

## HSE Management System Auditing

### 1. APPLICABILITY

- 1.1 This standard applies to all Honeywell organizations and majority owned subsidiaries worldwide.

### 2. OVERVIEW

- 2.1 A vital element of an HSE management system is the systematic and structured verification of system performance and the regular feedback allowing organizations to manage and continually improve performance. An effective HSE auditing program is one that objectively obtains and evaluates performance evidence in order to: (1) determine if the management system is effectively implemented and delivering expected performance, (2) assess whether the organization complies with the policy and standards established by Honeywell and applicable regulatory agencies, and (3) communicate valuable information so Honeywell leadership are able to proactively manage HSE risks and performance.

### 3. DEFINITIONS

- 3.1 Definitions for underlined text are found at the end of this document.

### 4. REQUIREMENTS

- 4.1 The Honeywell Corporate HSER Department shall develop and maintain a global HSE audit program to evaluate and verify HSE management system performance and accurately communicate performance findings to appropriate levels of Honeywell leadership. At a minimum, the program shall contain the following elements:
  - 4.1.1 A systematic and consistent methodology to objectively obtain and evaluate HSE performance evidence, including assessment of the following areas at a minimum:
    - 4.1.1.1 Performance and compliance to Honeywell HSER standards
    - 4.1.1.2 Performance and compliance of the organization's legal / regulatory compliance programs
  - 4.1.2 A methodology to identify, prioritize and schedule organizations (businesses, sites, departments, etc.) for inclusion in the audit schedule. This methodology shall include the following minimum elements:
    - 4.1.2.1 A risk assessment process to gather and evaluate relative risks of each organization
    - 4.1.2.2 Assessment of results from previous SAT assessments and HSE audits
    - 4.1.2.3 A process to collaborate with appropriate organization leaders and representatives (i.e. SBG, SBU, SBE, site, functional leaders) to implement and validate the results of this methodology

- 4.1.3 A program to develop and maintain a global audit team capable of auditing at all necessary Honeywell organization levels (i.e. business, site, field services, functional departments, corporate, etc.) and qualified to audit both Honeywell and regulatory standards. The program shall include the following:
  - 4.1.3.1 A process to identify internal auditors within the business and corporate organizations
  - 4.1.3.2 A process to identify and obtain external auditors when appropriate or required (i.e. resource or regional needs, regulatory expertise, language skills, etc.)
  - 4.1.3.3 An audit training program to educate, assess and qualify both internal and external auditors
- 4.1.4 A methodology to document and communicate audit program results to all appropriate levels of Honeywell Leadership
- 4.1.5 A process to expedite the communication and corrective action related to critical audit findings of significant life safety, environmental impact and/or regulatory compliance risks. This process must include communication and involvement of the Honeywell Law Department
- 4.2 The Corporate HSER Department shall evaluate, document and communicate the effectiveness of the global HSE audit program as part of the Management Review Process (see Management Review (HSEMS 215)).
- 4.3 All audited organizations shall actively participate in the audit processes including the following activities:
  - 4.3.1 Participation in the planning process to identify, prioritize and schedule organizations for inclusion in the audit program schedule
  - 4.3.2 Support of pre-audit activities such as providing program documentation prior to the actual audit and scheduling interview and assessment appointments
  - 4.3.3 Support during the audit process including operation tours and full access to all areas, adequate resources and accommodations for the audit team, availability of individuals responsible for HSE programs and participation from organization leadership
  - 4.3.4 Use of audit findings to drive continuous improvement through the organization's management review and corrective and preventive action programs
- 4.4 Records
  - 4.4.1 The following records must be documented and maintained in compliance with Honeywell HSEMS Standard 210: Document and Records Management:
    - 4.4.1.1 The Honeywell Corporate HSE audit program described in section 4.1 of this standard shall be documented and available to all affected Honeywell organizations

- 4.4.1.2 A schedule of all planned Corporate HSE audits
- 4.4.1.3 Results of all completed Corporate HSE audits
- 4.4.1.4 All Management Review summaries and resulting improvement actions, changes and strategies
- 4.4.1.5 The names, titles and qualifications of all HSE auditors

**5. RELATED DOCUMENTS**

- 5.1 None defined now

**3. DEFINITIONS**

- 3.1 None defined now