

HSW Internal Audit – Auditor Competency Checklist

Name:	
Assessment (C/PC/NC*):	
Feedback:	
Reviewer (Name/Role):	
Signature:	
Date:	

*C/PC/NC – Compliant/Partially Compliant/Non-Compliant

Has a recognised HSW Auditor course been completed in the past 3 years? Including:

- 1 day auditor training arranged by the HSW Division

OHS Management Systems training

If yes, details below and attach completion certificate

If no,

	Auditor	C/PC/NC
Planning OHS Management System Audits	1.1. Apply knowledge of the principles and concepts common to all management system standards	
	1.2. Understand the terminology commonly used in OHS management system standards	
	1.3. Apply knowledge of the management system auditing principles, including the need for ethical conduct	
	1.4. Apply knowledge of the audit practices and techniques that are appropriate for conducting OHS management system audits and sufficient for determining if an OHSMS management system has been effectively implemented	
	1.5. Create a written audit plan to complete assigned audit tasks in accordance with a defined audit schedule	
	1.6. Understand the OHS management system requirements set out in OHSMS standards (i.e. those set out in OHSAS 18001, ANSI Z10 and ISO/DIS 45001) for the following:	
	1.6.1. Identifying hazards	
	1.6.2. Assessing OHS risks	
	1.6.3. Identifying legal and other requirement and assessing compliance	

	1.6.4. Ensuring competence and awareness of those performing work for the organization
	1.6.5. Selecting and implementing operational controls
	1.6.6. Preparing for and responding to emergency situations
	1.6.7. Promoting communication and encouraging worker participation
	1.6.8. Monitoring, evaluating and reporting on OHS performance
	1.6.9. Evaluating and responding to incidents (i.e. incident investigation)
	1.6.10. Responding to non-conformances and undertaking corrective action
	1.6.11. Assessing and improving the performance of an OHS management system
	1.7. Understand how OHS management system standard requirements are typically implemented within an organization
	1.8. Understand the legal issues associated with performing OHS management system audits and the means typically used for minimizing liability risks, including special considerations related to handling personal and health-related information (e.g. privacy of personal data, confidentiality concerns, and any independent regulatory reporting obligations that may arise)
	1.9. Understand the types of risks related to management system auditing and means typically used for addressing them
Conducting OHS Management System Audits	2.1. Use information collection methods (interviews, observations and review of data) appropriately to collect audit evidence
	2.2. Conduct interviews to obtain relevant information using well-formatted questions and ability to listen to understand and evaluate the answers
	2.3. Record and take notes (i.e. create audit working papers)
	2.4. Evaluate information using relevant sampling techniques
	2.5. Review management system documentation for conformance with the requirements set out in management system standards
	2.6. Understand the processes, procedures and methodologies commonly used by organizations within their OHS management systems for the following:
	2.6.1. Identifying hazards
	2.6.2. Assessing OHS risks
	2.6.3. Identifying legal and other requirement and assessing compliance
	2.6.4. Ensuring required competence and awareness of those performing work for the organization
	2.6.5. Promoting communication and encouraging worker participation

2.6.6. Selecting and implementing appropriate operational controls

2.6.7. Preparing for and responding to emergency situations

2.6.8. Monitoring, evaluating and reporting on OHS performance

2.6.9. Evaluating and responding to incidents (i.e. incident investigation)

2.6.10. Responding to non-conformances and undertaking corrective action

2.6.11. Assessing and improving the performance of an OHS management system

2.7. Apply knowledge of relevant performance evaluation methods, including the development and use of performance indicators, for determining if the organization's monitoring of its OHS performance is appropriate

2.8. Awareness of important considerations when communicating information about OHS risks and management system requirements

2.9. Knowledge of the role of Top Management leadership and the impact of organizational culture in supporting and promoting an OHS management system

2.10. Organize work in order to complete an audit that achieves the established audit objectives within an agreed upon audit schedule

**Preparing,
Reviewing &
Communicating
Audit Results**

3.1. Assess the relevance, accuracy and reliability of collected information

3.2. Write appropriate audit findings

3.3. Present and/or communicate audit findings so they are easily understood

HSW Internal Audit – Lead Auditor Competency Checklist

In addition to the HSW Internal Audit – Auditor Competency Checklist:

Has a recognised HSW Lead Auditor course **Yes/No** **If yes, details below and attach completion certificate**
been completed in the past 3 years?

If No,

	Audit Team Leader	C/PC/NC
Planning OHS Management System Audits	1.10. Assign audit tasks to audit team members taking into account the type and level of competence needed to perform those tasks	
Conducting OHS Management System Audits	2.11. Organize and direct the audit team members to ensure completion of the audit in accordance with the audit schedule	
	2.12. Resolve conflicts and redirect audit activities to achieve the audit objectives	
	2.13. Provide direction and guidance to the audit team members	
Preparing, Reviewing & Communicating Audit Results	3.4. Resolve conflicts and lead the audit team in reaching consensus conclusions	
	3.5. Ensure completion of the audit report in accordance with the audit schedule	
	Audit Program Manager	C/PC/NC
Planning OHS Management System Audits	1.11. Basic understanding of the OHS management system requirements set out in OHSMS standards as set out for Auditors above.	
	1.12. Assess the resources needed to achieve the objectives established for the audit program	
	1.13. Establish the procedures needed for implementing and maintaining the audit program	
	1.14. Understand the types of audit methodologies that are appropriate for conducting OHS management system audits	
	1.15. Understand the types and level of competence needed to perform OHS management system audits and methods used for assessing competence	
	1.16. Establish objectives, scope and criteria for individual audits and to assign audit responsibilities based on competencies needed	
	1.17. Identify and evaluate risks related to achieving the objectives established for the audit program	

Conducting OHS Management System Audits 2.14. Recognize and take the steps needed to ensure the effective implementation of the audit program

and completion of individual audits

Preparing, Reviewing & Communicating Audit Results 3.6. Ensure completion of individual audits in accordance with their established audit schedules

3.7. Communicate audit results to the audit client and appropriate personnel

3.8. Ensure audit records are retained appropriated

3.9. Track and monitor the effective implementation of the audit program
