ISO 19011:2018(E)

© ISO 2018

7 Principles of ISO Auditing

- Integrity
- Fairness
- Judgment
- Confidentiality
- Independence
- Evidence Based
- Risk Based

Integrity

❑ Perform the work ethically, in an honest and responsible manner, and using the best judgement,

❑ Competent,

❑ Fair and unbiased manner

❑ Remain sensitive to influences exerted upon their judgement while carrying out audits

Fairness

❑ Audit findings, should reflect <u>truthfully and accurately</u> the activities of the audit.

❑ Should reflect any obstacles, disagreements with other auditors, or difficulties faced during the audit.

❑ All communication, not just documented and reported information, should be truthful, timely, rational, clear, and complete.

# Judgement

❑ Exercise due professional care in all tasks performed during the audit

❑ One of the most important requirements of this principle is that auditors have the <u>ability to make reasoned judgements</u> in all situations during the audit.

Confidentiality

❑ Auditors should respect the confidentiality of all information they're dealing with throughout the audit.

❑ This means exercising due diligence in making sure all information acquired during the course of their duties as auditors is respected and adequately protected.
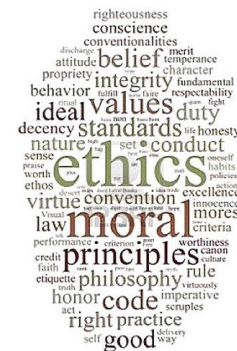
Independence

❏ Audits should be <u>independent</u> of the activity being audited,

❏ If possible, internal audits should preferably be independent from the function being audited.

❏ Key to all audits is the pursuit of objectivity via rational process,

(make sure all findings and results from the audit are based only on audit evidence).

Evidence based

❏ Evidence is one of the pillars of a successful audit, and the foundation of rational, reliable, reproducible results.

❏ Audit evidence should be based on samples of available information

❏ Collection of audit evidence

❏ Audit sampling

Risk-Based Approach

❑ When planning for, conducting, and documenting an audit.

❑ Focus on areas which will have the <u>most significant impact</u> on the organization's ability to do business and on the audit programme objectives.

AUDIT TYPES
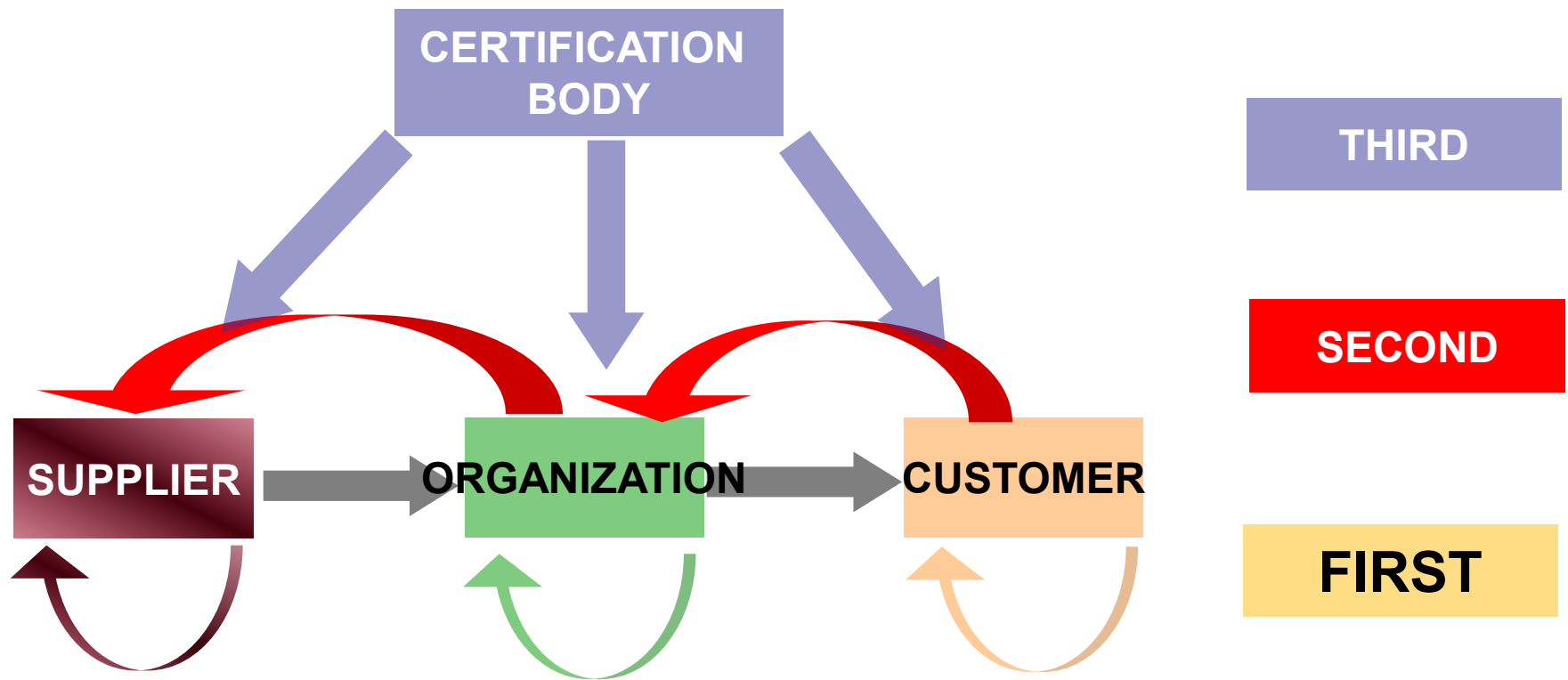
Audit Elements

- ❑ Audit management
  - ❑ Audit preparation
  - ❑ Audit Programme
- ❑ Competence and evaluation of auditors
- ❑ Audit process
  - ❑ Gathering evidence
  - ❑ Evaluation of audit evidence against audit criteria
  - ❑ Closing the audit
  - ❑ Following up

Audit Management

Audit Process

Competence & Evaluation of Auditors

Audit Process

CONTRACTING
- APPLICATION
- SCOPE
- TIME
- QUOTATION
- CONTRACT

PREPERATION
- SELECT TEAM
- SCOPE
- PLANNING
- AUDIT PROGRAM

AUDIT

STAGE 1
- DOCUMENT REVIEW
- FAMILIRIZATION
- CHECKLISTS
- AUDIT PLAN

STAGE 2
- OPENNING
- AUDITING
- INTERM MEETING
- QUESTIONING
- CLOSING

MONITORING
- REPORT
- CAR
- FOLLOW UP
- SURVAILLANCE
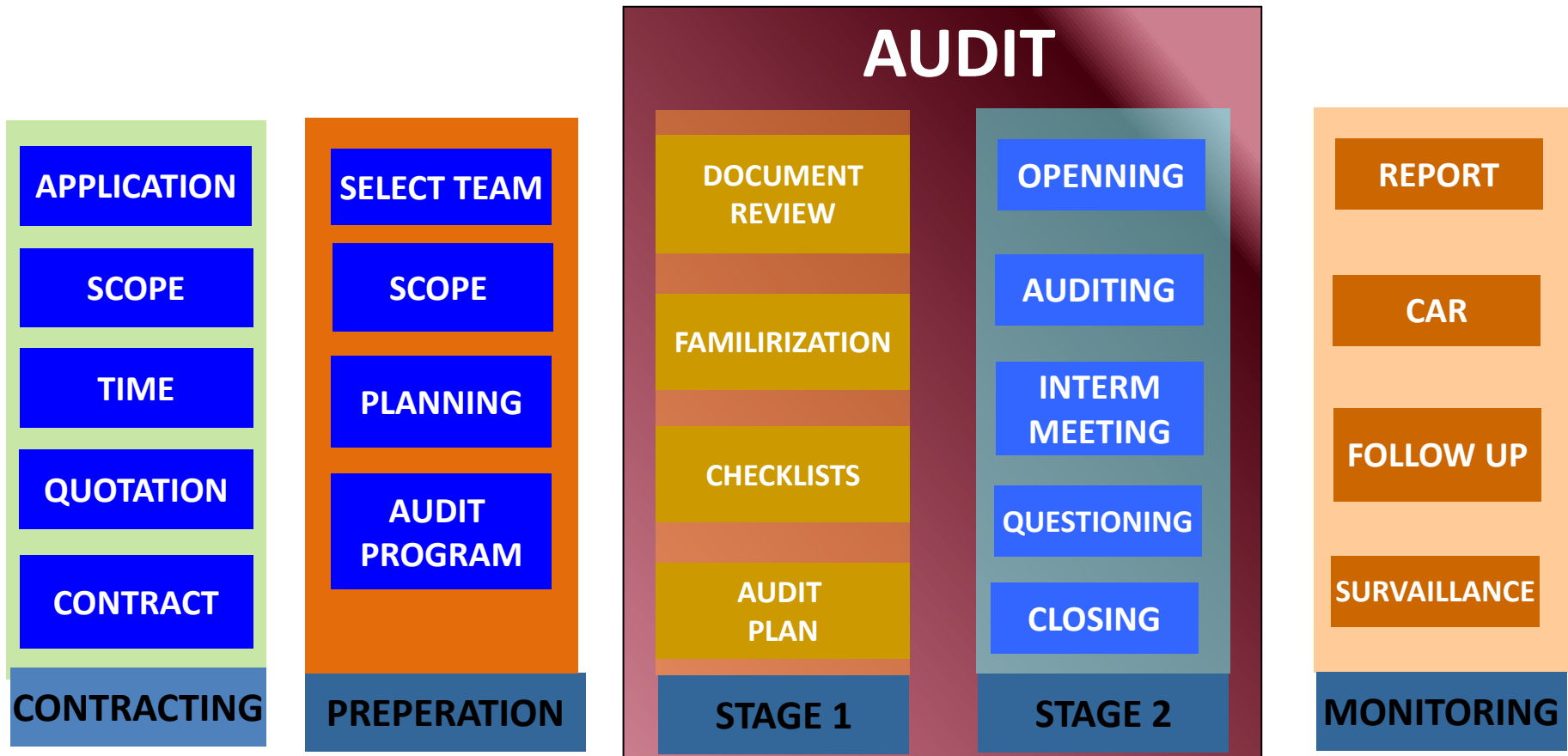
Competence and evaluation of Auditors

The process for evaluating auditor competence has four main steps:

❑ Determine the level of competence required for the job (Professional Behaviors)

❑ Establish some criteria for evaluating competence (Qualitative; Knowledge & Skills, Quantitative: years of experience, number of Audits)

❑ Choose a method for evaluating competence
  ❑ Review records, feedback, interview, observation, testing & post Audit review)

❑ Conduct the evaluation

Prepare for the Audit

❑Context of the OHS MS Audit

❑Audit objectives

❑Audit Scope

❑Audit Plan

❑Audit Criteria (Prepare the Checklist)

❑Audit monitoring systems

❑Request documented information from Auditee

Audit Scope & Objectives

❑ **Audit Scope**: (Boundaries) description of the Physical locations, organization units, activities & Processes as well as time period covered.

❑ **Audit Criteria**: set of policies, procedures or requirements used as reference against which audit evidence is compared; 9001 requirements.

❑ **Audit Objectives**: Broad statement that define intended Audit accomplishments.

Audit Plan

OH&S Audit Plan:

Audit Dates: 18-19 May 2019

 Company Name: XYZ CO.

Audit criteria: QCS 2014, OH&S 45001:2018 & Contractual requirement

Audi Scope: Project scope,

Opening Meeting: 09:30-09:45
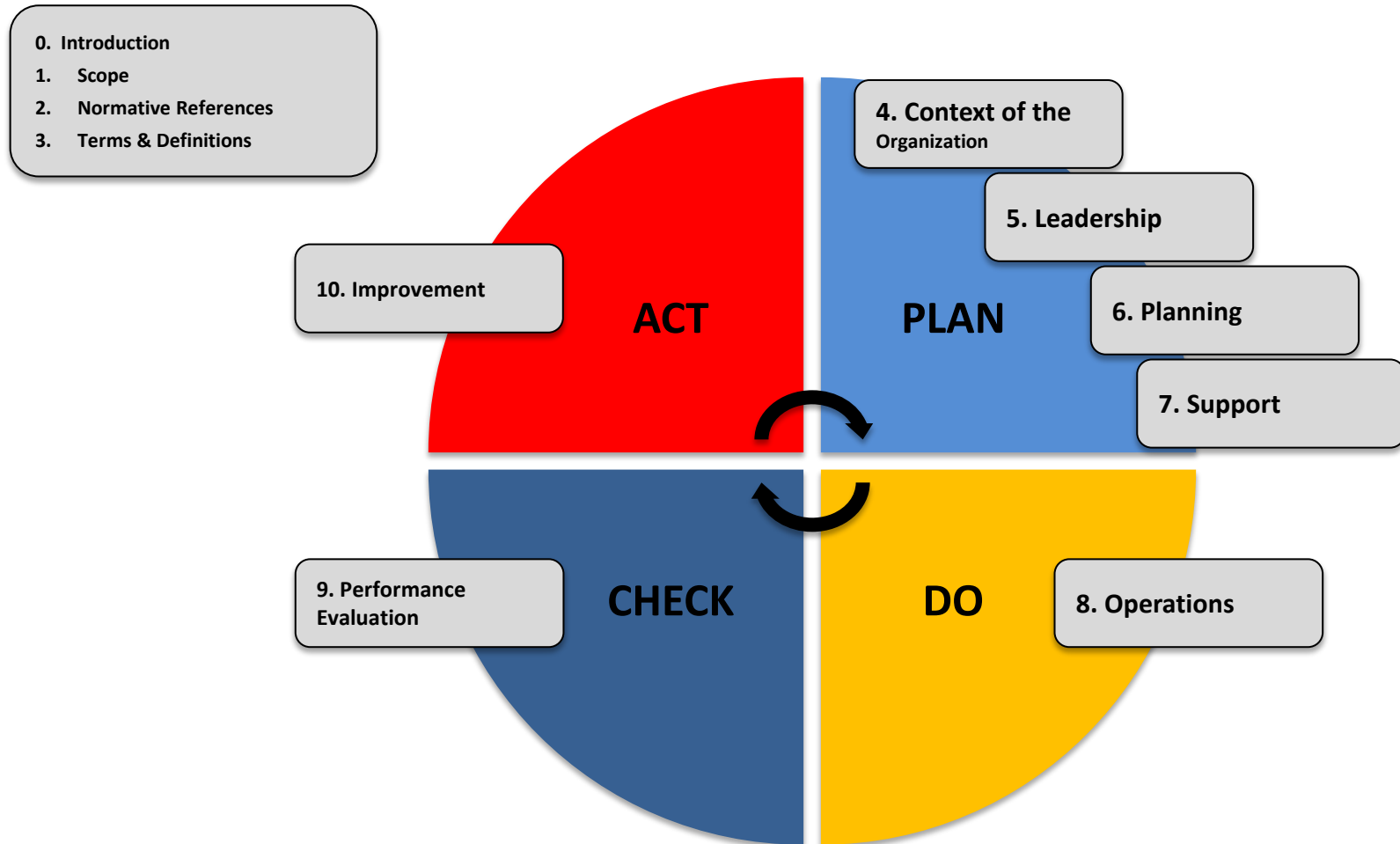
Audit Begins at: 10:00 Am on the 18th May 2019

DAY One:

Clause#	Description	Time	Dept. to be Audited	Auditor Name/ Grade
	Opening Meeting	09:30-09:45 Am		Mr. Ahmed/ Lead Auditor
	Site Visit	10:00 am – 12:00 Pm	HSE & Site team	Mr. Ahmed/ Lead Auditor
	Break	12:00- 12:30 Pm		
	Document Review; HSE Policy, HSE plan, All HSE procedures, Risk Assessments, Method statements, Training matrix, emergency response records, accident/ incident records, internal audit program, and reports, Legal compliance , closure evidence for the NCR from last audit	12:30 pm- 02:00 pm	HSE representative	Mr. Ahmed/ Lead Auditor
	End of Day			

DAY two:

Clause#	Description	Time	Dept. to be Audited	Auditor Name/ Grade
5	Leadership & commitment, Policy, org. roles, responsibilities & authorities, Management Review	10:30- 10:45 Am	Top Management; GM	Mr. Ahmed/ Lead Auditor
	Responsibilities & authorities to determine competence, Determination & achieve of competence, evaluation of training effectiveness, Monitoring & measurement of competence	10:45 Am – 11:00 am	HR Manager	Ali/Auditor
Closing Meeting		11:30Am- 12:00Pm	All Management	Audit Team

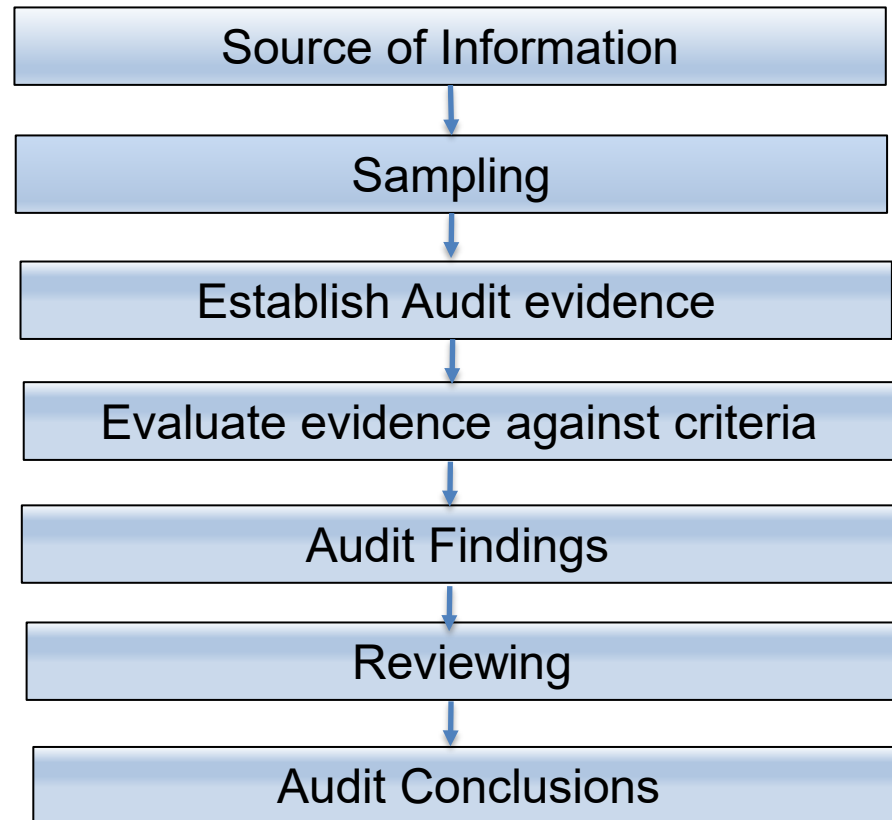# PDCA and ISO 45001 Clause Structure

0. Introduction
1. Scope
2. Normative References
3. Terms & Definitions

4. Context of the Organization

5. Leadership

6. Planning

7. Support

ACT

PLAN

10. Improvement

CHECK

DO

9. Performance Evaluation

8. Operations

ISO 45001 Clause Structure (4-10)

PLAN				DO	CHECK	ACT
4. Context of the organization	**5. Leadership & worker participation**	**6. Planning**	**7. Support**	**8. Operation**	**9. Performance evaluation**	**10. Improvement**
4.1 Understanding the organization and its context	5.1 Leadership and commitment	6.1 Actions to address risks and opportunities	7.1 Resources	8.1 Operational planning and control	9.1 Monitoring, measurement, analysis and evaluation	10.1 General
4.2 Understanding the needs and expectations of workers and interested parties	5.2 OH&S policy	6.2 OH&S objectives and planning to achieve them	7.2 Competence	8.2 Emergency preparedness and response	9.2 Internal audit	10.2 Incident, nonconformity and corrective action
4.3 Determining the scope of the OH&S management system	5.3 Organizational roles, responsibilities and authorities		7.3 Awareness		9.3 Management review	10.3 Continual improvement
4.4 OH&S management system	5.4 Consultation and participation of workers		7.4 Communication			
			7.5 Documented information			

Checklist for ISO 45001 OH&S Management System Audit

No.	Clause	Requirements	Reference in org. system	Verification	Compliance	Score Allocated	Score of compliance	% of compliance	Comments
	4	**Context of the organization**				**3.90**	**0.30**	**7.69%**	
1	4.1	Understanding the organization and its context							
2		Have you determined external and internal issues that are relevant to your purpose and your strategic direction and that affect your ability to achieve the intended outcomes of your Occupational Health and Safety Management System?			Observation	0.50	0.30	**60.00%**	
3		How do you monitor and review information about these external and internal issues?				0.25	not Valid	#VALUE!	
4	4.2	Understanding the needs and expectations of workers and other interested pa							
		Have you determined the following							
		a) the interested parties in addition to workers that are relevant to the Occupational Health and Safety Management System?				0.25	not Valid	#VALUE!	
		b) the needs and expectations of these interested parties that are relevant to the Occupational Health and Safety Management System?				0.25	not Valid	#VALUE!	
		c) which of these needs and expectations are, or could become legal requirements and other requirements?				0.25	not Valid	#VALUE!	
		How do you monitor and review information about these interested parties and their relevant needs and expectations?				0.25	not Valid	#VALUE!	
	4.3	Determining the scope of the OH&S management system							
		Have you determined the boundaries and applicability of the OH&S management system to establish your scope?				0.50	not Valid	#VALUE!	
		When determining the scope of the OH&S management system how did you consider:							
		a) the external and internal issues referred to in 4.1?				0.25	not Valid	#VALUE!	
		b) the requirements of relevant interested parties referred to in 4.2?				0.25	not Valid	#VALUE!	
		c) take into account the planned or performed work related activities?				0.25	not Valid	#VALUE!	
		Is the scope available as documented information?				0.40	not Valid	#VALUE!	
	4.4	OH&S management system							
		Have you implemented and have the system in place to maintain and continually improve your OH&S management system, including the processes needed and their interactions, in accordance with the requirements of ISO 45001?				0.50	not Valid	#VALUE!	
	5	**Leadership and worker participation**				20.08	0.00	0.00%	
	5.1	Leadership and commitment				5.08	0.00	0.00%	
		How does Top Management demonstrate leadership and commitment with respect to the OH&S management system:							
		a) taking overall responsibility and accountability for the prevention of work related injury and ill health, as well as the provision of safe and healthy				0.75	not Valid	#VALUE!	

Collecting & Verifying Information

Source of Information

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Sampling

↓

Establish Audit evidence

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Evaluate evidence against criteria

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Audit Findings

↓

Reviewing

↓

Audit Conclusions

Collect evidence (Context of the organization)

- Assess understanding of the organization and its context
- Asses needs and expectations of relevant interested parties
- Assess the scope of the OHS MS
- Process Mapping

Evidence on Leadership

❑ Assess leadership of the integrity of the OHS MS

❑ Assess OHS policies

❑ Assess OHS MS roles , Responsibilities and authorities

❑ Assess consultation and participation of workers

Collect Evidence on Planning

❑Assess actions to address risks and opportunities

❑Assess actions to address and identify hazards

❑Assess determination of legal and other requirements

❑Assess OHS planning action

❑Assess OHS objectives

Collect evidence on support

❑Assess OHS resources

❑Assess OHS competence

❑Assess OHS awareness

❑Assess communication procedures

❑Assess documented information

Collect Evidence on operation

❑Assess operational planning and control

❑Assess procedure for eliminating hazards and risks

❑Assess procedures for management of change

❑Asses procurement

❑Assess emergency preparation and response

Collect evidence of performance evaluation

❑ Assess systems for monitoring and measuring performance

❑ Assess evaluation of compliance

❑ Assess internal audit procedures

❑ Assess OHS management review procedure

Collect Evidence on Improvement

❑ Assess incidents, nonconformity and corrective action procedures

❑Assess continual improvement procedure

Audit findings

❑Review audit evidence and findings

❑Approval

Audit Findings

Good Practice

Compliance

Area For Improvement

Observation

Minor Non-conformity

Major Non-conformity

Audit Findings

Observation

❑ An observation or opportunity for improvement relates to a matter about which the <u>Auditor is concerned</u> but which cannot be clearly stated as a non-conformity

❑ Observations also indicate trends which may result in a future non-conformity

Audit Findings

Minor Non-conformity

❑ A minor non-conformity is an observed <u>lapse</u> in your systems ability to meet the requirements of the standard or your internal systems, while the overall process remains intact
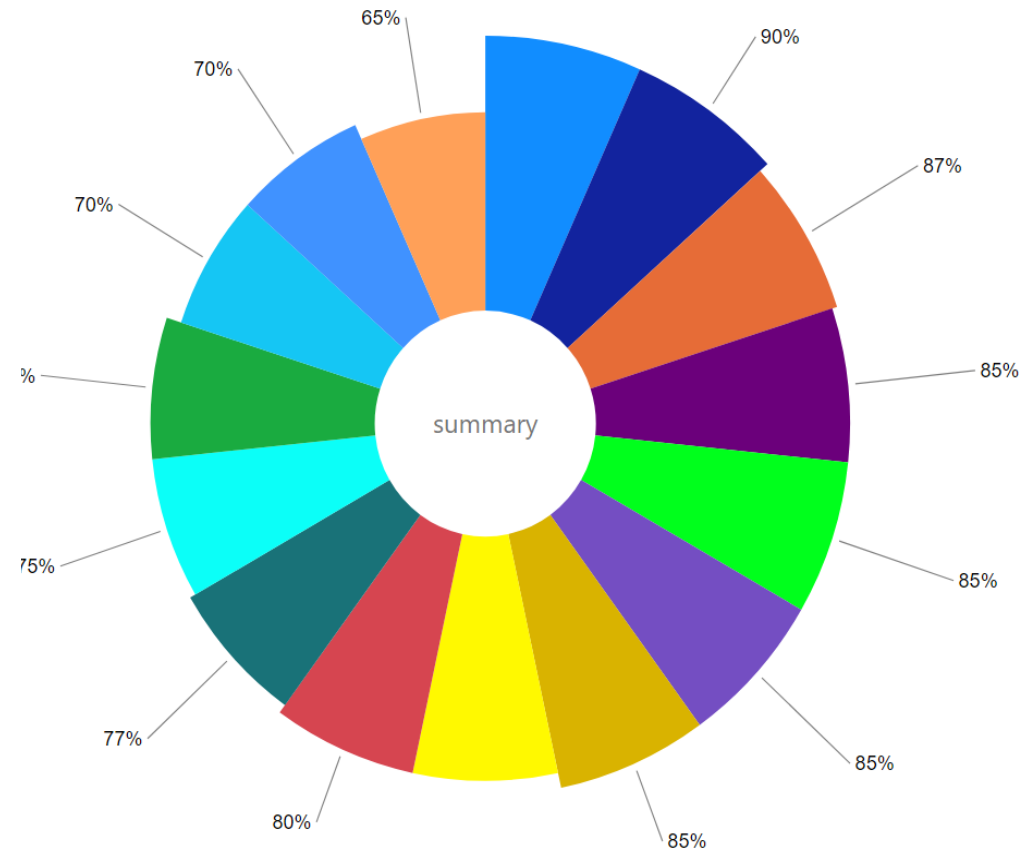
Audit Findings

Major Non-conformity

❑A major non-conformity relates to the <u>absence</u> or total breakdown of a required process or a number of minor non-conformities listed against similar areas

❑A major non-conformity at the Certification Audit would defer recommendation for certification until that major has been closed

Clause

- Emergency preparation and response
- Internal Audit
- Monitoring , measurement, analysis and evaluation
- Continual improvement
- Management Review
- OH&S Policy
- Support
- Incident, nonconformity and corrective action
- Top Management demonstrate leadership and com...
- Operational planning and control
- Actions to Address risks and opportunities
- Worker Consultation & Participation
- OH&S objectives and planning to achieve them
- organization roles, responsibilities and authorities
- Context of the Organization

summary

65%
90%
70%
87%
70%
85%
85%
%
85%
75%
85%
77%
85%
80%

Observation Risk Rate

7	High Risk
4	Moderate-High ...
4	Moderate Risk
3	Moderate- Low ...
2	Low Risk

Observation

Observation	Risk Rate
Barriers are placed by the edge of the deep excavations	5
Excavations cave-in	5
Implementation of the social distancing for COVID-19	5
Non-compliance to the face mask policy	5
Responsibility section in the critical procedure	5
Site fence is not well fixed	5
Welfare standard Obselte version	5
Cable management	4
Risk assessment controls	4
Site security during daytime	4
Some procedures are not well controlled	4
Annual program for HSE objectives	3
Dedicated notice board at site	3
Heavy equipment safety checklist	3
Towerlight without drip tray	3
Eating at the workstations	2
Emergency contact numbers	2
Legal standards updates	2
Electrical permit	1
HSE policy translation into 4 languages	1

Risk Rate

Close the audit

❑Prepare the report

❑Issue audit report

❑Prepare and conduct closing meeting

❑Prepare audit follow-up

Mandatory documented information

Clause	Description	maintained	Retained
4.3	Scope of the OH&S system	x	
5.2	OH&S Policy	x	
5.3	Organization Roles, responsibilities and authorities	x	
6.1.1	OH&S risks & opportunities & actions to address them	x	
6.1.1	Processes to address risks & opportunities	X	
6.1.2.2	Methodology and criteria for OH&S risk assessment	X	x
6.1.3	Legal & Other requirements	X	x
6.2.2	OH&S objectives & Plans to achieve them	X	x
7.2	competence		X

7.4.1	Evidence of communication		x
8.1.1	Operational planning & controls	X	x
8.2	Emergency preparedness	x	X
9.1.1	Results of monitoring, calibration of equipment		X
9.1.2	Compliance evaluation		X
9.2.2	Audit Program	X	
9.2.2	Audit results		X
9.3	Management review results		X
10.2	Incidents , non conformity and corrective actions		X
10.3	Evidence of continual improvement	x	x

Thank you!