



# ISO 45001:2018 Lead Auditor Training Course

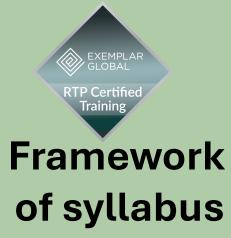
#### **Gain Recognized Certification**

Be officially certified as an ISO 45001:2018 Lead Auditor under the Exemplar Global RTP framework.



RTP Certified Training







## ISO 45001:2018 Lead Auditor Training Course

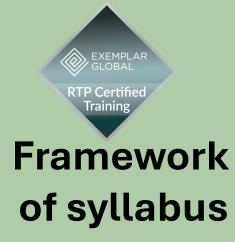
#### **Training Module:**

## Module 6: Auditing Principles and ISO 19011:2018 Guidelines

#### **Learning Outcome**

- Demonstrate the knowledge, skills, and attributes required for effective OH&S auditing based on ISO 19011:2018 guidelines.
- Plan, implement, and manage an OH&S audit programme, including audit scheduling and resource coordination.
- Apply auditing principles and techniques to conduct, monitor, and review audits in line with ISO 19011 best practices.







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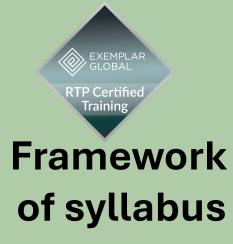
#### **Training Module:**

## Module 6: Auditing Principles and ISO 19011:2018 Guidelines

#### **Topic discussed**

- Auditor Competence Knowledge, Skills, and Attributes for Effective OH&S Auditing
- Principles of Auditing
- Managing an Audit Program
- Planning an Audit Programme
- Implementing the Audit Programme
- Monitoring & Review







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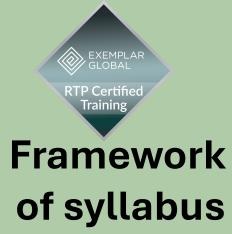
#### **Training Module:**

## **Module 7: Audit Execution (Onsite Assessment)**

#### **Learning Outcome**

- Prepare and initiate onsite OH&S audits effectively, ensuring readiness of audit tools and team coordination.
- Conduct audit activities using structured observation, interviews, and document review techniques.
- Apply the Turtle Diagram to assess process performance and verify compliance with OH&S requirements.







## ISO 45001:2018 Lead Auditor Training Course

#### **Training Module:**

## **Module 7: Audit Execution (Onsite Assessment)**

#### **Topic discussed**

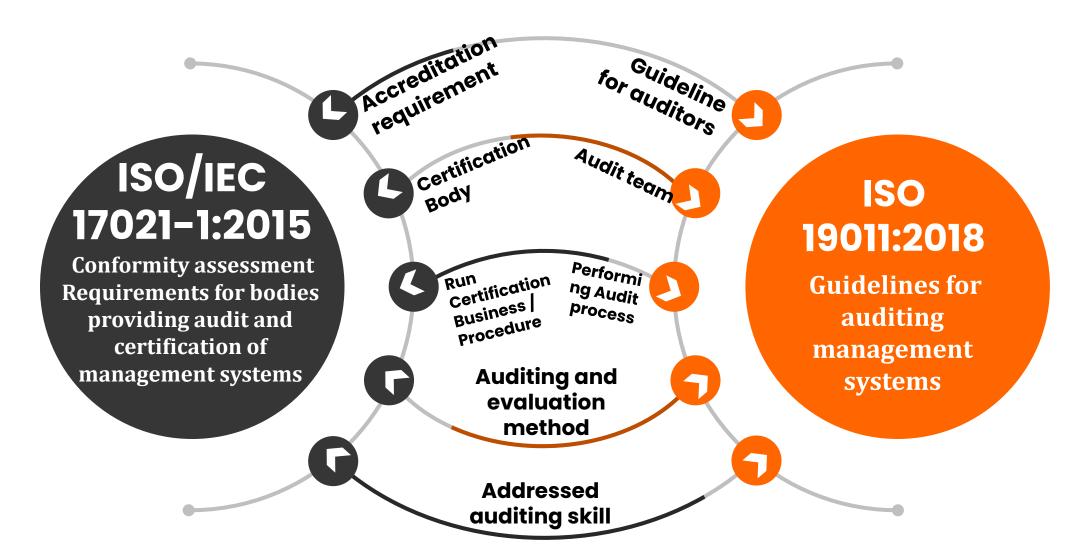
- Initiating and Preparing for the Audit
- Conducting Audit Activities
- Using the Turtle Diagram for Process Audit

Module 6

# Auditing Principles and ISO 19011:2018 Guidelines

## Standard Reference





### ISO/IEC 17021-1:2015 vs ISO 19011:2018

(Principles for inspiring confidence)

(Principles of auditing)

#### **CERTIFICATION SCHEME**

**Integrity** 

Due professional care

Independence

Risk-based

Fair presentation

**Confidentiality** 

**Evidence**based

approach

impartiality;

approach

ISO 19011:2018

**Guidelines for auditing** 

management systems

PLANNING AUDITING POST-AUDIT

risk-based approach

competence;

responsibility;

openness;

ISO/IEC 17021-1:2015

**Conformity assessment Requirements for bodies** providing audit and certification of management systems

confidentiality

responsiveness to complaints;

STRUCTURE RESOURCES INFORMATION PROCESS MANAGEMENT SYSTEM



### **Process Audit Phase**







the foundation of professionalism

honesty, diligence, and responsibility, comply with any applicable legal requirements, competency, impartiality, sensitivity to influence are essential for auditing 2

Fair presentation

the obligation to report truthfully and accurately

Audit findings, audit conclusions and audit reports reflect truthfully and accurately the audit activities.
Significant obstacles encountered during the audit and unresolved diverging opinions between the audit team and the auditee are reported.





Due professional care

the application of diligence and judgement in auditing

Auditors should exercise due care in accord- ance with the importance of the task they per- form and the confidence placed in them by the audit client and other interested parties



Confidentiality

## Security of information

Auditors should exercise discretion in the use and protection of information acquired in the course of their duties includes the proper handling of sensitive or confidential information





Independence

the basis for the impartiality of the audit and objectivity of the audit conclusions

Auditors should be independent of the activity being audited & should act in a manner that is free from bias and conflict of interest



Evidence-based approach

the rational method for reaching reliable and reproducible audit conclusions in a systematic audit process

Audit evidence is verifiable. The appropriate use of sampling is closely related to the confidence that can placed in the audit conclusion





Risk-based approach

an audit approach that considers risks and opportunities

The risk-based approach should substantively influence the planning, conducting and reporting of audits in order to ensure that audits are focused on matters that are significant for the audit client, and for achieving the audit programme objectives.

#### ISO 17021 Requirement

Certification bodies need to take into account the risks associated with providing competent, consistent

and impartial certification. Risks may include, but are not limited to, those associated with:

- the objectives of the audit;
- the sampling used in the audit process;
- real and perceived impartiality;
- legal, regulatory and liability issues;
- the client organization being audited and its operating environment;
- impact of the audit on the client and its activities;
- health and safety of the audit teams;
- perception of interested parties;
- misleading statements by the certified client;

use of marks.



#### **MANAGING AUDIT PROGRAM**











Establishing an Audit Program

- Auditee's Context
- Audit Scope
- Audit Extent
- Complexity
- Organizations scale

- Objectives
- internal and external issues,

Understanding the

- stakeholder expectations, and
- confidentiality requirements

Planning the Audit Program

- Audit Objectives
- Integrity
- Resource Allocation
- Competency

Audit Program Details

- Audit Information
- Objectives of the audit program.
- Risks & opportunities
- Scope & boundaries
- Audit schedule
- Types of audits
- Audit criteria
- Team members
- Monitoring
- Review and Improvement



#### PLANNING AN AUDIT PROGRAMME

	Set Clear Audit Objectives	Align audits with orgizational goals, risks, performance levels, and stakeholder expectations.
	Define Audit Purpose	Common purposes: improve system performance, verify compliance, and ensure supplier reliability.
δ	Manage Risks & Use Opportunities	Plan to avoid issues like poor resourcing or weak team selection, while using opportunities to combine audits and reduce costs
	Build the Audit Programme	Define scope, assign roles, choose competent auditors, plan schedules, and set up communication and reporting processes
	Ensure Competent Programme Managers	Managers should un'erstand audit practices, management systems, and keep their knowledge updated
	Decide Audit Scope & Coverage	Consider the size, complexity, past results, and stakeholder concerns when setting how broad detailed the audit will be
\$	Plan for Resources	Allocate enough budget, time, personnel, tools, and logistics (e.g. travel, tech, accommodation) for audit activities



#### IMPLEMENTING AUDIT PROGRAM



#### Organize and Communicate the Audit Plan

Share the audit plan, assign roles, choose audit methods fon-site or rerote). and keep everyone informed. Ensure everything is scheduled and risks are managed.



#### Set Clear Audit Audit Method

Decide how the audit will be done



#### Assign an Audit Team Leader

Appoint a leader to manage the audit and ensure smooth execution



#### **Keep Records Secure and Organized**

Protect all audit documents properly



#### Set Clear Audit Objectives, Scope & Criteria

Define what you want to achieve, the area, and the standards to follow.



#### Establish Competent Audit Team

Select skilled auditors, include experts and new auditors if applicable



#### Review and Use Audit Results

Evaluate achievement of audit objectives, review findings, and share improvements



# MONITORING AND REVIEW OF THE AUDIT PROGRAMME



#### Monitoring the Audit Programme

Make sure the audit schealule is followed, teams perform well, audits run smoothly, feedback is collected, and documentation is complete



## Potential Modifications to the Audit Programme

Update the programme if there are changes in findings, scope, standards, client needs, or conflicts of interest



#### Reviewing and Improving the Audit Programme

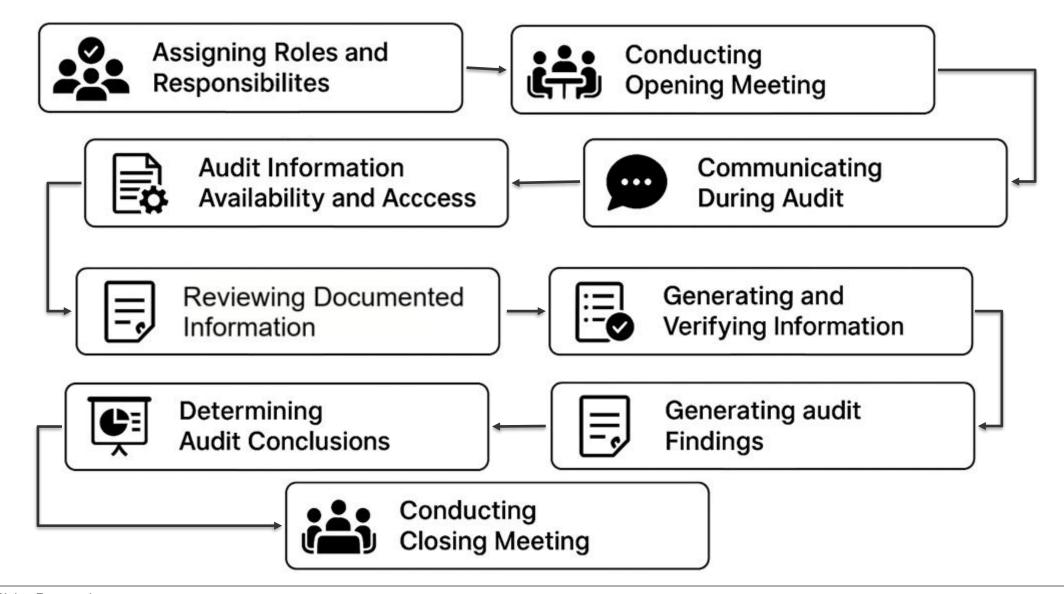
Regularly check if the audit plan works well, find areas to improve, support auditor development, and report findings



#### Considerations During Review

Look at trends, process compliance, changes in stakeholder needs, data security, and the effectiveness of risk controls









# Audit Execution (Onsite Assessment)



# CONDUCTING AUDIT: INITIATING AND PREPARING AUDIT ACTIVITIES

#### **INITIATING THE AUDIT**



- responsible by the team leader
- communicating with auditee

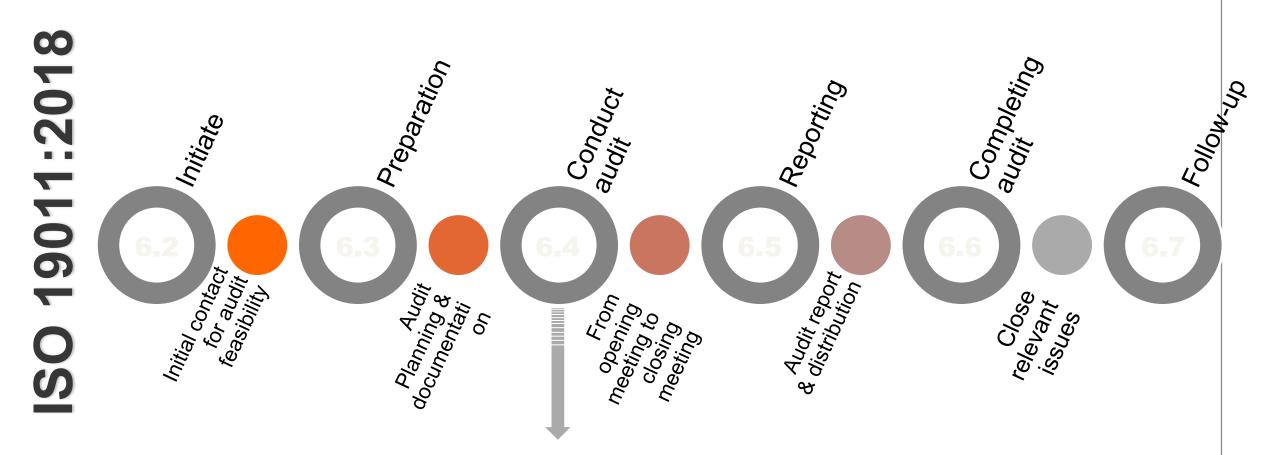
#### PREPARING FOR THE AUDIT



- review documentation
- planning, risk assessment coordination
- review and use audit results

# **Auditing Guideline**Performing an Audit

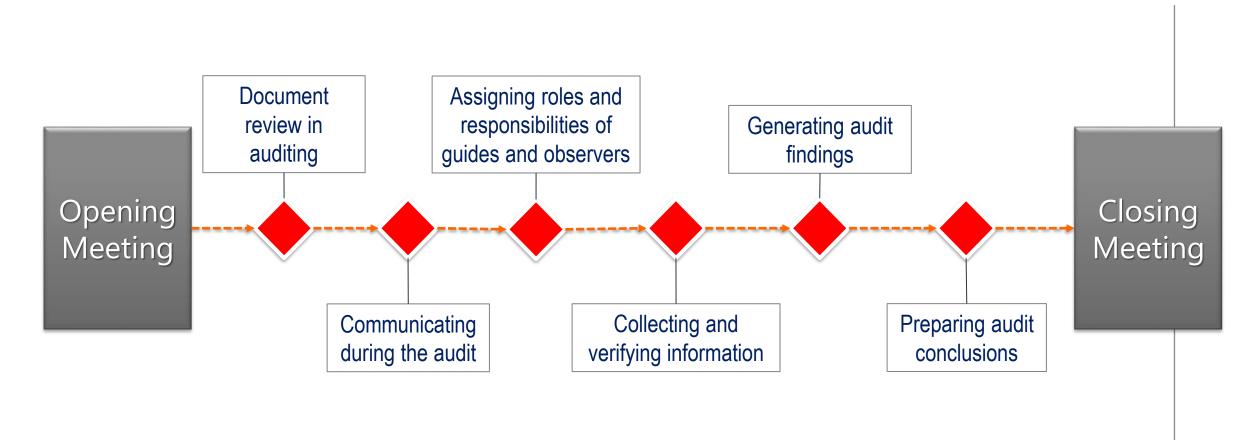




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# **Auditing Guideline**Conducting the audit activities



## Opening Meeting



introduction of the participants, including an outline of their roles, audit team including observers

certification, audit scope plan, change, arrangement, communication channel, resources & facilities, language used in auditing

#### **INFORMATION**

Confidentiality, reporting method, audit findings, information about the conditions under which the audit may be prematurely terminated, status of findings of the previous review, sampling procedure, client will be kept informed of audit progress and any concerns and opportunity for the client to ask questions

#### **PROVISION**

Auditor Guides, work safety, emergency and security procedures, Audit protocol



# AUDITING

### **TECHNIQUES**

Auditors can harness common audit methodologies such as observation, document review, and interviews while employing a Turtle Diagram to systematically evaluate processes. This structured approach ensures a comprehensive examination, enabling auditors to identify strengths, weaknesses, and areas for improvement, ultimately delivering impactful audit results that guide enhancements and compliance within the organization.



#### **Turtle Diagram**

A process-oriented audit approach



#### **Onsite audit**

A method to collect an objective evidence

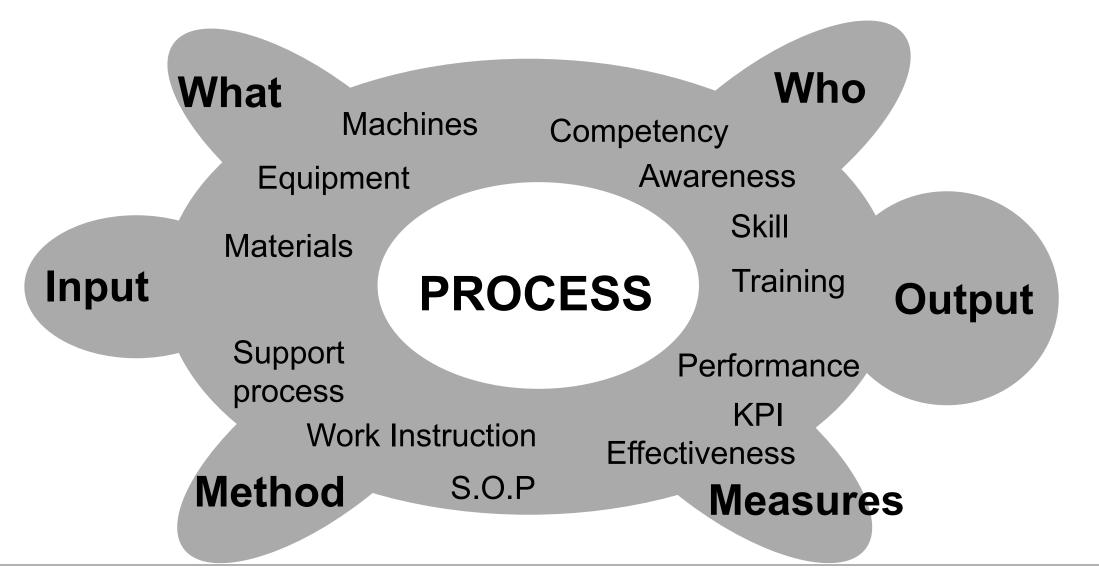


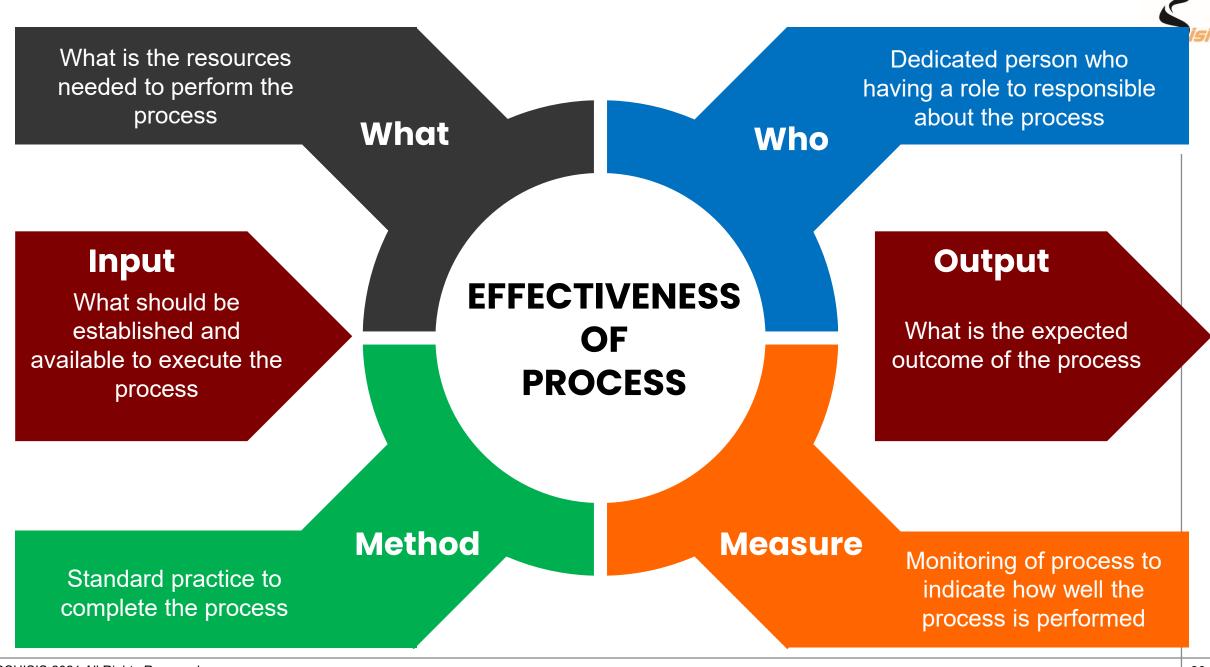
#### Aim

This section will explain audit techniques using the Turtle method combined with common methods such as Interview, Document Review & Observation to gather sufficient evidence to justify audit findings...



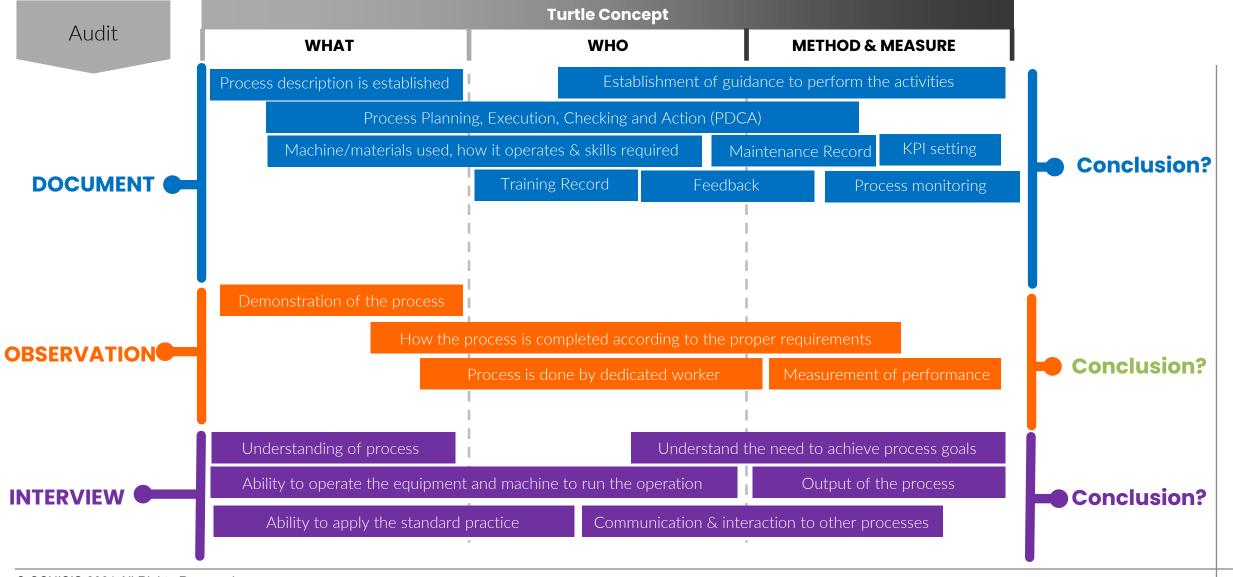
## Auditing approach using Turtle Diagram





## AUDIT MIND-MAPPING: TURTLE CONCEPT APPLICATION AT SITE





# AUDIT MIND-MAPPING: TURTLE CONCEPT APPLICATION AT SITE



Process description is established Maintenance Record Feedback Process Planning, Execution, Checking and Action (PDCA) Machine/materials used, how it operates & skills required Establishment of guidance to perform the activities Training Record **Process monitoring KPI** setting Demonstration of the process How the process is completed according to the proper requirements Process is done by dedicated worker Understanding of process Output of the process Communication & interaction to other processes Ability to apply the standard practice Ability to operate the equipment and machine to run the operation Understand the need to achieve process goals

How the issues presented are able to generate the appropriate types of questions according to the skills of the auditor

Audit Findings
Comply

Non-Conformity

Open questions
Closed questions
Leading Questions

The questions presented to the auditee can provide justification to the auditor in making a decision

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