

# INTERNAL AUDIT CHECKLIST

## INTERNAL COMMUNICATIONS AND AWARENESS

Audit No: \_\_\_\_\_ Date: \_\_\_\_\_ Auditor(s): \_\_\_\_\_

Item	Compliance	Remarks
Do OTML have systems and processes in place to ensure regular communication and consultation takes place with internal and external stakeholders?		
Do these systems / processes provide the opportunity to participate and provide feedback on OTML's policies, standards and Integrated Management System (IMS) at all levels of the organisation?		
Are all communications translated to required languages?		
Do OTML personnel have regular opportunity to be involved in the development, review and implementation of SHEC processes that impact upon their areas of responsibility?		
Are site based SHEC committees in place?		
Are committee representatives: <ul style="list-style-type: none"> <li>Nominated and elected by their peers?</li> <li>Given encouragement and opportunity to participate in SHEC matters?</li> <li>Competent to carry out their duties effectively and receive training where required?</li> </ul>		
Are the names of site based SHEC committee representatives communicated to all personnel and posted on designated SHEC noticeboards on site?		
Are formal site based SHEC committee meetings:		

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<ul style="list-style-type: none"> <li>• Held monthly?</li> <li>• Minuted and recorded?</li> <li>• Proceedings and outcomes communicated?</li> <li>• Records retained?</li> </ul>		
<p>Are there regular opportunities for internal communication, consultation and participation with OTML personnel in the following areas:</p> <ul style="list-style-type: none"> <li>• Risk assessments?</li> <li>• Incident reporting and investigation?</li> <li>• Action tracking?</li> <li>• Review and updating standards and objectives?</li> <li>• Performance review and sharing lessons learned?</li> <li>• Daily toolbox and pre-start meetings?</li> <li>• SHEC noticeboards and SHEC alerts?</li> <li>• OTML's intranet?</li> <li>• Management and awareness presentations?</li> </ul>		
<p>Has OTML assembled an SHEC management committee that meets formally, at least every three months, to address SHEC performance and report to top management?</p>		
<p>Does this committee consist of:</p> <ul style="list-style-type: none"> <li>• A top management representative(s)?</li> <li>• SHEC representatives?</li> <li>• Site-based SHEC delegates?</li> <li>• Statutory representatives?</li> </ul>		
<p>Are SHEC management committee:</p> <ul style="list-style-type: none"> <li>• Representatives communicated to OTML personnel?</li> <li>• Meeting minutes recorded?</li> <li>• Proceedings and outcomes communicated?</li> </ul>		

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• Records retained?		
Does OTML have a process and system in place that responds when a major change or impact has been identified that could have safety, health, environmental or social impacts?		
Does this system or process: <ul style="list-style-type: none"> <li>• Identify and engage personnel who may be directly impacted by that change?</li> <li>• Assemble a team who shall be involved in pre-planning and the implementation process?</li> <li>• Ensure that consultation occurs prior to any change being made or activity being undertaken?</li> </ul>		
Are measures in place to monitor and report on conformance with voluntary agreements and commitments?		
Does OTML have systems in place to ensure that SHEC policies, goals and performance is communicated to relevant external stakeholders?		
Does OTML have stakeholder engagement plans in place, and are these reviewed regularly to ensure the effectiveness of communication, consultation and participation with local communities?		
Is there a system in place to record, evaluate and respond to suggestions made to improve SHEC performance at OTML?		
Are all suggestions, both internal and external, assessed and responded to within a reasonable timeframe?		
Does OTML have a system in place to register, record, investigate and respond to internal and external complaints or concerns in relation to the SHEC aspects of OTML's operations and activities		

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within a reasonable timeframe?		
Are complaints or concerns periodically reviewed, with reports given to top management on a regular basis?		
Are procedures in place that ensure relevant and timely reporting of information to ensure the IMS is monitored and performance continuously improved?		
Are the following requirements covered in OTML's IMS reporting criteria: <ul style="list-style-type: none"> <li>• SHEC performance reporting?</li> <li>• Incidents and system failures?</li> <li>• Hazard identification?</li> <li>• Hazard/risk assessment?</li> <li>• Preventative and corrective actions?</li> <li>• Statutory reporting requirements?</li> </ul>		
Are performance measures assessed in accordance with the requirements of this standard?		

#### Key:

<b>Exceed</b>	Requirements with this score exceed obligations. No corrective action required.
Action NA	
<b>Compliant</b>	Requirements with this score do not require corrective action. Opportunities for improvement should become a longer term goal once the quality system is established.
Low Priority	
<b>Minor N/C</b>	Requirements with this score require corrective action which should become a medium term priority. These are quick wins but you should focus on the major non-conformities first.
Medium	
<b>Major N/C</b>	Requirements with this score require corrective action which should become a high priority for rectification. These elements should be corrected by ensuring full implementation and documentation.
High Priority	
<b>Major N/C</b>	Requirements with this score require corrective action which must become an immediate priority. These elements must be corrected through process implementation and documentation.
Immediate	