AUDITS AND ISO

# What evidence an ISO 45001 auditor asks for

Clause by clause, what the auditor wants to see. And what they almost always do: pick one person at random and ask for their records.

**Published October 28, 2026** · next review: when the revision of ISO 45001 is published (expected in 2027)

Clause numbers are those of ISO 45001:2018. What follows is a paraphrase: the text of the standard is sold by ISO or by your national standards body (in Uruguay, UNIT).

## How an auditor audits

They don't check everything: they **sample**. They pick a job, a task or a staff member, and follow the thread:

- the risk of that task in the matrix;
- the controls that were defined;
- that person's training;
- the PPE handed to them;
- what happened the last time something went wrong.

Wherever the thread breaks, that's the finding. That's why having everything printed matters less than being able to pull up one person's records on the spot.

## What they ask for, clause by clause

### Context and leadership

- **4.3 Scope:** what the system covers, in writing.
- **5.2 Policy:** documented, communicated and available.
- **5.4 Consultation and participation of workers:** a record that workers were consulted and took part, not just that they were informed.

### Planning

- **6.1.2 Hazards and risks:** the method used to assess them and the matrix with its results, up to date.
- **6.1.3 Legal requirements:** the list of what applies, kept current.
- **6.2 Objectives:** the objectives and how they'll be met.

### Support

- **7.2 Competence:** evidence that each person has the training their task requires.
- **7.4 Communication:** what is communicated, to whom and how.
- **7.5 Documented information:** versioned, approved, and easy to find.

### Operation

- **8.1.2 Hierarchy of controls:** that controls were chosen in order (eliminate, substitute, engineering controls, administrative controls and, last, PPE).
- **8.1.3 Management of change:** what was assessed before changing a task, a piece of equipment or a process.
- **8.1.4 Procurement and contractors:** how people from outside the company are brought into the system.
- **8.2 Emergencies:** the plans and the drills carried out.

### Evaluation and improvement

- **9.1 Monitoring and measurement:** what is measured and the results.
- **9.1.2 Evaluation of compliance:** the result of checking whether legal requirements are met.
- **9.2 Internal audit:** the program and the results.
- **9.3 Management review:** its outputs, in writing.
- **10.2 Incidents and nonconformities:** the investigation, the cause and the corrective action, with its closure.

## What fails most often

- **The matrix doesn't match operations:** tasks that no longer exist, new tasks that aren't there.
- **Controls that are only PPE or a procedure,** with no record of why going higher up the hierarchy wasn't possible.
- **Training without an individual record:** an attendance sheet without each person's signature.
- **Corrective actions open for months,** with no owner and no date.
- **Contractors working on site with no recorded induction.**

If it has to be prepared for the audit, it wasn't evidence.

This is handled by **VivoGRC HSE**

In VivoGRC HSE, every record is dated and signed as the work happens, and one person's records come up on the spot.

SOURCES

1 ISO 45001:2018, Occupational health and safety management systems — Requirements with guidance for use
https://www.iso.org/standard/45001

2 Ecesis, "ISO 45001 Documented Information"
https://www.ecesis.net/ISO-45001/Documented-Information.aspx