



# OHSAS 18001 Audit Checklist

Steel Manufacturing Corp. / 21 Jun 2023 /  
SafetyCulture Staff

**Complete**

<b>Score</b>	<b>97.9%</b>	<b>Flagged items</b>	<b>1</b>	<b>Actions</b>	<b>0</b>
<b>Site</b>	Steel Manufacturing Corp.				
<b>Conducted on</b>	21.06.2023 15:42 PST				
<b>Location</b>	Hadar, NE 68701, USA (42.0375938, -97.394882)				
<b>Prepared by</b>	SafetyCulture Staff				

Audit / 4.4 Implementation and Operation

**b) ensuring that reports on the performance of the OH&S management system are presented to top management for review and used as a basis for improvement of the OH&S management system.**

Non- Compliant

Our files on the reports are currently on hard copy only and we realized we need to improve on this regard after a safety officer left the company last week. We are currently using this new auditing app where all reports are automatically saved and can retrieved any time online. I will discuss this during the weekly meeting.

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## 4.1 General requirements

100%

The organization shall establish, document, implement, maintain, and continually improve an OH&S management system in accordance with the requirements of this OHSAS Standard and determine how it will fulfill these requirements.

Fully Compliant

The organization shall define and document the scope of its OH&S management system.

Fully Compliant

## 4.2 Occupational Health & Safety policy

100%

Top management shall define and authorize the organization's OH&S policy and ensure that within the defined scope of its OH&S management system it:

a) is appropriate to the nature and scale of the organization's OH&S risks;

Fully Compliant

b) includes a commitment to prevention of injury and ill health and continual improvement in OH&S management and OH&S performance;

Fully Compliant

c) includes a commitment to at least comply with applicable legal requirements and with other requirements to which the organization subscribes that relate to its OH&S hazards;

Fully Compliant

d) provides the framework for setting and reviewing OH&S objectives;

Fully Compliant

e) is documented, implemented and maintained;

Fully Compliant

f) is communicated to all persons working under the control of the organization with the intent that they are made aware of their individual OH&S obligations;

Fully Compliant

g) is available to interested parties;

Fully Compliant

h) is reviewed periodically to ensure that it remains relevant and appropriate to the organization.

Fully Compliant

## 4.3 Planning

100%

### 4.3.1 Hazard Identification, risk assessment and determining controls

The organization shall establish, implement and maintain a procedure(s) for the ongoing hazard identification, risk assessment, and determination of necessary controls.

Fully Compliant

We have recently conducted a risk assessment for the newly opened foundry and we were able to

successfully establish controls.

The procedure(s) for hazard identification and risk assessment shall take into account:

**a) routine and non-routine activities;**

Fully Compliant

**b) activities of all persons having access to the workplace (including contractors and visitors);**

Fully Compliant

**c) human behaviour, capabilities and other human factors;**

Fully Compliant

**d) identified hazards originating outside the workplace capable of adversely affecting the health and safety of persons under the control of the organization within the workplace;**

Fully Compliant

**e) hazards created in the vicinity of the workplace by work-related activities under the control of the organization;**

Fully Compliant

NOTE 1: It may be more appropriate for such hazards to be assessed as an environmental aspect.

**f) infrastructure, equipment and materials at the workplace, whether provided by the organization or others;**

Fully Compliant

**g) changes or proposed changes in the organization, its activities, or materials;**

Fully Compliant

**h) modifications to the OH&S management system, including temporary changes, and their impacts on operations, processes, and activities;**

Fully Compliant

**i) any applicable legal obligations relating to risk assessment and implementation of necessary controls (see also the NOTE to 3.12);**

Fully Compliant

**j) the design of work areas, processes, installations, machinery/equipment, operating procedures and work organization, including their adaptation to human capabilities.**

Fully Compliant

The organization's methodology for hazard identification and risk assessment shall:

**a) be defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive; and**

Fully Compliant

**b) provide for the identification, prioritization and documentation of risks, and the application of controls, as appropriate.**

Fully Compliant

**For the management of change, the organization shall identify the OH&S hazards and OH&S risks associated with changes in the organization, the OH&S management system, or its activities, prior to the introduction of such changes.**

Fully Compliant

**The organization shall ensure that the results of these assessments are considered when determining controls.**

Fully Compliant

When determining controls, or considering changes to existing controls, consideration shall be given to reducing the risks according to the following hierarchy:

**a) elimination;**

Fully Compliant

**b) substitution;**

Fully Compliant

**c) engineering controls;**

Fully Compliant

**d) signage/warnings and/or administrative controls;**

Fully Compliant

**e) personal protective equipment.**

Fully Compliant

**The organization shall document and keep the results of identification of hazards, risk assessments and determined controls up-to-date.**

Fully Compliant

**The organization shall ensure that the OH&S risks and determined controls are taken into account when establishing, implementing and maintaining its OH&S management system.**

Fully Compliant

NOTE 2 For further guidance on hazard identification, risk assessment and determining controls, see OHSAS 18002.

#### 4.3.2 Legal and Other Requirements

**The organization shall establish, implement and maintain a procedure(s) for identifying and accessing the legal and other OH&S requirements that are applicable to it.**

Fully Compliant

**The organization shall ensure that these applicable legal requirements and other requirements to which the organization subscribes are taken into account in establishing, implementing and maintaining its OH&S management system.**

Fully Compliant

**The organization shall keep this information up-to-date.**

Fully Compliant

**The organization shall communicate relevant information on legal and other requirements to persons working under the control of the organization, and other relevant interested parties.**

Fully Compliant

#### 4.3.3 Objectives & Programme(s)

**The organization shall establish, implement and maintain documented OH&S objectives, at relevant functions and levels within the organization.**

Fully Compliant

**The objectives shall be measurable, where practicable, and**

Fully Compliant

consistent with the OH&S policy, including the commitments to the prevention of injury and ill health, to compliance with applicable legal requirements and with other requirements to which the organization subscribes, and to continual improvement.

**When establishing and reviewing its objectives, an organization shall take into account the legal requirements and other requirements to which the organization subscribes, and its OH&S risks. It shall also consider its technological options, its financial, operational and business requirements, and the views of relevant interested parties.**

Fully Compliant

The organization shall establish, implement and maintain a programme(s) for achieving its objectives. Programme(s) shall include as a minimum:

**a) designation of responsibility and authority for achieving objectives at relevant functions and levels of the organization; and**

Fully Compliant

**b) the means and time-frame by which the objectives are to be achieved.**

Fully Compliant

**The programme(s) shall be reviewed at regular and planned intervals, and adjusted as necessary, to ensure that the objectives are achieved.**

Fully Compliant

## 4.4 Implementation and Operation

1 flagged, 95.1%

### 4.4.1 Resources, roles, responsibility, accountability and authority

**Top management shall take ultimate responsibility for OH&S and the OH&S management system.**

Fully Compliant

Top management shall demonstrate its commitment by:

**a) ensuring the availability of resources essential to establish, implement, maintain and improve the OH&S management system;**

Fully Compliant

NOTE 1: Resources include human resources and specialized skills, organizational infrastructure, technology and financial resources.

**b) defining roles, allocating responsibilities and accountabilities, and delegating authorities, to facilitate effective OH&S management; roles, responsibilities, accountabilities, and authorities shall be documented and communicated.**

Fully Compliant

The organization shall appoint a member(s) of top management with specific responsibility for OH&S, irrespective of other responsibilities, and with defined roles and authority for:

**a) ensuring that the OH&S management system is established, implemented and maintained in accordance with this OHSAS Standard;**

Partially Compliant

We have a new safety officer and I will meet with Minni to make sure that that he is properly onboarded up to speed with what's current in the company.

**b) ensuring that reports on the performance of the OH&S management system are presented to top management for review and used as a basis for improvement of the OH&S management system.**

Non- Compliant

Our files on the reports are currently on hard copy only and we realized we need to improve on this regard after a safety officer left the company last week. We are currently using this new auditing app where all reports are automatically saved and can retrieved any time online. I will discuss this during the weekly meeting.

NOTE 2: The top management appointee (e.g. in a large organization, a Board or executive committee member) may delegate some of their duties to a subordinate management representative(s) while still retaining accountability

**The identity of the top management appointee shall be made available to all persons working under the control of the organization.**

Fully Compliant

**All those with management responsibility shall demonstrate their commitment to the continual improvement of OH&S performance.**

Fully Compliant

Our decision to use cloud storage for all safety reports is a move we determined most beneficial to the continuous improvement of safety audit reporting.

**The organization shall ensure that persons in the workplace take responsibility for aspects of OH&S over which they have control, including adherence to the organization's applicable OH&S requirements.**

Fully Compliant

#### 4.4.2 Competence, training and awareness

**The organization shall ensure that any person(s) under its control performing tasks that can impact on OH&S is (are) competent on the basis of appropriate education, training or experience, and shall retain associated records.**

Partially Compliant

**The organization shall identify training needs associated with its OH&S risks and its OH&S management system. It shall provide training or take other action to meet these needs, evaluate the effectiveness of the training or action taken, and retain associated records.**

Partially Compliant

The organization shall establish, implement and maintain a procedure(s) to make persons working under its control aware of:

**a) the OH&S consequences, actual or potential, of their work activities, their behavior, and the OH&S benefits of improved personal performance;**

Fully Compliant

**b) their roles and responsibilities and importance in achieving conformity to the OH&S policy and procedures and to the requirements of the OH&S management system, including**

Fully Compliant

**emergency preparedness and response requirements (see 4.4.7);**

**c) the potential consequences of departure from specified procedures.**

Fully Compliant

Training procedures shall take into account differing levels of:

**a) responsibility, ability, language skills and literacy; and**

Fully Compliant

**b) risk.**

Fully Compliant

#### 4.4.3 Communication, Participation and Consultation

##### 4.4.3.1 Communication

• With regard to its OH&S hazards and OH&S management system, the organization shall establish, implement and maintain a procedure(s) for:

**a) internal communication among the various levels and functions of the organization;**

Fully Compliant

This new auditing tool is making sharing of reports so much easier.

**b) communication with contractors and other visitors to the workplace;**

Fully Compliant

**c) receiving, documenting and responding to relevant communications from external interested parties.**

Fully Compliant

##### 4.4.3.2 Participation and Consultation

• The organization shall establish, implement, and maintain procedure(s) for:  
a) the participation of workers by their:

• **appropriate involvement in hazard identification, risk assessments and determination of controls;**

Fully Compliant

• **appropriate involvement in incident investigation;**

Fully Compliant

• **involvement in the development and review of OH&S policies and objectives;**

Fully Compliant

• **consultation where there are any changes that affect their OH&S;**

Fully Compliant

• **representation on OH&S matters. Workers shall be informed about their participation arrangements, including who is their representative(s) on OH&S matters.**

Fully Compliant

**The organization shall ensure that, when appropriate, relevant external interested parties are consulted about pertinent OH&S matters.**

Fully Compliant



**Workers shall be informed about their participation arrangements, including who is their representative(s) on OH&S matters.**

Fully Compliant

**b) consultation with contractors where there are changes that affect their OH&S.**

Fully Compliant

**The organization shall ensure that, when appropriate, relevant external interested parties are consulted about pertinent OH&S matters.**

Fully Compliant

#### 4.4.4 Documentation

• The OH&S management system documentation shall include:

**a) the OH&S policy and objectives;**

Fully Compliant

**b) description of the scope of the OH&S management system;**

Fully Compliant

**c) description of the main elements of the OH&S management system and their interaction, and reference to related documents;**

Fully Compliant

**d) documents, including records, required by this OHSAS Standard; and**

Fully Compliant

**e) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to the management of its OH&S risks.**

Fully Compliant

NOTE: It is important that documentation is proportional to the level of complexity, hazards and risks concerned and is kept to the minimum required for effectiveness and efficiency.

#### 4.4.5 Control of Documents

Documents required by the OH&S management system and by this OHSAS Standard shall be controlled. Records are a special type of document and shall be controlled in accordance with the requirements given in 4.5.4.

The organization shall establish, implement and maintain a procedure(s) to:

**a) approve documents for adequacy prior to issue;**

Fully Compliant

**b) review and update as necessary and re-approve documents;**

Fully Compliant

**c) ensure that changes and the current revision status of documents are identified;**

Fully Compliant

**d) ensure that relevant versions of applicable documents are available at points of use;**

Fully Compliant

**e) ensure that documents remain legible and readily identifiable;**

Fully Compliant

**f) ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the OH&S management system are identified and their distribution controlled; and**

Fully Compliant

**g) prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose.**

Fully Compliant

#### 4.4.6 Operational Control

**Workers shall be informed about their participation arrangements, including who is their representative(s) on OH&S matters.**

Fully Compliant

For those operations and activities, the organization shall implement and maintain:

**a) operational controls, as applicable to the organization and its activities; the organization shall integrate those operational controls into its overall OH&S management system;**

Fully Compliant

**b) controls related to purchased goods, equipment and services;**

Fully Compliant

**c) controls related to contractors and other visitors to the workplace;**

Fully Compliant

**d) documented procedures, to cover situations where their absence could lead to deviations from the OH&S policy and the objectives;**

Fully Compliant

**e) stipulated operating criteria where their absence could lead to deviations from the OH&S policy and objectives.**

Fully Compliant

#### 4.4.7 Emergency Preparedness and Response

• The organization shall establish, implement and maintain a procedure(s):

**a) to identify the potential for emergency situations;**

Fully Compliant

**b) to respond to such emergency situations.**

Fully Compliant

**The organization shall respond to actual emergency situations and prevent or mitigate associated adverse OH&S consequences.**

Fully Compliant

**In planning its emergency response the organization shall take account of the needs of relevant interested parties, e.g. emergency services and neighbours.**

Fully Compliant

**The organization shall also periodically test its procedure(s) to respond to emergency situations, where practicable, involving**

Fully Compliant

relevant interested parties as appropriate.

The organization shall periodically review and, where necessary, revise its emergency preparedness and response procedure(s), in particular, after periodical testing and after the occurrence of emergency situations (see 4.5.3).

Fully Compliant

## 4.5 Checking

98.57%

### 4.5.1 Performance Measurement and Monitoring

• The organization shall establish, implement and maintain a procedure(s) to monitor and measure OH&S performance on a regular basis. This procedure(s) shall provide for:

**a) both qualitative and quantitative measures, appropriate to the needs of the organization;**

Fully Compliant

This analytics is helpful in not only giving us an overview of safety audit results but also in providing the nitty gritty of each report.



Photo 1

**b) monitoring of the extent to which the organization's OH&S objectives are met;**

Fully Compliant

**c) monitoring the effectiveness of controls (for health as well as for safety);**

Fully Compliant

**d) proactive measures of performance that monitor conformance with the OH&S programme(s), controls and operational criteria;**

Fully Compliant

**e) reactive measures of performance that monitor ill health, incidents (including accidents, near-misses, etc.), and other historical evidence of deficient OH&S performance;**

Fully Compliant

**f) recording of data and results of monitoring and measurement sufficient to facilitate subsequent corrective action and preventive action analysis.**

Fully Compliant

**If equipment is required to monitor or measure performance, the organization shall establish and maintain procedures for the calibration and maintenance of such equipment, as appropriate. Records of calibration and maintenance activities and results shall be retained.**

Fully Compliant

### 4.5.2 Evaluation of compliance

**4.5.2.1 Consistent with its commitment to compliance [see**

Fully Compliant

4.2c)], the organization shall establish, implement and maintain a procedure(s) for periodically evaluating compliance with applicable legal requirements (see 4.3.2).

- The organization shall keep records of the results of the periodic evaluations.
- NOTE The frequency of periodic evaluation may vary for differing legal requirements.

**4.5.2.2 The organization shall evaluate compliance with other requirements to which it subscribes (see 4.3.2). The organization may wish to combine this evaluation with the evaluation of legal compliance referred to in 4.5.2.1 or to establish a separate procedure(s).**

Fully Compliant

- The organization shall keep records of the results of the periodic evaluations.
- NOTE The frequency of periodic evaluation may vary for differing other requirements to which the organization subscribes.

4.5.3 Incident Investigation, Non-conformity, Corrective & Preventive Action

4.5.3.1 Incident investigation

- The organization shall establish, implement and maintain a procedure(s) to record, investigate and analyse incidents in order to:

**a) determine underlying OH&S deficiencies and other factors that might be causing or contributing to the occurrence of incidents;**

Fully Compliant

**b) identify the need for corrective action;**

Fully Compliant

**c) identify opportunities for preventive action;**

Fully Compliant

**d) identify opportunities for continual improvement;**

Fully Compliant

We have realized that there is a delay in response to actionable items when we were still using paper audit forms. Transitioning to using this audit tool have exponentially shortened response time.

**e) communicate the results of such investigations.**

Fully Compliant

**The investigations shall be performed in a timely manner.**

Fully Compliant

**Any identified need for corrective action or opportunities for preventive action shall be dealt with in accordance with the relevant parts of 4.5.3.2.**

Fully Compliant

**The results of incident investigations shall be documented and maintained.**

Fully Compliant

No more excuse for missing reports with everything accessible in online storage.

4.5.3.2 Nonconformity, corrective action and preventive action

- The organization shall establish, implement and maintain a procedure(s) for dealing with actual and potential nonconformity(ies) and for taking corrective action and preventive action. The procedure(s) shall define requirements for:

<b>a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate their OH&amp;S consequences;</b>	Fully Compliant
<b>b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence;</b>	Fully Compliant
<b>c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence;</b>	Fully Compliant
<b>d) recording and communicating the results of corrective action(s) and preventive action(s) taken; and</b>	Fully Compliant
<b>e) reviewing the effectiveness of corrective action(s) and preventive action(s) taken.</b>	Fully Compliant
<b>Where the corrective action and preventive action identifies new or changed hazards or the need for new or changed controls, the procedure shall require that the proposed actions shall be taken through a risk assessment prior to implementation.</b>	Fully Compliant
<b>Any corrective action or preventive action taken to eliminate the causes of actual and potential nonconformity(ies) shall be appropriate to the magnitude of problems and commensurate with the OH&amp;S risk(s) encountered.</b>	Fully Compliant
<b>The organization shall ensure that any necessary changes arising from corrective action and preventive action are made to the OH&amp;S management system documentation.</b>	Fully Compliant
<b>4.5.4 Control of Records</b>	
<b>The organization shall establish and maintain records as necessary to demonstrate conformity to the requirements of its OH&amp;S management system and of this OHSAS Standard, and the results achieved.</b>	Fully Compliant
<b>The organization shall establish, implement and maintain a procedure(s) for the identification, storage, protection, retrieval, retention and disposal of records.</b>	Fully Compliant
<b>Records shall be and remain legible, identifiable and traceable.</b>	Fully Compliant
<b>4.5.5 Internal Audit</b>	
<ul style="list-style-type: none"> <li>• The organization shall ensure that internal audits of the OH&amp;S management system are conducted at planned intervals to: <ul style="list-style-type: none"> <li>a) determine whether the OH&amp;S management system: <ol style="list-style-type: none"> <li><b>1) conforms to planned arrangements for OH&amp;S management, including the requirements of this OHSAS Standard; and</b></li> </ol> </li> </ul> </li> </ul>	Fully Compliant

**2) has been properly implemented and is maintained; and**

Partially Compliant

There were cases of missing reports but we are working to improve on that with this new mobile auditing tool.

**3) is effective in meeting the organization's policy and objectives;**

Fully Compliant

**b) provide information on the results of audits to management.**

Fully Compliant

**Audit programme(s) shall be planned, established, implemented and maintained by the organization, based on the results of risk assessments of the organization's activities, and the results of previous audits.**

Fully Compliant

Audit procedure(s) shall be established, implemented and maintained that address:

**a) the responsibilities, competencies, and requirements for planning and conducting audits, reporting results and retaining associated records; and**

Fully Compliant

**b) the determination of audit criteria, scope, frequency and methods. Selection of auditors and conduct of audits shall ensure objectivity and the impartiality of the audit process.**

Fully Compliant

## 4.6 Management Review

100%

**Top management shall review the organization's OH&S management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. Reviews shall include assessing opportunities for improvement and the need for changes to the OH&S management system, including the OH&S policy and OH&S objectives. Records of the management reviews shall be retained.**

Fully Compliant

Input to management reviews shall include:

**a) results of internal audits and evaluations of compliance with applicable legal requirements and with other requirements to which the organization subscribes;**

Fully Compliant

**b) the results of participation and consultation (see 4.4.3);**

Fully Compliant

**c) relevant communication(s) from external interested parties, including complaints;**

Fully Compliant

**d) the OH&S performance of the organization;**

Fully Compliant

**e) the extent to which objectives have been met;**

Fully Compliant

**f) status of incident investigations, corrective actions and preventive actions;**

Fully Compliant

**g) follow-up actions from previous management reviews;**

Fully Compliant

**h) changing circumstances, including developments in legal and other requirements related to OH&S; and**

Fully Compliant

**i) recommendations for improvement.**

Fully Compliant

The outputs from management reviews shall be consistent with the organization's commitment to continual improvement and shall include any decisions and actions related to possible changes to:

**a) OH&S performance;**

Fully Compliant

**b) OH&S policy and objectives;**

Fully Compliant

**c) resources; and**

Fully Compliant

**d) other elements of the OH&S management system.**

Fully Compliant

**Relevant outputs from management review shall be made available for communication and consultation (see 4.4.3).**

Fully Compliant

## Completion

### Comments

We are now improving on our recordkeeping using this new tool after we discovered that there were hard copy of old reports missing and we do not have soft copies.  
Our new safety officer, Jon, is currently in training and I will be updated on his current status.

### Name and Signature

Carl Young  
21.06.2023 15:54 PST



Photo 2

## Media summary

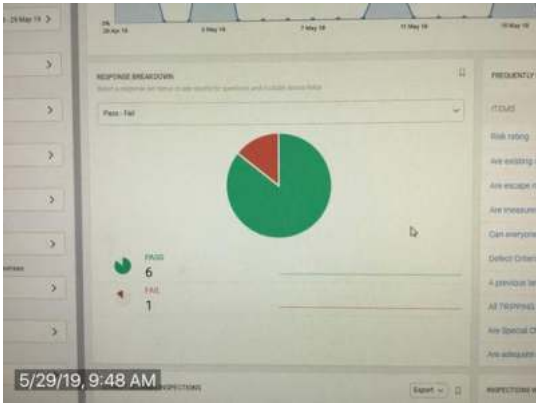


Photo 1

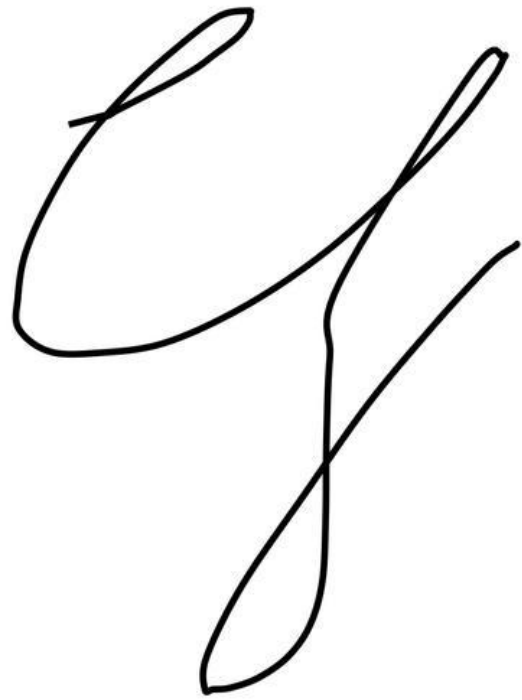


Photo 2