



Five Star Occupational Health and Safety Audit

Specification August 2016

Contents	Page
1 Introduction to the Five Star Audit model	1
2 Five Star Audit process	2
3 Scoring and grading system	3
4 Audit report and action planning	4
5 Preparing for the audit	5
6 Standardisation and quality assurance	5
7 Specification details	6
8 Specification guidance	8

1.

Introduction to the Five Star Audit model

This document is intended to provide a summary of the British Safety Council Five Star Audit process, together with details of the audit specification.

The Five Star Audit process involves an in-depth examination of an organisation's entire health and safety management system(s) and associated arrangements. The audit focuses on the key aspects of managing occupational health and safety in the workplace and offers a structured path for continuous improvement towards best practice.

Utilising extensive worldwide industry experience and acknowledging aspects of internationally recognised occupational health and safety management systems, the British Safety Council has developed a unique Five Star Audit model that objectively evaluates occupational health and safety systems and arrangements against current best practice techniques. The audit model is reflective of the recognised PLAN – DO – CHECK – ACT management cycle.

Five Star Occupational Health and Safety Audit: 2016 specification



Five Best Practice Indicators:

- Leadership
- Stakeholder engagement
- Risk management
- Organisational health and safety culture
- Continual improvement

2.

Five Star Audit process

The Five Star Audit is undertaken using the following process of objective verification:

The auditor will review all aspects of the organisation's health and safety systems and supportive arrangements against the requirements of the British Safety Council's Five Star Audit specification. The auditor will also assess the effectiveness of implementation of these arrangements through an inspection of relevant (agreed) site(s) and sampling of operational activities.

During the audit process, management and staff will be interviewed (as agreed) to confidentially discuss aspects of occupational health and safety relevant to their roles and responsibilities.

A subsequent report is produced identifying the strengths and areas for improvement within the organisation's health and safety management systems. The report also includes observations and recommendations, together with action planning, for consideration.

Five Star Audit 2016: Integrated delivery process steps



3.

Scoring and grading system

The Five Star Audit process outcome is determined by application of the British Safety Council's quantified system of evaluation (see below).

The overall audit grading is as follows:

Marks %	Star rating
92 – 100: Excellent	★★★★★
85 – 91.9: Very good	★★★★
75 – 84.9: Good	★★★
60 – 74.9: Satisfactory	★★
50 – 59.9: Basic	★

The Five Star Audit process focuses on five sections (62 elements) and five best practice indicators (BPI) as shown below:

Section	Audit criteria	Maximum accredited audit figure
1.	Policy and structure	750 points
2.	Strategic planning	1,125 points
3.	Implementation and operation	1,500 points
4.	Performance evaluation	1,125 points
5.	Management review and improvement	500 points
		Total: 5,000 points

BPI 1: Leadership

BPI 2: Stakeholder engagement

BPI 3: Risk management

BPI 4: Organisational health and safety culture

BPI 5: Continual improvement

The five sections of the audit are divided into 62 elements which attract a maximum numerical value of 5,000 points. Several of these elements are considered as essential components within a best practice safety management system, reflected by their inclusion within more than one section of the audit model. Wherever an element of the audit is not applicable to the organisation, it is excluded from the audit.

Individual element findings and outcomes are detailed within the subsequent audit report.

Throughout the audit, five best practice indicators are evaluated either as elements in their own right, or alternatively as scoring areas within other elements. The overall scoring for each of these indicators is illustrated separately within the report's executive summary against an indicative level of best practice. This aspect of the audit process is designed to encourage organisations to focus upon continually developing their safety management systems and culture.




4.

Audit report and action planning

Upon completion of the audit process, a detailed report is prepared by the auditor and will be issued within 28 days. The report content will include:

- Executive summary (including graphical performance indicators)
- Overall star grading and sectional scoring
- Observations
- Recommendations for improvement
- Action planning tables.

The recommendations against the criteria requirements of the Five Star Audit are presented in tabulated colour coded format as per the key below:

Grading system		
Colour code	Priority	Definition
	High: Differential over 40% in this area	Recommendations to be implemented as a priority 1 action
	Medium: Differential of 1 – 40% in this area	Recommendations to be implemented as a priority 2 action
	Low: Full marks awarded	Monitor existing arrangements in this area to demonstrate continuous improvement
	Not applicable	The requirements of this section are not applicable

The red coded differential indicates where significant marks (over 40%) have been deducted in respect of the Five Star Audit scoring criteria and the amber coded differential indicates where marks have been deducted (1–40%). Wherever marks have been deducted, a recommendation will be provided that, if followed and implemented, will assist the organisation in working toward best practice standards.

The green coded area indicates wherever full marks have been awarded in respect of the Five Star Audit scoring criteria. The organisation should monitor these elements in order to maintain best practice and demonstrate continual improvement. The action planning tables are also designed to allow the organisation to plan for implementation of the recommendations by self populating the relevant columns as appropriate.

If any elements of the audit are not applicable to the audited organisation then these will be left blank within the relevant table and indicated as N/A.

As with any time-bound audit, observations and recommendations made are based upon the agreed scope and depth of information made available during the audit process.

5.

Preparing for the audit

In order for the audit process to be as effective as possible, it is considered important that pre-audit preparations are agreed and completed.

Once all logistical arrangements have been confirmed with the relevant British Safety Council account manager, the allocated auditor will make contact with the appropriate person within the organisation no later than 10 days before the audit start date to discuss and agree the audit details (timings, interviews, site inspections, induction process, security / PPE arrangements, etc)

This specification document outlines the various forms of information and documentation that the auditor is likely to request for review, together with personnel who may be requested for interview. It would be advantageous if documentation is readily available (either electronically or in hard copy). Some of this material may be retained by the auditor during the audit process (with explicit consent of the auditee).

All British Safety Council auditors are mindful of operational demands and requirements and will apply as much flexibility with the audit schedule as is reasonably practicable to accommodate such matters.

6.

Standardisation and quality assurance

British Safety Council auditors are appropriately qualified, highly experienced health and safety professionals who are subject to a robust internal quality assurance and appraisal process, in addition to the requirements of relevant professional bodies with whom they are members.

All audit reports are technically verified and quality endorsed before being issued to clients. Auditors are also subject to "on-site" monitoring (subject to client agreement) on a sampling basis.

Mandatory auditor standardisation meetings also take place on a regular basis.

This specification document is reviewed at least annually to reflect changes in legislation and relevant developments and trends in occupational health and safety management best practice technique.

7.

Specification details

Element headings

Plan	Do	Check	Act	
Section 1 Policy and structure (750 points)	Section 2 Strategic planning (1,125 points)	Section 3 Implementation and operation (1,500 points)	Section 4 Performance evaluation (1,125 points)	Section 5 Management review and improvement (500 points)
1.01 Scope, nature and scale of occupational health and safety management system	2.01 Status assessment (including benchmarking)	3.01 Identification of hazards, opportunities and assessment of risk	4.01 Monitoring of occupational health and safety objectives	5.01 Senior (top) management review process (includes health and safety programme and objective setting)
1.02 Occupational health and safety policy statement	2.02 Occupational health and safety objectives	3.02 Operational health and safety controls	4.02 Monitoring of occupational health and safety plan(s)	5.02 Review of adequacy of resource and support provision
1.03 Structure (roles, responsibilities, accountabilities and authorities)	2.03 Occupational health and safety planning	3.03 Safe operating procedures (safe systems of work)	Proactive measurement (leading indicators) 4.03 Inspection and audit	5.03 Continual improvement (evaluation and planning)
1.04 Competence and capability	2.04 Provision of resource and support	3.04 Work equipment	4.04 Risk assessment review	5.04 Corporate and social responsibility reporting
1.05 Leadership	2.05 Strategic leadership	3.05 Manual handling	4.05 Evaluation of legislative (and other) compliance	
1.06 Stakeholder consultation and participation	2.06 Stakeholder consultation and participation	3.06 Workstation ergonomics	4.06 Health surveillance monitoring	
1.07 Information and communication management	2.07 Risk management and control (including risk profiling)	3.07 Workplace management (Housekeeping, storage, welfare facilities, temperature, ventilation, etc)	4.07 Monitoring of contractors, suppliers and outsourced function(s) performance	
1.08 Occupational health and wellbeing	2.08 Change management (planning)	3.08 Traffic and transport management	4.08 Evaluation of information and communication management	
1.09 Change management	2.09 Competence and capability (planning)	3.09 Permit (and authorisation) to work systems	Reactive measurement (lagging indicators) 4.09 Accident, incident, near miss report and investigation, non conformance monitoring	
1.10 Legislative (and other) compliance	2.10 Emergency incident and post-event recovery planning	3.10 Safe isolation	4.10 Ill health and absenteeism monitoring	
	2.11 Procurement, outsourcing and contractor appointment	3.11 Working at height	4.11 Loss/damage analysis	
	2.12 Occupational health and wellbeing (planning)	3.12 Lifting equipment		
	2.13 Planning for a positive health and safety culture	3.13 Pressure systems		

7.

Specification details cont.

Element headings

Plan	Do	Check	Act	
Section 1 Policy and structure (750 points)	Section 2 Strategic planning (1,125 points)	Section 3 Implementation and operation (1,500 points)	Section 4 Performance evaluation (1,125 points)	Section 5 Management review and improvement (500 points)
		3.14 Control of hazardous substances (including biological agents)		
		3.15 Management and control of asbestos		
		3.16 Management and control of electrical hazards		
		3.17 Management and control of noise		
		3.18 Management and control of vibration		
		3.19 Personal protective equipment		
		3.20 Competence and capability (implementation)		
		3.21 Management and control of psycho-social hazards		
		3.22 Implementing a positive health and safety culture		
		3.23 Implementing emergency incident and post-event recovery controls		
		3.24 Fire safety management (protective and preventive controls)		

8.

Specification guidance

Five Star Audit 2016: Specification details (Please note: This table contains typical information likely to be reviewed during the audit process but is not a definitive index)

	Plan	Do	Check	Act	
Subject area	S1: Policy and structure (750 points) Example of typical information required	S2: Strategic planning (1125 points) Example of typical information required	S3: Implementation and operation (1500 points) Example of typical information required	S4: Performance evaluation (1125 points) Example of typical information required	S5: Management review and improvement (500 points) Example of typical information required
Policy statement and occupational health and safety management system	<p>Explicit commitment within the policy statement to:</p> <ul style="list-style-type: none"> legislative (and other) compliance; continual improvement; periodic review, prevention of injury & ill health; provision of adequate resources; management of risk; consultation with stakeholders Policy readily available and provides the framework for occupational health and safety (OH&S) objective setting and is consistent with corporate values Endorsed by top management OHSMS is defined and suitably scoped including consideration of the full context of the organisation's activities Operational procedures and arrangements are clearly stipulated within OHSMS Stakeholder awareness of policy and OHSMS content (verified through interview) <p>Primary related elements (1.01)(1.02)(1.10)</p>	<p>Policy statement consistent with subsequent OH&S objectives and planning</p> <p>Description of how OHSMS elements interlink with each other</p> <p>Evidence of OHSMS planning aligned with overall business strategy and processes</p> <p>Evidence of OHSMS status assessment</p> <p>Evidence of internal and/or external OHSMS performance benchmarking</p> <p>OHSMS programme/ plan</p> <p>Primary related elements (2.01)(2.05)(2.06)(2.07)(2.13)</p>	<p>Policy statement readily available to, and understood by, all levels of management, staff and other stakeholders (verified through interview)</p> <p>Training and induction records</p> <p>Effective implementation of OHSMS through observation and interviews</p> <p>Effective implementation of risk assessment and controls (sampling)</p> <p>Primary related elements (3.01)(3.02)</p>	<p>Review of training records</p> <p>Interviews with senior management</p> <p>Accident/incident/near miss/non-conformance analysis</p> <p>Corporate and other management reports</p> <p>Minutes from management and other relevant meetings</p> <p>Inspection and audit reports</p> <p>Evidence of risk assessment review</p> <p>OH&S objectives and programme monitoring</p> <p>Evaluation of legislative compliance</p> <p>Primary related elements (4.01)(4.02)(4.03)(4.04)(4.05)(4.09)(4.10)</p>	<p>Evidence that top (senior) management carry out a formal review of OHSMS performance</p> <p>Evidence of policy statement reviewed</p> <p>Evidence of strategy planning reflective of top management review outcomes</p> <p>Interview with top senior management</p> <p>Corporate health and safety reporting</p> <p>Primary related elements All elements in this section</p>

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Policy and structure (750 points) Example of typical information required	S2: Strategic planning (1125 points) Example of typical information required	S3: Implementation and operation (1500 points) Example of typical information required	S4: Performance evaluation (1125 points) Example of typical information required	S5: Management review and improvement (500 points) Example of typical information required
Structure (Roles and responsibilities, authorities and accountabilities)	Defined roles and responsibilities within OHSMS Defined organisational structure	Defined roles and responsibilities within OHSMS OH&S objectives (organisational and individual) Appraisal planning Role development Responsible actions allocated within OH&S planning Demonstrable involvement in OHSMS status assessment process Demonstrable support for lines of responsibility Evidence of stakeholder engagement (minutes of meetings, training, etc) Evidence of managing change Demonstrable involvement in promoting positive health and safety culture Primary related elements (2.01 – 2.08)(2.12)(2.13)	Evidence of effective supervision and role competency Training records CPD programmes Employee understanding and awareness (verified through interview and inspection) Appraisal records Suitable levels of supervision and resource Evidence of effective management of operational risk (including psycho-social) Primary related elements All applicable elements in this section	Evaluation of training records Confirmation of awareness, understanding and development of job roles through interview and appraisal records Accident/incident statistics, ill health, non conformance monitoring and analysis Review of OH&S objectives and plans Demonstrable evidence of management involvement (minutes of meetings, investigations, site inspections, risk assessment, etc) in the evaluation of leading and lagging performance indicators Primary related elements All elements in this section	Regular CPD/appraisal reviews Role development plans Improvement planning Records of management review Corporate reports Primary related elements All elements in this section
Leadership and commitment	Appointed top level management responsible for OH&S Policy statement endorsement by top level management Demonstrable commitment (verified through interview) at all levels Primary related elements (1.01)(1.02)(1.03)(1.05)				

8.

Specification guidance cont.

	Plan	Do	Check	Act	
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Information and communication management	Policy/process for information control and communication management Clear link to quality management systems (if referenced) Evidence of effective communication of policy statement and content of OHSMS Primary related elements (1.01)(1.02)(1.03)(1.06)(1.07)	OH&S planning documentation and information consistent with policy requirements Training schedules OH&S objectives/programmes Primary related elements (2.02)(2.03)(2.06)	Current information and documentation readily available Policy requirements verified Effective understanding and awareness of risk assessment, operational controls and procedures (verified through interview and observation) Primary related elements (3.02)(3.03)(3.09)(3.23)(3.24)	Internal/external inspection and audit outcomes Evidence of effective document control Evidence of effective monitoring of change management process Evidence of effective monitoring of internal and external communication Primary related elements (4.01)(4.02)(4.08)	Top management review process factor Stakeholder involvement in continual improvement Corporate reports Records of management review Primary related elements (5.01)(5.04)
Stakeholder consultation and participation	Policy/process for consultation with stakeholders (internal and external) Policy/process for stakeholder participation in policy and OHSMS development Organisational structure Defined roles and responsibilities Primary related elements (1.01)(1.02)(1.03)(1.05)(1.06)	Evidence of stakeholder involvement in OH&S objective setting and planning Schedule for OH&S committee meetings Terms of reference for OH&S forums Training schedule Primary related elements (2.02)(2.03)(2.06)(2.09)	Evidence of stakeholder involvement in development of OH&S risk management and controls (verified through sampling, interview and review) Risk assessments Training records Evidence of OH&S committee meetings (and other such forums) Site induction records Permit to work records Primary related elements All elements in this section	Evaluation of training Evidence of completed actions arising from OH&S committee meetings (and other such forums) Evidence of completed actions arising from leading and lagging performance indicators (inspections, audits, accident investigation etc) Evidence of monitoring of objectives Primary related elements All elements in this section	Evidence of stakeholder involvement in management review process Communication of top management review Corporate reporting Internal reporting Audit reports Primary related elements (5.01)(5.04)

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Policy and structure (750 points) Example of typical information required	S2: Strategic planning (1125 points) Example of typical information required	S3: Implementation and operation (1500 points) Example of typical information required	S4: Performance evaluation (1125 points) Example of typical information required	S5: Management review and improvement (500 points) Example of typical information required
Competence and capability	Policy/process for ensuring competency requirements Defined roles and responsibilities Organisational structure Primary related elements (1.01)(1.02)(1.04)	Training needs analysis Plan/programme for ensuring competency CPD/appraisal planning Mentoring/coaching plan Primary related elements (2.02)(2.03)(2.04)(2.09)	Training records Evidence of trainer competency Training evaluation Role competency records Effectiveness of operational controls (verification through interview, observations) Risk assessment sampling Permit to work records Evacuation drill records Primary related elements All elements in this section	Accident/incident analysis and investigation reports Audit findings Risk assessment reviews Statutory training compliance CPD maintenance Appraisal records Review of training records and schedules Primary related elements All elements in this section	Top management review Appraisal records Effective continual improvement process Review of statutory training requirements Primary related elements (5.01)(5.02)(5.04)
Occupational health and wellbeing	Policy/process for OH and wellbeing (including psycho-social hazards) Defined roles and responsibilities Primary related elements (1.01)(1.02)(1.08)	OH plan/schedule Lifestyle/wellbeing promotion plan/schedule Health surveillance schedules Training plan OH and wellbeing objectives Primary related elements (2.02)(2.03)(2.12)(2.13)	Evidence of first aid provision (including equipment and personnel) Training records Health surveillance records Evidence of lifestyle and wellbeing promotion Return to work interviews Support mechanisms Risk assessments Primary related elements (3.01)(3.02)(3.05)(3.06)(3.07)(3.14)(3.15)(3.21)(3.22)	Accident/ill health/absenteeism statistics Risk assessment reviews Stakeholder perception and awareness (interviews) First aid records Stakeholder surveys Health surveillance records Primary related elements (4.01)(4.02)(4.04)(4.06)(4.09)(4.10)	OH plan review Review and setting of OH&S objectives Corporate reporting Primary related elements (5.01)(5.02)(5.04)

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Policy and structure (750 points) Example of typical information required	S2: Strategic planning (1125 points) Example of typical information required	S3: Implementation and operation (1500 points) Example of typical information required	S4: Performance evaluation (1125 points) Example of typical information required	S5: Management review and improvement (500 points) Example of typical information required
Change management	Policy/process for management of change Defined roles and responsibilities Primary related elements (1.01)(1.03)(1.09)	Examples of planning for change (organisational, and operational) Design and project plans Evidence of stakeholder consultation in planning for change Primary related elements (2.03)(2.04)(2.05)(2.06)(2.08)	Effective risk control implementation (observation and interview) Training records OH&S committee meeting minutes Risk assessment (change management) sampling Inspection and audit outcomes Primary related elements (3.01)(3.02)(3.03)(3.21)(3.22)	Effective monitoring of audit outcomes Inspection records Project meeting minutes Safety surveys Risk assessment reviews Effective understanding and awareness of amended risk assessment, operational controls and procedures (verified through interview and observation) Primary related elements (4.02)(4.03)(4.04)(4.08)	Review of change management policy/process Continual improvement planning Change management project review Top management review process Corporate reporting Primary related elements (5.01)(5.03)(5.04)
Occupational health and safety objectives	Reference to OH&S objectives within policy statement Policy/process for setting OH&S objectives Reference to objective setting within stakeholder involvement process Primary related elements (1.01)(1.02)(1.06)	OH&S objectives set at organisational, functional and individual levels Evidence of stakeholder participation during setting of objectives Planning for provision of resources required to achieve objectives OH&S plans reflective of targets Appraisal process Primary related elements (2.02)(2.03)(2.04)(2.06)(2.09)(2.13)	Awareness of OH&S objectives throughout organisation (interview) Evidence of consultation and involvement of relevant stakeholders (eg.OH&S committee meeting minutes, appraisal records) Sampling of progression of OH&S objectives Risk profiles (organisational and operational) Primary related elements (3.01)(3.20)(3.22)	Evidence of monitoring of OH&S objectives (eg audits, senior management meeting minutes and OH&S committee meeting minutes) Management reports Appraisal records Audit outcomes Primary related elements (4.01)(4.03)	Top management review of OH&S objectives Revised planning for achievement of OH&S objectives Corporate reports Management meeting minutes Primary related elements All elements within section

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Policy and structure (750 points) Example of typical information required	S2: Strategic planning (1125 points) Example of typical information required	S3: Implementation and operation (1500 points) Example of typical information required	S4: Performance evaluation (1125 points) Example of typical information required	S5: Management review and improvement (500 points) Example of typical information required
Occupational health and safety planning	Commitment to OH&S planning within policy statement Policy/process for OH&S planning and review Defined roles and responsibilities Primary related elements (1.01)(1.02)(1.03)	Documented OH&S plan Link to other operational plans Audit planning Training schedules Evidence of OH&S considerations within financial planning Documented OH&S budget Project planning Business recovery plans Evidence of stakeholder involvement in OH&S planning Primary related elements (2.01)(2.03)(2.04)(2.05)(2.06)(2.07)(2.08)(2.09)(2.10)	Sampling of OH&S plan (inspection and interview) Risk assessments (sampling) Maintenance records Statutory inspections etc Effective implementation of OH&S plan/control arrangements (inspection, and interview) PTW documentation Evidence of resource provision Training records Primary related elements (3.01)(3.02)(3.22)(3.23)	Audit outcomes Minutes from management and OH&S committee meetings (or other such forums) Accident/ill health analysis Management reports OH&S objective monitoring Risk assessment reviews Evaluation of compliance records Primary related elements (4.01)(4.02)(4.04)(4.05)(4.08)	Top management review Continual improvement Evaluation of compliance records External accreditation Financial and project reviews Management reports Corporate reports Primary related elements All elements within section
Procurement, outsourcing and contractor appointment	Policy/process for outsourcing, and the procurement of goods and services Policy/process for approval, appointment and management of contractors/suppliers Commitment to provision of resource within policy statement Defined roles and responsibilities Primary related elements (1.02)(1.03)(1.10)	Strategic planning for outsourcing Risk profiling Evidence of consultation with contractors during appointment process Defined roles and responsibilities Inclusion of outsourcing and contractor appointment within change management plans and resource consideration process Primary related elements (2.03)(2.04)(2.06)(2.07)(2.08)	Approved contractor/supplier index Interview with contractors and suppliers Risk assessment and operational control sampling (interview and observation) Permit to work process sampling Evidence of contractor understanding and awareness of OH&S issues Primary related elements (3.01)(3.02)(3.03)(3.09)(3.22)	Audit outcomes Contractor performance monitoring OH&S plan monitoring Permit to work sampling Non conformance reviews Management reports Accident/ill health analysis Primary related elements (4.02)(4.03)(4.04)(4.07)(4.08)(4.09)	Planning and review of resources Top management review reports Interviews with senior management Continual improvement of OHSMS Primary related elements (5.01)(5.02)(5.03)

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Policy and structure (750 points) Example of typical information required	S2: Strategic planning (1125 points) Example of typical information required	S3: Implementation and operation (1500 points) Example of typical information required	S4: Performance evaluation (1125 points) Example of typical information required	S5: Management review and improvement (500 points) Example of typical information required
Risk management and control	<p>Commitment to a process of risk control within policy statement</p> <p>Policy/process for risk management/assessment & control</p> <p>Defined roles and responsibilities</p> <p>Process for stakeholder involvement in risk management and control</p> <p>Primary related elements (1.01)(1.02)(1.03)(1.06)</p>	<p>Planning for risk profiling, hazard and opportunity identification, management, and control</p> <p>Risk/hazard matrix/index/register</p> <p>OH&S plan</p> <p>Planning for provision of suitable resources and support</p> <p>Change management planning</p> <p>Training schedules</p> <p>Business recovery planning</p> <p>Primary related elements (2.03)(2.04)(2.05)(2.07)(2.08)(2.09)(2.10)</p>	<p>Risk assessment (sampling) and evidence of alignment with SOPs and incident reports</p> <p>Effective implementation of controls (observation and interview)</p> <p>Training records</p> <p>Maintenance records</p> <p>Statutory examination records</p> <p>Inspection records</p> <p>Evacuation drill records</p> <p>Permit to work records</p> <p>Primary related elements All elements within section</p>	<p>Risk assessment/register review</p> <p>Accident/incident/ill health/loss analysis</p> <p>Management reports</p> <p>Audit and inspection records</p> <p>Non conformance monitoring</p> <p>OH&S objective monitoring</p> <p>Statutory compliance records</p> <p>Primary related elements All elements within section</p>	<p>Records of top management review</p> <p>External accreditation</p> <p>Development of risk register</p> <p>Corporate reviews and reports</p> <p>Primary related elements All elements within section</p>
Legislative compliance and sector best practice	<p>Commitment to legal (and other requirements) compliance within policy statement</p> <p>Defined roles and responsibilities</p> <p>Process for identifying and evaluating relevant legislative requirements</p> <p>Primary related elements (1.01)(1.02)(1.03)(1.07)(1.10)</p>	<p>Legislative register</p> <p>Planning for audit/evaluation of compliance</p> <p>OH&S plan</p> <p>Training schedules</p> <p>Appraisal process</p> <p>Change management planning</p> <p>Business recovery planning</p> <p>Primary related elements (2.01)(2.03)(2.04)(2.07)(2.08)(2.09)(2.10)</p>	<p>Statutory records</p> <p>Audit and inspection records</p> <p>Training records</p> <p>Risk assessment(s)</p> <p>Signage (observation)</p> <p>Effective implementation of controls (observation and interview)</p> <p>Legislative register</p> <p>Permit to work records</p> <p>Evacuation drill records</p> <p>Primary related elements All elements within section</p>	<p>External accreditation (statutory and otherwise)</p> <p>Management reports</p> <p>Audit and inspection records</p> <p>Non conformance monitoring</p> <p>OH&S objective monitoring</p> <p>Statutory compliance records</p> <p>Accident investigations</p> <p>Health surveillance records</p> <p>Primary related elements (4.02)(4.03)(4.04)(4.05)(4.06)(4.09)(4.10)</p>	<p>External accreditation</p> <p>Records of top management review</p> <p>Evidence of legislative updates to OHSMS</p> <p>Management meeting records</p> <p>Primary related elements (5.01)(5.03)</p>

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Policy and structure (750 points) Example of typical information required	S2: Strategic planning (1125 points) Example of typical information required	S3: Implementation and operation (1500 points) Example of typical information required	S4: Performance evaluation (1125 points) Example of typical information required	S5: Management review and improvement (500 points) Example of typical information required
Emergency incident management	Commitment to manage emergency events, staff welfare, etc Emergency management policy/process Defined roles and responsibilities Competency policy/process Primary related elements (1.01)(1.02)(1.03)(1.04)(1.06)(1.10)	Business recovery/emergency planning. Emergency procedure planning Risk assessment process Training/competency matrix OH&S plan OH&S objectives Change management planning Primary related elements (2.03)(2.04)(2.05)(2.06)(2.07)(2.08)(2.10)	Evidence of emergency procedure testing (fire drills, environmental incidents, recovery tests, etc) Stakeholder awareness (interviews) Signage (escape routes etc) Provision of equipment (fire extinguishers, first aid, etc) Inspection and maintenance records Training records Risk assessment sampling Primary related elements (3.01)(3.02)(3.03)(3.07)(3.09)(3.14)(3.16)(3.20)(3.23)(3.24)	Review of evacuation tests Loss/damage analysis Audit and inspection reports Primary related elements (4.02)(4.03)(4.04)(4.05)(4.09)	Records of management review of OHSMS Improved emergency planning and arrangements Evidence of legislative updates to OHSMS Primary related elements (5.01)(5.02)(5.03)
Development and maintenance of a positive health and safety culture	Commitment to develop and continually improve Policy/process for competency, consultation and communication Defined roles and responsibilities Process for stakeholder consultation and participation Primary related elements (1.03)(1.04)(1.05)(1.06)(1.07)	Training matrix/programme CPD development and appraisal Mentoring and coaching OH&S plan OH&S objectives Specific development programmes Terms of reference for health and safety (and other) forums Occupational health and wellbeing plans/programmes Planning for participation of stakeholders in development of OHSMS Occupational health support programmes and planning Primary related elements All elements within section	Evidence of stakeholder involvement, empowerment and management commitment (interviews and observation) Minutes from health and safety meetings Training records Audit reports Stakeholder surveys Inspection reports Change management plans Risk assessment sampling Appraisal and development records Primary related elements (3.01)(3.02)(3.03)(3.07)(3.20)(3.21)(3.22)	Staff surveys OH&S objectives monitoring Accident/incident analysis and reports Management reports OH&S plan monitoring External accreditation Evidence of stakeholder participation in performance reviews Contractor approval records Review of training needs Review of health surveillance records Primary related elements (4.01)(4.02)(4.04)(4.06)(4.07)(4.08)(4.09)(4.10)	Stakeholder involvement in OHSMS reviews External accreditation Forward planning and objective setting Appraisal reviews Corporate reports Primary related elements All elements within section

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Policy and structure (750 points) Example of typical information required	S2: Strategic planning (1125 points) Example of typical information required	S3: Implementation and operation (1500 points) Example of typical information required	S4: Performance evaluation (1125 points) Example of typical information required	S5: Management review and improvement (500 points) Example of typical information required
Proactive and reactive performance measurement (leading and lagging indicators)	<p>Policy/process for performance monitoring</p> <p>Commitment to continual improvement within policy statement</p> <p>Defined roles and responsibilities</p> <p>Commitment to legislative compliance within policy statement</p> <p>Process for stakeholder consultation and participation</p> <p>Primary related elements (1.01)(1.02)(1.03)(1.06)(1.10)</p>	<p>OH&S plan</p> <p>Procedures/process/plan for:</p> <ul style="list-style-type: none"> • Auditing • Inspection • Accident Investigation • Ill health monitoring <p>Process for assessment of OHSMS including benchmarking (internal and/or external)</p> <p>Incident/loss/near miss/non conformance reporting</p> <p>Contractor/supplier monitoring</p> <p>Training plan</p> <p>Risk assessment planning</p> <p>Primary related elements (2.01)(2.02)(2.03)(2.04)(2.07)(2.10)</p>	<p>Stakeholder understanding and awareness of OHSMS (interview)</p> <p>Audit records</p> <p>Inspection records</p> <p>Accident/incident records</p> <p>PTW documents</p> <p>Contractor induction records</p> <p>Approved contractor/supplier index</p> <p>Risk assessment(s) sampling</p> <p>Site inspection</p> <p>Health and safety meeting minutes</p> <p>Notice board information</p> <p>Statutory records</p> <p>Staff surveys</p> <p>Training records</p> <p>Primary related elements (3.01)(3.02)(3.09)(3.20)(3.22)</p>	<p>Accident/incident analysis</p> <p>Ill health and absenteeism reviews</p> <p>OH&S plan reviews</p> <p>Management reports</p> <p>Website/corporate information and reporting</p> <p>OH&S objective monitoring</p> <p>Audit records</p> <p>External accreditation</p> <p>Statutory records</p> <p>Review of training records and effectiveness of training content</p> <p>Primary related elements All elements within section</p>	<p>Records of top management review</p> <p>OH&S objective review and forward planning</p> <p>External accreditation (planning and review)</p> <p>Corporate reports</p> <p>Primary related elements All elements within section</p>



**No-one should
be injured or
made ill at work.**

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