Clause Mapping to Organizational Processes

Keep this matrix consistent with the Process Responsibility Matrix. Copy the process names from the 'Input Lists' worksheet into the Process Name list from Cell B420 of the 'Internal Audit Checklist'. Clause numbers follow the EHS Management System Manual correlation matrix (Appendix A.3). Five rules for RACI assignment:

Rule 1: Identify the Accountable party (A). Only ONE 'A' is allowed per row; e.g. the process owner who is accountable for the final result, has ultimate authority and decision-making power, and is usually audited.
Rule 2: Identify Responsible parties (R). You can have multiple 'R's per row; these functions execute the activity or task to provide the deliverables and report to the Accountable party (e.g. process owner).
Rule 3: Identify Consulted parties (C). Subject matter experts provide input before decisions are made and actions taken. Requires two-way communication.
Rule 4: Identify Informed parties (I). Need to be kept up-to-date on activities and tasks, but do not contribute, e.g., everyone else who isn't A, R, or C. Requires one-way communication.
Rule 5: Use blank cells sparingly (-). Only when the function is truly not involved in delivering the requirement. Most support functions should at least be I.

		Management Processes						Operational Processes				Support Processes					Spare						
Clause	Clause Title	Management System	Business Planning	Sales & Marketing	Operational Planning	Business Review	Improvement	Procurement & Supply	Manufacturing	Monitoring & Calibration	Packing & Shipping	Facilities	Corrective Action	Internal Audit	HR & Training	I.T. & Doc Control	Other 1	Other 2	Other 3	Other 4	Other 5	Other 6	Applies to
4.1	Organizational Context	A	R	C	C	C	I	C	I	I	I	I	I	I	I	I	-	-	-	-	-	-	
4.2	Relevant Interested Parties	A	C	C	C	R	C	R	C	C	C	C	C	C	C	I	-	-	-	-	-	-	
4.3	Management System Scope	A	R	I	C	C	I	I	I	I	I	I	I	I	I	I	-	-	-	-	-	-	
4.4	Management System Processes	A	R	I	C	C	I	R	R	R	R	R	R	R	R	R	-	-	-	-	-	-	
5.1.1	Leadership & Commitment - General	R	A	I	I	R	I	I	I	I	I	I	I	I	R	I	-	-	-	-	-	-	
5.2.1	Establishing the Policy	R	A	I	I	C	I	I	I	I	I	I	I	I	C	I	-	-	-	-	-	-	
5.2.2	Communicating the Policy	R	A	I	I	C	I	I	I	I	I	I	I	I	C	I	-	-	-	-	-	-	
5.3	Roles, Responsibilities and Authorities	R	C	I	I	I	I	I	I	I	I	I	I	I	A	I	-	-	-	-	-	-	
5.4	Consultation & Participation of Workers	R	R	I	R	I	I	I	I	I	I	I	I	I	A	I	-	-	-	-	-	-	S
6.1.1	Determining Risks & Opportunities	R	A	R	R	R	R	I	C	I	I	C	I	I	I	I	-	-	-	-	-	-	
6.1.2	Environmental Aspects	A	I	I	R	I	I	C	R	I	C	R	I	I	I	I	-	-	-	-	-	-	E
6.1.3	Hazard Identification & OH&S Risk Assessment	A	I	I	R	I	I	C	R	I	C	R	I	I	I	I	-	-	-	-	-	-	S
6.1.4	Legal & Compliance Obligations	A	R	I	I	I	I	I	C	I	I	C	I	I	C	I	-	-	-	-	-	-	E+S
6.1.5	Planning Action	A	I	I	R	I	R	I	C	I	I	C	C	I	I	I	-	-	-	-	-	-	E+S
6.2.1	Objectives	C	A	I	C	R	I	I	I	I	I	I	I	I	I	I	-	-	-	-	-	-	
6.2.2	Planning to Achieve Objectives	C	A	I	C	R	R	I	I	I	I	I	I	I	I	I	-	-	-	-	-	-	
6.3	Planning for Change	C	A	I	R	I	R	C	C	C	C	I	I	I	I	I	-	-	-	-	-	-	E
6.3	Planning for Change – OH&S Management of Change	R	I	I	A	I	C	R	R	C	R	R	I	I	I	I	-	-	-	-	-	-	S
7.1.1	Resources - General	A	R	R	C	R	R	R	R	R	R	R	I	I	R	R	-	-	-	-	-	-	
7.2	Competence	C	C	I	I	I	I	I	I	I	I	I	I	I	A	I	-	-	-	-	-	-	
7.3	Awareness	C	R	R	R	R	I	R	R	R	R	I	I	I	A	I	-	-	-	-	-	-	
7.4.1	Communication - General	R	R	R	R	I	I	I	I	I	I	C	I	I	A	I	-	-	-	-	-	-	
7.4.2	Internal Communication	R	R	I	R	I	I	I	I	I	I	I	I	I	A	I	-	-	-	-	-	-	
7.4.3	External Communication	A	R	R	I	I	I	R	I	I	I	C	I	I	I	I	-	-	-	-	-	-	
7.5.1	Management System Documents	A	R	R	R	R	R	R	R	R	R	I	I	I	R	R	-	-	-	-	-	-	
7.5.2	Creating & Updating	C	R	R	R	R	R	R	R	R	R	R	R	R	I	A	-	-	-	-	-	-	
7.5.3	Controlling Documented Information	C	R	R	R	I	I	R	R	R	R	I	I	I	R	A	-	-	-	-	-	-	
8.1	Operational Planning & Control – General	R	C	I	A	I	C	R	R	R	R	R	I	I	I	I	-	-	-	-	-	-	
8.1.1	Health & Safety Planning & Control – Eliminating Hazards & Reduci	R	I	I	A	I	C	R	R	C	R	R	I	I	I	I	-	-	-	-	-	-	S
8.2	Emergency Situations	R	I	I	C	I	I	I	R	I	I	A	C	I	R	I	-	-	-	-	-	-	E+S
8.3	Suppliers & Purchasing – Procurement, Contractors & Outsourcing	R	I	I	A	I	C	R	R	C	R	R	I	I	I	I	-	-	-	-	-	-	E+S
9.1.1	Monitoring, Measurement, Analysis & Evaluation - General	A	R	R	R	R	R	R	R	R	R	I	R	R	R	I	-	-	-	-	-	-	
9.1.2	Evaluation of Compliance	A	R	I	I	I	I	I	I	I	I	R	C	I	I	I	-	-	-	-	-	-	E+S
9.2	Internal Audit	R	I	I	C	-	I	I	I	I	I	I	I	A	I	I	-	-	-	-	-	-	
9.3.1	Management Review - General	R	A	I	C	R	I	I	I	I	I	I	I	I	I	I	-	-	-	-	-	-	
9.3.2	Management Review - Inputs	R	A	I	C	R	I	I	I	I	I	I	I	I	I	I	-	-	-	-	-	-	
9.3.3	Management Review - Results	R	A	I	C	R	I	I	I	I	I	I	I	I	I	I	-	-	-	-	-	-	
10.1	Continual Improvement	R	A	R	R	R	R	R	R	R	R	R	R	R	R	R	-	-	-	-	-	-	
10.2.1	Nonconformity & Corrective Action	R	C	R	R	R	R	I	C	I	I	C	A	I	I	I	-	-	-	-	-	-	
10.2.3	Incident Investigation & Reporting	R	I	I	C	I	R	I	C	I	I	C	A	I	I	I	-	-	-	-	-	-	S

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10-Year Internal Audit Programme

1. Forecast audits with a 'P' in the cells C5 to L25. Aim to complete 10 to 12 audits each year.
2. Select the criticality of the audit using the drop-down menu in Column B.
3. Use the drop-down menu in C4 to L4 to select 'P', unselect 'Blanks', and click 'OK' to filter the process list in Column A to show those being audited in that year.
4. From the filtered list, select and copy the process names and the criticality ratings into Columns B and C (from Cell B10) of the Annual Audit Programme.
5. Begin programming your annual internal audits with dates using the next worksheet.

Process Name	Criticality	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035
Management System	Normal	✓		✓		✓		✓		✓	
Business Planning	Low		✓			✓			✓		
Sales & Marketing	Normal	✓		✓		✓		✓		✓	
Operational Planning	High	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Business Review	Low			✓			✓			✓	
Improvement	Normal	✓		✓		✓		✓		✓	
Procurement & Supply	High	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Manufacturing	High	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Monitoring & Calibration	Normal	✓		✓		✓		✓		✓	
Packing & Shipping	High	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Facilities	Normal		✓	✓	✓		✓		✓		✓
Corrective Action	Normal	✓		✓		✓		✓		✓	
Internal Audit	Low	✓			✓			✓			✓
HR & Training	Normal	✓		✓		✓		✓		✓	
I.T. & Doc Control	Normal		✓		✓		✓		✓		✓
Other 1	Low										
Other 2	Low										
Other 3	Low										
Other 4	Low										
Other 5	Low										
Other 6	Low										

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Annual Audit Programme (2026)

1. From the filtered list in the 10-Year Audit Programme, select and copy the process names and the criticality ratings into Columns B and C (from row 10).
2. In Columns D to H, use the drop-down menus to select the required information. You can modify the lists of names shown in the drop-down menus by editing the input lists in F35 to F44 and H35 to H44.
3. Enter the audit date in Column I. Column O shows the audit notification date 2 weeks before the audit date, and Column Q shows the audit report completion deadline 5 days after the audit.
4. In Column J, use the drop-down menu to select the audit duration. Use Columns K to N to capture the opening and closing meeting times and locations.
5. Record the progress of each audit in Column R (R33 shows the overall programme progress). In Column S (Applies to), select the standard(s) each audit covers — E+S for an integrated audit.

										Opening Meeting		Closing Meeting					
Ref.	Process Name	Criticality	Type of Audit	Audit Method	Lead Auditor	Internal Auditor	Auditee	Audit Date	Duration	Time	Location	Time	Location	Notify Auditee By	Audit Report Link	Complete Report By	Audit Progress	Applies to
IA1	Management System	Normal	System Audit	Conducting interviews	James P	Aurther W	Tom L	25 Jan 26	½ hour	08:30:00	Meeting Room 2	09:00:00	Meeting Room 2	11 Jan 26		30 Jan 26	100%	E+S
IA2	Sales & Marketing	Normal	Regulatory Audit	Conducting document reviews	Mary J	Gary T	Sam W	15 Feb 26	6 hours	09:30:00	Meeting Room 1	15:30:00	Meeting Room 1	1 Feb 26		20 Feb 26	100%	E+S
IA3	Operational Planning	High	Follow-up Audit	Sampling of outputs	Aurther W	Jane E	Simon T	22 Mar 26	2 hours	10:15:00	Meeting Room 4	12:15:00	Meeting Room 4	8 Mar 26		27 Mar 26	80%	E+S
IA4	Improvement	Normal	Supplemental Audit	Observing work performed	Gary T	Tim B	Margaret D	22 Apr 26	3 hours	11:30:00	Meeting Room 6	14:30:00	Meeting Room 6	8 Apr 26		27 Apr 26	25%	E+S
IA5	Procurement & Supply	High	Customer Audit	Completing checklists	Tim B	Emma G	Derek B	17 Jun 26	2 hours	14:00:00	Meeting Room 4	16:00:00	Meeting Room 4	3 Jun 26		22 Jun 26	0%	E+S
IA6	Manufacturing	High	Process Audit	Observing work performed	Rod Y	Greg A	Ben D	8 Jul 26	½ hour	08:30:00	Meeting Room 7	09:30:00	Meeting Room 7	24 Jun 26		13 Jul 26	0%	E+S
IA7	Monitoring & Calibration	Normal	Process Audit	Completing checklists	Emma G	Gemma Q	Kimberly Q	19 Aug 26	1 hour	10:00:00	Meeting Room 3	11:00:00	Meeting Room 3	5 Aug 26		24 Aug 26	0%	E+S
IA8	Packing & Shipping	High	Process Audit	Conducting document reviews	Greg A	James P	Brian T	24 Sep 26	3 hours	13:00:00	Meeting Room 5	16:00:00	Meeting Room 5	10 Sep 26		29 Sep 26	0%	E+S
IA9	Corrective Action	Normal	Supplemental Audit	Conducting document reviews	Gemma Q	Mary J	Peter G	14 Oct 26	1 hour	10:45:00	Meeting Room 6	11:45:00	Meeting Room 6	30 Sep 26		19 Oct 26	0%	E+S
IA10	Internal Audit	Low	Process Audit	Sampling of outputs	James P	Aurther W	Sam W	18 Nov 26	3 hours	08:30:00	Meeting Room 5	11:30:00	Meeting Room 5	4 Nov 26		23 Nov 26	0%	E+S
IA11	HR & Training	Normal	Follow-up Audit	Conducting document reviews	Mary J	Gary T	Ben D	9 Dec 26	1½ hours	14:30:00	Meeting Room 2	16:00:00	Meeting Room 2	25 Nov 26		14 Dec 26	0%	E+S
IA12	Facilities	Normal	Process Audit	Observing work performed	Rod Y	Jane E	Peter G	14 Oct 26	2 hours	10:00:00	Meeting Room 8	12:00:00	Meeting Room 8	30 Sep 26		19 Oct 26	0%	E+S
IA13																		
IA14																		
IA15																		
IA16																		
IA17																		
IA18																		
IA19																		
IA20																		
IA21																		
IA22																		
IA23																		
																Programme progress	25%	

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