



AUDIT GUIDELINES

Doc 102/19

Revision of Doc 102/03

EUROPEAN INDUSTRIAL GASES ASSOCIATION AISBL



AVENUE DES ARTS 3-5 • B – 1210 BRUSSELS
Tel : +32 2 217 70 98 • Fax : +32 2 219 85 14
E-mail : info@eiga.eu • Internet : www.eiga.eu

AVA Documents
Document Sharing Hub



AUDIT GUIDELINES

Prepared by WG-16 Worker Safety

Disclaimer

All technical publications of EIGA or under EIGA's name, including Codes of practice, Safety procedures and any other technical information contained in such publications were obtained from sources believed to be reliable and are based on technical information and experience currently available from members of EIGA and others at the date of their issuance.

While EIGA recommends reference to or use of its publications by its members, such reference to or use of EIGA's publications by its members or third parties are purely voluntary and not binding.

Therefore, EIGA or its members make no guarantee of the results and assume no liability or responsibility in connection with the reference to or use of information or suggestions contained in EIGA's publications.

EIGA has no control whatsoever as regards, performance or non performance, misinterpretation, proper or improper use of any information or suggestions contained in EIGA's publications by any person or entity (including EIGA members) and EIGA expressly disclaims any liability in connection thereto.

EIGA's publications are subject to periodic review and users are cautioned to obtain the latest edition.

© EIGA 2019 - EIGA grants permission to reproduce this publication provided the Association is acknowledged as the source

EUROPEAN INDUSTRIAL GASES ASSOCIATION AISBL
Avenue des Arts 3-5 B 1210 Brussels Tel +32 2 217 70 98 Fax +32 2 219 85 14
E-mail: info@eiga.eu Internet: www.eiga.eu



Table of Contents

1	Introduction	1
2	Scope and purpose	1
2.1	Scope.....	1
2.2	Purpose	2
3	Terminology and definitions	2
3.1	Publication terminology	2
3.2	Technical definitions	2
4	Types of audit and assessments	4
4.1	Internal.....	4
4.2	Supplier audit.....	4
4.3	Inspections and assessments (out of scope)	4
5	Functions and benefits of an audit process	5
5.1	Management.....	6
5.2	Legal	6
5.3	Training.....	6
5.4	Information.....	6
5.5	Financial	6
6	Audit frequency	7
7	General requirements for audits	7
7.1	Management commitment	7
7.2	Defined audit process	8
7.3	Auditor independence and objectivity.....	8
7.4	Competence of the auditors	8
7.5	Confidentiality	9
8	Audit process	9
8.1	Planning and preparation	9
8.2	Conducting audits	12
8.3	Compiling audit report.....	15
8.4	Action plan and follow up.....	15
8.5	Management review and follow-up.....	16
9	References.....	16
10	Additional references.....	16

1 Introduction

Auditing is a long-established tool, commonly used to evaluate and monitor performance and compliance against regulations, standards or other company or industry documents that define requirements. Auditing also serves as one element of the check step of a plan-do-check-act cycle of a management system [1].

Auditing is a proactive management tool for use by an organisation or activity as a part of its management responsibilities. It is used to proactively confirm compliance, detect potential issues and facilitate future improvement

This publication and associated checklists provide a practical guide to audit and self-assessment processes focusing on safety, health and environment, management systems and technical practices within the industrial gas industry.

EIGA member companies may wish to demonstrate to a wide range of interested parties that good management practices are in force, measured and verified and that they are committed to continuously improve their performance. Audit and self-assessment processes as described in this publication can help make that demonstration.

It is important to note that some EU Directives and regulations require management audit and review, for example Seveso, Industrial Emissions Directive, Energy efficiency and Good manufacturing practices (GMP).

Auditing systems are also required by international standards such as OHSAS 18001, *Occupational Health and Safety Management Systems—Requirements*, ISO 14001, *Environmental management systems -- Requirements with guidance for use* or the EU's voluntary Eco-Management and Audit Scheme (EMAS) and energy auditing to ISO 50001, *Energy management* [2, 3, 4, 5].

2 Scope and purpose

2.1 Scope

This publication provides an overview of audit and self-assessment processes, identifies different types of audits and lists the key points for ensuring success.

This publication does not incorporate all the requirements of local or national legislation. These should be taken into consideration when planning any audit or developing audit checklists.

Specific checklists are not included in this publication. A list of available checklists can be found in EIGA Doc 102.01, *Listing of Safety Audit Assessment Tools* [6].

The following are within the scope of this publication:

- internal audits such as management system audits or technical audits;
- supplier audits; and
- self-assessments.

There are a range of activities that may be referred to as “audits” which may also include simple inspections.

The following are not within the scope of this publication:

- external audits conducted by external organisations such as certification bodies or by customers, external audits can be management system audits or technical audits;
- authority inspections; and

- internal workplace inspections, safety walks and visits.

2.2 Purpose

This publication provides guidance to the industrial gas industry on how to implement a comprehensive auditing system, for occupational health, safety and environment. In principle it can be used for review of any other management systems and practices, for example ISO 9001 - *Quality management systems – Requirements* [7].

This publication is intended for use or reference by senior management, facility managers, internal auditors, safety, health and environmental specialists and technical managers.

3 Terminology and definitions

For the purpose of this publication, the following definitions apply.

3.1 Publication terminology

3.1.1 Shall

Indicates that the procedure is mandatory. It is used wherever the criterion for conformance to specific recommendations allows no deviation.

3.1.2 Should

Indicates that a procedure is recommended.

3.1.3 May

Indicates that the procedure is optional.

3.1.4 Will

Used only to indicate the future, not a degree of requirement.

3.1.5 Can

Indicates a possibility or ability.

3.2 Technical definitions

3.2.1 Audit

A management process consisting of a systematic, documented, and objective evaluation of an organisation's compliance with management systems, technical standards and industry guidelines on a periodic basis.

Audits may also be used in order to demonstrate compliance with obligations under some specific aspects of EU or country safety, health or environmental regulation.

In this publication, the term audit is used to refer to occupational health, safety or environment audits unless otherwise stated.

3.2.2 Audit criteria

Set of policies, procedures or requirements used as a reference against which objective audit evidence is compared.

3.2.3 Audit finding

Result of the evaluation of audit evidence against an audit criteria that either:

- demonstrates that the unit is in compliance with the requirement which was audited (positive finding); or
- shows that the unit is not completely in compliance with the requirement which was audited (negative finding or non-conformity).

3.2.4 Incident

Event that gave rise to an accident or had the potential to lead to an accident.

3.2.5 Internal audit

Audit conducted on an organisation or location by people from within the same company as the audited organisation or location that have a degree of independence from the activity being audited, or by people contracted to audit on behalf of that organisation or location.

3.2.6 Location

Operating or administrative site with activities belonging to an EIGA member company under its control and where the employees are non-office workers as well as office workers. In this publication it may be used to refer to a discrete part of the site.

3.2.7 Management system audit

Audit that focuses on the organisation's or location's management system(s) in whole or in part. A management system audit focusses on policy, processes and procedures including the organisational structure, roles and responsibilities.

3.2.8 Organisation

Organisation can mean the whole company or any regional, functional or other subgroup.

3.2.9 Process

Set of interrelated or interacting activities which transforms inputs into outputs.

3.2.10 Self-assessment

Assessment conducted by someone on their own organisation or location. It is a management process which complements the formal audit process.

Self-assessments are formal systematic, documented and subjective evaluations of an organisation's compliance with management systems, technical standards or industry guidelines.

Self-assessments can also help to check compliance with obligations under some specific aspects of EU or country safety, health or environmental regulation.

3.2.11 Supplier audit

Audit of a company's supplier of equipment, raw material, product or services that is conducted by the company or by people contracted to audit on behalf of that company.