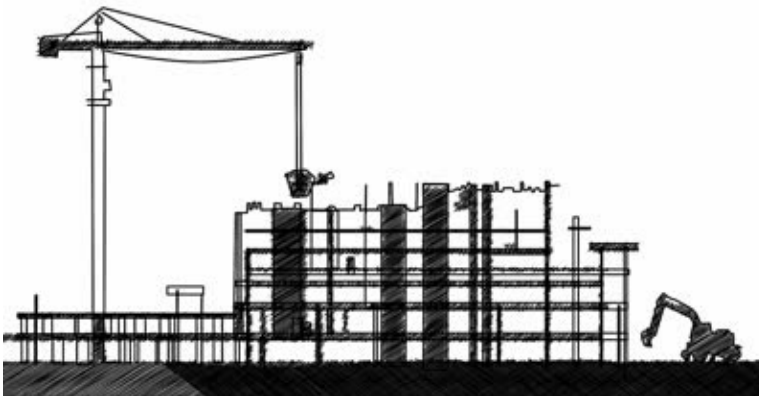




HSE PROCEDURE

FOR

INTERNAL AUDIT

**INDUSTRIAL
SYSTEMS GROUP**

**HSE PROCEDURE
FOR
INTERNAL HSE AUDIT
(HSEP: 11)**



DOC NO. : HSEP: 11	REVISION NO. : 00	DATE : 10-01-2018
ORIGINAL ISSUE DATE : 10-01-2018	DATE OF ISSUE OF THIS COPY :	
COPY NO. :	ISSUED BY : R K OJHA	
ISSUED TO :	SIGN : NAME : DESGN. / DEPT. : HSE	

BHARAT HEAVY ELECTRICALS LIMITED

INDUSTRIAL SYSTEMS GROUP

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OBJECTIVE

To establish a procedure to determine, whether the HSE management system:

- a) Conforms to the planned arrangements as per the requirements of ISO 14001:2004 Standard and OHSAS 18001: 2007 Standard.
- b) Is effectively implemented and maintained.

2.0 SCOPE

This procedure covers the method for conducting Internal HSE Audits at planned intervals and reporting / follow-up of audit findings.

3.0 PROCEDURE DESCRIPTION

CONSTITUTION

HSE audit shall be carried out by an individual or team nominated by Head/HSE of region. The auditors shall be trained, sufficiently experienced and functionally independent for the purpose.

All areas under audit shall be accessible to auditor / audit team for investigation and subsequent follow-up measures.

AUDIT CALENDAR

Audit calendar shall be prepared at the beginning of the calendar year and approved by MR (HSE) of the region, taking into consideration the status and importance of the processes and areas to be audited, as well as results of the previous audits.

Annual Internal HSE Audit calendar shall have details of Departments and Sites/areas to be audited. Audits shall be conducted twice a year as per guidelines of ISO 19011:2002. Frequency of audit can be changed by MR, based on requirements as specified in 3.2.1 above.

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PLANNING FOR AUDIT

Head (HSE) of the Region shall prepare audit schedule indicating place of audit and date along with name of auditor and key auditees and send the same to the HODs and Head at least 15 days prior to the audit.

Head/HSE shall nominate auditor(s)/ audit team and team leader prior to audit and inform concerned. Each auditor shall be provided with :

- o Internal HSE Audit Report Format (Format no. HSEP: 11-F01)
- o Internal HSE Nonconformity Report Format (Format no. HSEP: 11-F02)
- o Internal HSE Audit Summary Report Format (Format no. HSEP: 11-F03)
- o Corrective/preventive action recommended for preceding Internal and External HSE Audits for verification of compliance.
- o Internal HSE audit checklist
- o Copy of NCR(s) of last internal HSE audits if any where MR has given comments for further action

Nominated auditor(s)/ audit team for selected area shall be briefed about specific audit.

Auditor(s)/ audit team shall plan a tentative programme for conducting audit along with key auditees.

PROCEDURE AND CONDUCTANCE OF AUDIT

Audit procedure shall cover planning, conducting, reporting and follow-up for corrective and preventive action.

Internal HSE Audit shall be carried out with reference to OHSAS 18001:2007, ISO14001:2004 and HSEMS.

Internal HSE Audits shall be performed: -

- i) To determine the conformity or nonconformity of the HSE Management system elements with the specified documentation and implementation requirements.

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- ii) To determine the effectiveness of HSE Management system in meeting the specified HSE objectives of the region.
- iii) To evaluate the HSE Management system against OHSAS 18001:2007, ISO14001:2004
- iv) To provide an opportunity to improve the HSE Management system.
- v) To facilitate external HSE audit.
- vi) To verify effectiveness of corrective and preventive action taken and it's continued compliance.
- vii) To meet statutory and regulatory requirements and adherence to relevant Standards & Codes.

Auditors' responsibility shall be:

- o Complying with the applicable audit requirements
- o Communicating and clarifying audit requirements
- o Planning and carrying out assigned responsibilities effectively and efficiently
- o Documenting the deficiency/deviation
- o Reporting the audit findings to Auditee and Head (HSE) of the Regions

The non-conformance are:

- o Conditions nonconforming to HSEMS.
- o Violation of specified requirement i.e.

Conditions of contract

ISO 14001 and OHSAS 18001 of HSE Management Standard

Technical Instructions

Statutory and Regulatory requirement

REPORTING AND FOLLOW-UP

Audit report shall be prepared enclosing nonconformity reports bringing out deficiencies/deviations observed as detailed in this procedure.

Corrective action shall be time bound and mutually agreed between auditor and auditee.

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Concerned HOD shall take necessary corrective/preventive actions as per HSEP: 09 and communicate the same to Head (HSE). Unreasonable delay in dispositioning and corrective action shall be reported to MR for review in MRC meeting.

Implementation and effectiveness of corrective action shall be verified by Auditor/nominee of Head (HSE) and reviewed by MR. NCRs pending for taking closing action may be dropped at the discretion of MR, when disposition action would have lost any significance.

Nonconformity report shall be numbered as follows: XX / XX

| |

| | _____ Serial Number of NCR

|

| _____ Audit Number

DISTRIBUTION OF AUDIT REPORT

Audit Report shall be distributed to Head of Department audited, Head (HSE) and MRHSE.

Findings of Internal HSE audit shall be included in the MRC agenda and shall be discussed in detail.

4.0 DOCUMENT CONTROL

This document shall be issued and controlled as detailed in HSEP: 11

FORMATS USED

- 1 HSEP: 11- F01 - Non-Conformity Report
- 2 HSEP: 11- F02 - Internal HSE Audit Report (ISO 14001 CLAUSE)
- 3 HSEP: 11- F03 - Internal HSE Audit Report (OHSAS 18001 CLAUSE)
- 4 HSEP: 11- F04 - Summary of Audit

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Format No. HSEP: 11-F01 INTERNAL HSE AUDIT NONCONFORMITY REPORT		
Dept. : Auditor(s) : NCR No. : HSE /		Audit Date : Major/Minor : ISO 14001/OHSAS 18001 Cl.No.:
Nonconformity:		
System Doc. Attribution		
Proposed date for Corrective Action / /	HSE Auditor Sign. & Date	Auditee Sign.& Date
Disposition: Corrective Action:		
Actual date for Corrective Action / /	HOD Sign. & Date	Auditee Sign.& Date
Follow-up Audit Report (Implementation & effectiveness of Corrective Action) HSE Auditor Sign. & Date		
Review by M R (HSE): Sign. & Date		
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Format No. HSEP: 11-F02 INTERNAL HSE AUDIT REPORT										
AUDIT NO. : HSE/					DEPARTMENTS					
TEAM LEADER :										
AUDITOR(S) :										
ISO 14001 CLAUSE	DAY:									
	AUDITOR NO.									
4.1	General requirements									
4.2	Environmental policy									
4.3	Planning									
4.3.1	Environmental aspects									
4.3.2	Legal and other requirements									
4.3.3	Objective targets & programme(s)									
4.4	Implementation and operation									
4.4.1	Resources, roles, responsibility and authority									
4.4.2	Competence, training and awareness									
4.4.3	Communication									
4.4.4	Documentation									
4.4.5	Control of documents									
4.4.6	Operation control									
4.4.7	Emergency preparedness and response									
4.5	Checking and corrective action									
4.5.1	Monitoring and measurement									
4.5.2	Evaluation of compliance									
4.5.3	Non-conformity, corrective and preventive action									
4.5.4	Control of records									
4.5.5	Internal audit									
4.6	Management review									
/ = Element addressed & No NCR raised ; (Number) = Element addressed & the number of NCR raised within the element					Major NCR		Minor NCR		NCR Closed	
AUDITOR / LEAD AUDITOR: _____ SIGN. & DATE: _____										
Prepared by: Internal Auditor					Approved and issued by : R K OJHA ISG-HQ					

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Format No. HSEP: 11-F03 INTERNAL HSE AUDIT REPORT											
AUDIT NO. : HSE/					DEPARTMENTS						
TEAM LEADER :											
AUDITOR(S) :											
OHSAS 18001 CLAUSE	DAY:										
	AUDITOR NO.										
4.1	General requirements										
4.2	OH & S policy										
4.3	Planning										
4.3.1	Hazard identification, risk assessment & determining controls										
4.3.2	Legal & other requirements										
4.3.3	Objectives and programme(s)										
4.4	Implementation and operation										
4.4.1	Resources, roles, responsibility, accountability and authority										
4.4.2	Competence, training & awareness										
4.4.3	Communication, participation and Consultation										
4.4.4	Documentation										
4.4.5	Control of documents										
4.4.6	Operational control										
4.4.7	Emergency preparedness and response										
4.5	Checking										
4.5.1	Performance measurement & monitoring										
4.5.2	Evaluation of compliance										
4.5.3	Incident investigation, non-conformity corrective action and preventive action										
4.5.4	Control of records										
4.5.5	Internal audit										
4.6	Management review										
/ = Element addressed & No NCR raised ; (Number) = Element addressed & the number of NCR raised within the element					Major NCR	Minor NCR		NCR Closed			
AUDITOR / LEAD AUDITOR: _____ SIGN. & DATE: _____											
Prepared by: Internal Auditor					Approved and issued by : R K OJHA ISG-HQ						

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Format No. HSEP: 11-F04 <u>SUMMARY OF AUDIT</u>	
DEPARTMENT / SITE:	I.H.A. NO. :
CHECK POINTS	OBSERVATION
* Compliance on Corrective Action on NCRs of preceding IHA. * Compliance on Corrective Action on NCRs of preceding ICS Audit. * Compliance on observation made In Summary of audit of Preceding IHA. * Compliance on applicable Statutory & Regulatory requirements. * Verification / follow-up of IHA NCRs, if any, given by MR(HSE) * Audit Checklist provided.	
Name of Auditor :	Signature : Date :
Note: 1) if required add additional sheet. 2) This page shall be attached along with IHA Report by Auditor.	
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RECORD OF REVISION

Pag No.	Rev. No.	Brief of Revision	Date
All	00	New procedure	10.01.2018

Prepared by: Internal Auditor

Approved and issued by : R K OJHA
ISG-HQ



HSE INDUSTRIAL SYSTEMS GROUP Headquarters

