STFC Internal SHE Compliance Auditor Workshop

STFC Internal SHE Compliance Auditor Course

Outline programme

**** Please note timings are approximate and will be adjusted to suit progress through the course material ****

09:00 to 09:10	Introduction and programme
09:10 to 09:20	Introduction from Graeme
09:20 to 09:40	Why and what are we auditing?
09:40 to 10:15	What is an audit?
10:15 to 10:45	The annual audit process
10:45 to 11:05	Break
11:05 to 11:35	Auditing – 3 Stages
11:35 to 11:50	Generating an interviewee list
11:50 to 12:00	Notify directors by email
12:00 to 12:20	Arrange interviews
12:20 to 12:45	Conducting interviews
12:45 to 13:45	Lunch

13:45 to 13:55	Quiz
13:55 to 14:05	Site/location inspections
14:05 to 14:15	Collate interview responses
14:15 to 14:35	Post audit team review
14:35 to 14:55	Write audit report
14:55 to 15:05	Peer review audit report
15:05 to 15:25	Break
15:25 to 15:45	Issue report
15:45 to 16:00	Present to the STFC H&S Consultation Committee
16:00 to 16:25	Audit action process
16:25 to 17:00	Summary and questions.

STFC Internal SHE Compliance Auditor Course

17 May 2022

Welcome to RAL

Health and Safety

While visiting the STFC your host(s) are responsible for your well being – if you have any concerns please talk to your host.

Emergency

In the event of a site or external Emergency follow the instructions provided by your host.

First Aid

If you require **medical attention** or **first aid** ask your host or call **Ext. 2222 internally or 01235 778888 from a mobile phone.**

Fire

If you discover a **fire** raise the alarm, activate alarm call point (break glass), leave building by the nearest exit and call **Ext. 2222 or 01235 778888 from a mobile phone** to report the fire.

Incidents

If you are involved in or witness a safety, health or environmental incident please report it to your host.

Safety, Health and Environment

Programme

STFC internal SHE compliance auditor course

- Introduction.
- Why and what are we auditing?
- What is an audit.
- Types of audits undertaken by the STFC.
- Auditing skills.
- The annual audit process.
- Audit interviews.
- Audit report.
- Audit action process.
- Summary and questions.

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Aims and Objectives

Aims

The purpose of this course is to describe generic auditing tools and techniques in order to enable participants to carry out successful compliance audits of STFC SHE Codes.

Objectives

- Understand the principles and aims of an audit programme and the STFC audit process.
- Understand how to conduct an audit.
- Be able to present the findings of the audit in an effective way.

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Introduction

Sponsor introduction - GRAEME

STFC Internal SHE Compliance Auditor Course

Science and Technology Facilities Council

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SHE Auditor training

17th May 2022

Science and Technology Facilities Council
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Introduction

Does

matter?

11. Consulting, communicating and discussing this with staff, and their representatives, openly ***to drive continuous improvement in H&S management systems and performance.***

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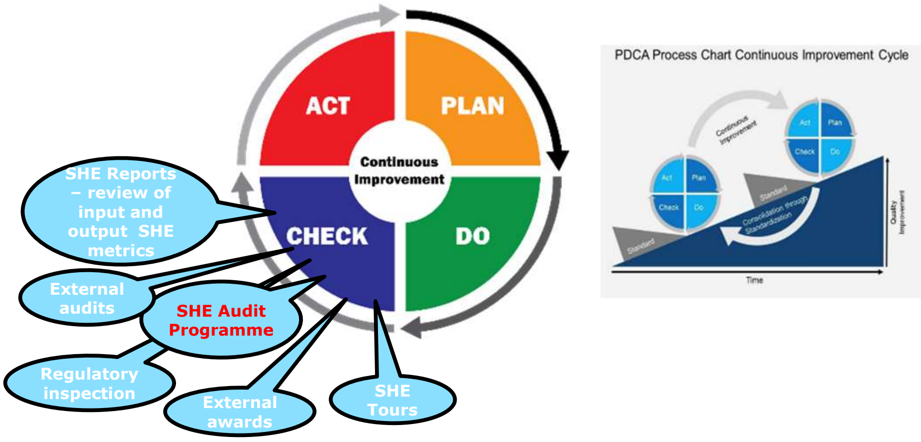
It matters



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Why does it matter?

- Continuous improvement of SHE management system & performance
- Assurance to STFC management
- Assurance to staff?
- Assurance to UKRI
- Assurance to regulators

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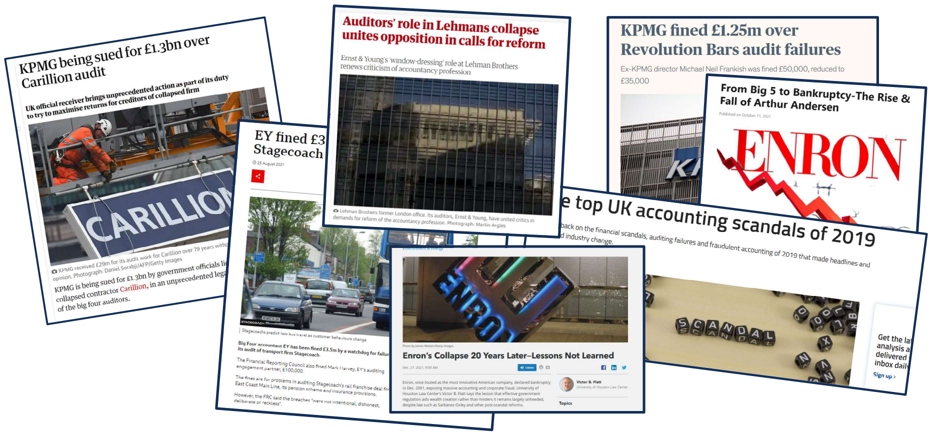
When audits go wrong …



Why does this training matter?

- Your capability underpins the integrity of the audit process and how audit reports are received and perceived
- You're the professional face of STFC SHE and SHE Group
- Our  's matter

Not easy being an auditor …

General competencies	Behavioral Skills	Technical Skills
Communication skills	Confidentiality	Understanding business
Organizational skills	Judgement	Business process analysis
Problem identification and solution skills	Team player Facilitation	Identifying types of controls
Ability to promote value of internal audit	Leadership Change catalyst	Operational and management research skills
Conflict resolution/negotiation skills	Work independently	Problem-solving tools and techniques
IT skills	Governance and ethics sensitivity	Financial analysis tools
	Objectivity	Statistical sampling

Source: (Bailey, 2010, 5, 11, 17)

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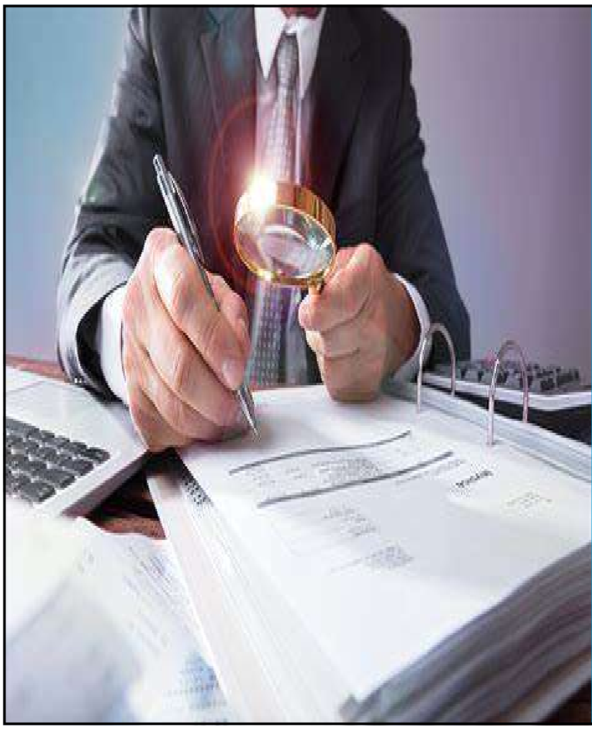

Why and what are we auditing? - ROB

STFC Internal SHE Compliance Auditor Course

Why and what are we auditing?

The starting point

- Why are we undertaking these audits?

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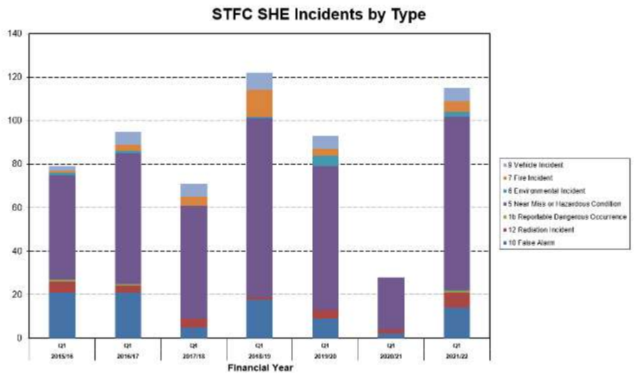
Why and what are we auditing?

STFC Safety data - Incidents



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Why and what are we auditing?

STFC Safety data - Injuries

Perceptible trend downwards

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Why and what are we auditing?

What is causing this trend?

- Is the STFC employing less people?
- Therefore there are less incidents occurring

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Why and what are we auditing?

What is causing this trend?

- Has the STFC eliminated its hazards?
- Therefore risks have been reduced

ISIS to be decommissioned

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Why and what are we auditing?

What is causing this trend?

- STFC have issued each member of staff with their own bubble suit for protection

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Why and what are we auditing?

STFC Health and Safety management arrangements

- UKRI Health and Safety Policy
- Encourage a culture of safe working
- Reporting and learning from health and safety incidents
- Implementation of a health and safety management system
- Comply with health and safety laws and regulations
- STFC SHE Safety codes

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Why and what are we auditing?

STFC SHE Safety Codes

- Currently 40 STFC Safety codes
- Based on a specific hazard type or process
- Outline the STFC's approach to managing these hazards
- Outline the standard of controls expected

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Why and what are we auditing?

STFC SHE Safety Codes

- There is an assumption that having the safety codes in place guarantees that the STFC sites will be incident free
- The working environment is a fickle realm to inhabit
- Variables exist which can shatter this ideological concept

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Why and what are we auditing?

STFC SHE Safety Codes – Their effectiveness

- The codes are fully up to date and compliant with the law
- The entire STFC fully adhere to the safety codes

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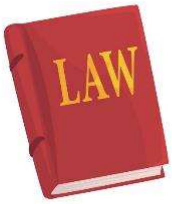
Why and what are we auditing?

STFC SHE Safety Codes – Their effectiveness

- The codes are fully up to date and compliant with the law
- STFC staff ignore the safety codes and implement better procedures



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Why and what are we auditing?

STFC SHE Safety Codes – Their effectiveness

- The codes are out of date and do not comply with updated regulations
- STFC staff implement the safety codes but are unaware that they are not as robust as they should be

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Why and what are we auditing?

STFC SHE Safety Codes – Their effectiveness

- The codes are relatively compliant with the regulations
- STFC staff are ignoring the safety codes

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Why and what are we auditing?

Auditing of the SHE Codes determines:

- The SHE Codes are up to date and compliant with current Regulations
- Departments are compliant with the essence of the SHE Codes
- The effectiveness of the SHE Codes are reducing incidents
- The SHE Codes contribute to the overall safety of the STFC sites

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Why and what are we auditing?

Auditing of the SHE Codes :

- Auditing following Safety Code 30 – SHE Auditing and Inspection
- Maintain the profile of SHE management and the STFC SHE policy
- Provide assurance of the integrity and implementation of the SHE management system
- Improve the effectiveness and efficiency of the implementation of the SHE codes
- Ensure that any improvements identified are acted upon in a timely manner

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What is an audit? - MIKE

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What is an Audit

General audits:

- The objective examination and evaluation of a particular process

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What is an Audit

Safety audits:

- Evaluation of the safety practices within a workplace
- How effective the practices are
- How they are measured against safety standards/Regulations
- SHE systems audit
- SHE Compliance audit

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What is an Audit

For the SHE Codes, it determine:

- Their existence
- Their adequacy and effectiveness and
- That they are actually used

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Comparing Inspections, Tours & Audits

Inspections / Safety Tours	Audits
▪ Identifies uncontrolled hazards. ▪ Looks for trends.	▪ Tests existence, adequacy and use of SHE management systems.

▪ Tends to be a physical inspection only.
▪ Some conversations.
	▪ Includes:
	  ▪ Physical inspections;
	  ▪ Interviews; and
	  ▪ Documentation checks.

▪ Identifies unsafe conditions and some unsafe actions.	▪ Identifies organisational, system and operational potential failures.
▪ Reactive. ▪ Can be proactive.	▪ Very proactive.

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Types of Audit

Compliance (Operational) audits of management system

- Internal / external

Management system audit

- Internal / external
- Contractors
- Suppliers

Certification / registration audits

- External
- Assessing conformity with OHSAS 18001, ISO14001 , ISO9001

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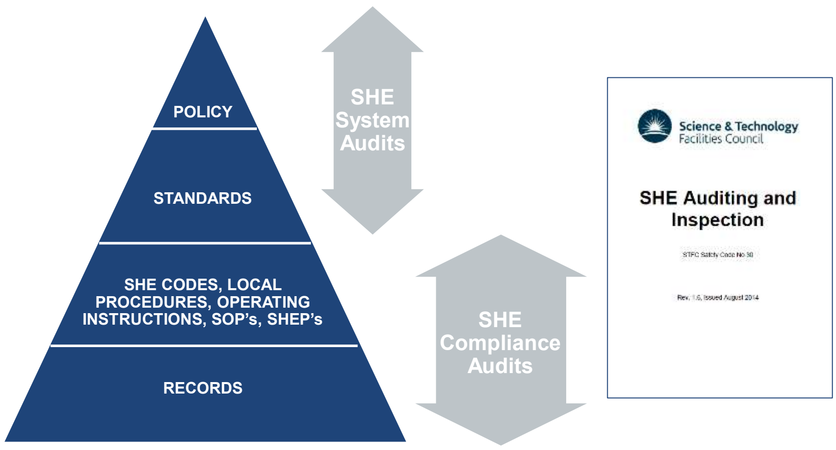
Two Types of SHE Audit at STFC



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STFC – Types of Audit (1)

SHE System Audit

The documented, systematic and objective examination of the SHE management system, SHE Policy and Codes, with the aim of assessing whether the management system meets STFC needs and legal requirements - to identify opportunities for its improvement - *"Are we doing what we should be doing, is the system working as a whole - delivering STFC expectations?".*

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STFC – Types of Audit (2)

SHE Compliance Audit

The documented, systematic and objective examination of the implementation of the SHE management system, SHE Codes, with the aim of improving their efficiency, and/or effectiveness in managing a particular SHE hazard - to identify opportunities for their improvement or non compliances with documented controls - *"Are we following the codes, and can they be improved?"*.

System and Compliance auditing both rely upon the examination of representative samples and is not a process for identifying all discernible nonconformities. Auditing can not therefore be relied upon to provide absolute assurance. Audits are best conducted by those independent of the activity being audited.

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STFC – Types of Audit (3)

Desktop Audit of a specific code

A more discrete/focused investigation of one element of the compliance audit. A review of applicable documents pertaining to a specific safety code to ensure compliance to higher level documents i.e. STFC Safety policy.

To determine whether this documentation is compliant with the requirements of any relevant standards. Interviews are not undertaken, except where clarity of facts need to be qualified.

A general element of a full compliance audit and is normally done prior to the full audit.

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Key Requirements of Audits

Characteristics	▪ Systematic. ▪ Documented. ▪ Periodic. ▪ Objective. ▪ Independent (?).
Objectives	▪ Verify compliance. ▪ Measure performance. ▪ Identify areas for improvement. ▪ Senior management assurance.
Standards	▪ External standards / legal requirements. ▪ Internal policies and procedures – SHE Codes. ▪ Good industry practice.

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Horizontal or Vertical Audits

Horizontal (procedure based):

An evaluation of one process, activity or Code across several groups or departments:

- e.g. Examine standards of containment and radiation monitoring for all areas

Vertical (process based):

This examines a process Code from end to end in a department:

- e.g. Drill down through the 'Working at Heights' procedure

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Objective of the Audit

The objective of SHE auditing is to:

Ensure compliance with:

- Internal Standards
- Safety, Health and Environmental Procedures
- Current Legislation
- Approved Codes of Practice

Identify opportunities for continual improvement

Identify and share good practice

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Auditing Skills Required

Audit Skills and Techniques

- Planning the audit
- Conducting interviews
- Gathering audit data
- Using sampling strategies
- Writing audit findings
- Communicating audit results

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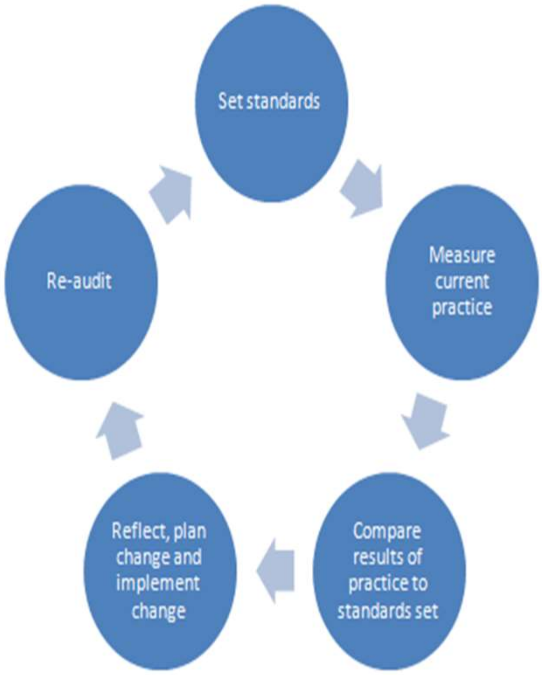

The annual audit process - ROB

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The annual audit process

- The audit process is undertaken over a 12 month period
- The duration is aligned to the financial year calendar
- However, preparatory/conclusion work on a particular audit programme is undertaken both before and after the financial year dates
- There are several discrete stages to the annual audit process

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The annual audit process

The beginning:

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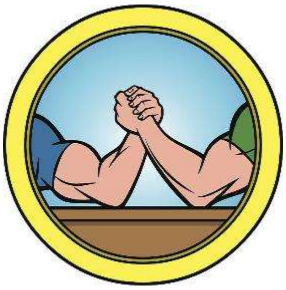
The annual audit process

Assessment of which audits to undertake

- Scientifically select the next batch of audits
- Discuss and refine this batch with the Head of SHE Group

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The annual audit process

Selection of the next batch of audits

- Audit planning spreadsheet

Audit title	Date of last audit	Overall assessment					Other factors						
		Substantial	Moderate	Limited	Unsatisfactory	No assessment	Code change	Legislation	Infrastructure	RIDDOR	National	Total	
19: Buildings and premises	2020	0	1	0	0	0	0	0	0	0	0	4	General
18: Noise	2019	0	1	0	0	0	0	0	0	0	0	5	General
17: Portable electrical equipment	2021	1	0	0	0	0	0	0	0	0	0	7	Desk Top
27: Dangerous goods	2019	0	1	0	0	0	0	0	0	0	0	5	General
26: Lifting equipment	2020	0	1	0	0	0	0	0	0	0	0	4	General
35 Control of asbestos	2019	0	1	0	0	0	0	0	0	0	0	5	General
31: Waste management	2022	0	1	0	0	0	0	0	0	0	0	2	General
37: COSHH	2021	0	0	1	0	0	0	0	0	0	0	4	Detail
33: Pressure equipment	2016	0	1	0	0	0	0	0	0	0	0	8	General
32: Emergency and fire management	2022	0	1	0	0	0	0	0	0	0	0	2	General
41: Controlling pollution	2022	0	1	0	0	0	0	0	0	0	0	2	General
3: Cryogenic handling	2016	0	1	0	0	0	0	0	0	0	0	8	General
4: PUWER	2016	0	1	0	0	0	0	0	0	0	0	8	General
2: Vehicle management	2018	0	1	0	0	0	0	0	0	0	0	6	General
34: Electricity	2022	0	1	0	0	0	0	0	0	0	0	2	General
1: Lone working	2021	0	1	0	0	0	0	0	0	0	0	3	General
40: Alarms, trips and interlocks	2021	0	0	0	0	1	0	0	0	0	0	3	General
Risk assessments - Desktop	2021	1	0	0	0	0	1	1	1	1	1	10	Desk Top

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The annual audit process

Selection of the next batch of audits

- STFC Risk Register

STFC top 10 SHE risks	
Staff Wellbeing	AST; BID; DI; Fin; HC; HC; RSp; SCD; SCD; Tech; SO
Contractor Management	AST; CLF; DI; HC; ISIS; UKATC
Travel	BID; DI; Fin; PPD; SCD; Tech; SO
Risk Assessments	AST; ISIS
COSHH	BID; RC; Tech
Communications	AST; ISIS
Safety Management System	ISIS
Training	BID
Lone Working	BID; Fin; PPD; RSp; RC; SO
Users & Students	CLF; RSp; RC

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The annual audit process

Selection of the next batch of audits – Risk register

STFC TOP 10 SHE RISKS	APPLICABLE SAFETY CODES	DATE OF LAST AUDIT
Staff wellbeing	SC 12 – Manual handling	2022
	SC 18 – Noise	2019
	SC 24 – Health surveillance and medicals	2021
	SC 25 – DSE	2020
	SC 26 – First aid	2021
Contractor management	SC 9 – Working at heights	2018
	SC 11 – Working in confined spaces	2019
	SC 13 – CDM	2017
	SC 19 – Building and premises	2020
Travel	SC 8 – Travel on Council business	2020
Risk Assessment	SC 6 – Risk management	2019
COSHH	SC 27 – Dangerous goods	2019
	SC 31 – Controlled and hazardous waste	2022
	SC 37 – COSHH	2021
	SC 41 – Pollution	2022
Communications	SC 5 – Incident reporting and investigation	2022
Safety management systems	SC 4 – PUWER	2016
	SC 6 – Risk Management	2019
	SC 7 – SHE Improvement planning	2020
Training	SC 10 – Provision of SHE training	2020
Lone working	SC 1 – Lone working	2021
Users and students	All codes	-

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The annual audit process

Selection of the next batch of audit – proposal

No	SHE Code	Scope	Auditors	Commentary
2022/23 -01	All codes	ING	Internal	Last Audit report issued 2016
2022/23 -02	All codes	Swindon Office	UKRI MAT	Last Audit report issued 2016
2022/23 -03	25: DSE (UKRI combined Audit – possibly cross-council)	CLF, ISIS, Estates, SHE Group, Technology, ROE, RAL Space, RCaH, ASTeC, BID	Internal/UKRI	Last Audit report issued 2020
2022/23 -04	29: General Radiation management	CLF, ISIS, Technology, RAL Space, ASTeC, BID, RCaH, SHE Group	Internal	Last Audit report issued 2015
2022/23 -05	16: Control of biological safety	ISIS, BID, RCaH, SHE Group, ASTeC, CLF	External	Last Audit report issued 2016
2022/23 -06	13: CDM	CLF, ISIS, Estates, SHE Group, Technology, ROE, RAL Space, RCaH, ASTeC, BID	Internal	Last Audit report issued 2017
2022/23 -07	~~6: Risk Assessment~~ – Desktop Audit	CLF, ISIS, Estates, SHE Group, Technology, ROE, RAL Space, RCaH, ASTeC, BID, Finance, HR, DI, SCD, Hartree, PPD, Programmes, SPC	Internal	Last full Audit report issued 2019
2022/23 -08	9: Working at height	CLF, ISIS, Estates, SHE Group, Technology, ROE, RAL Space, RCaH, ASTeC, BID	Internal	Last Audit report issued 2016
2022/23 -09	4:PUWER	CLF, ISIS, Estates, SHE Group, Technology, ROE, RAL Space, RCaH, ASTeC, BID	Internal	Last Audit report issued 2018

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The annual audit process

The proposal:

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The annual audit process

Approval from the STFC SHE Management Committee

- Reports to the STFC Executive Chair and Executive Board
- Responsible for monitoring the performance of the SHE Management System
- Objective to continuously improve SHE performance
- Chief Operating Officer – EB lead on H&S – Directors or their nominee – Director National Laboratories – Management from BID & Estates – Head of SHE Group

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The annual audit process

Approval from the STFC SHE Management Committee

- Audit programme proposal presented to the STFC SHE Management Committee
- Present an update of the previous year’s audit programme
- Outline the timetable for the audits
- Highlight any audits to be undertaken by external specialists
- Hopefully approval is granted

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The annual audit process

Approval from the STFC SHE Management Committee

- Issue an STFC notice declaring the planned audit programme

No	SHE Code	Scope	Timing	Auditors
2021/22-1	All codes	Boulby mine	June	STFC Team
2021/22-2	31: Waste management	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	June	STFC Team
2021/22-3	32: Fire management	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	August	STFC Team
2021/22-4	34: Electrical safety	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	June	External specialist
2021/22-5	05: Reporting and investigation of SHE incidents	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	August	UKRI
2021/22-6	30: Auditing and inspection	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	August	UKRI
2021/22-7	28: Open sources	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	August	STFC Team
2021/22-8	12: Manual handling	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	June	STFC Team
2021/22-9	20: Dangerous substances and explosive atmospheres	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	August	External specialist
2021/22-10	41: Controlling pollution to air, land and water	CLF, ISIS, Technology, ROE, RAL Space, RCaH, ASTeC, CI, BID	August	STFC Team

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The annual audit process

Team structures:

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Team structures

- Determine if Internal/External audit teams
- Structure of the internal team – Lead Auditor
- Have a member of SHE Group in each team
- Attempt to have site specific auditors within each team
- Attempt to have specialists within the more technical audits
- Consider existing work commitments and key events such as shut-downs

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The annual audit process

External auditors

- Specialist external auditors are routinely employed to undertake audits of the more specific technical safety codes
- UKRI MAT auditors are routinely employed to undertake audits of the training/health/procedural safety codes
- These teams will not necessarily have knowledge of the function of the STFC
- They will probably be unfamiliar with the STFC sites
- They will probably be unfamiliar with the Safety Codes
- They will not have knowledge/access to staff names

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The annual audit process

External auditors

- A comprehensive specification needs to be generated, outlining the aims of the audit and the required format of the report

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The annual audit process

External auditors

- A quotation for the planned audit needs to be obtained
- Funding sourced
- An order arranged

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The annual audit process

External auditors

- Provide auditors with a list of department local contact names
- Arrange access to Outlook accounts
- Arrange access to SHE training data
- Arrange access to Evotix Assure for risk assessments

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The annual audit process

The audit programme:

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The annual audit process

Internal audit team programme

- Audit teams undertake their respective audits
- Quarterly audit team review of progress against original programme
- This information included in the SHE Quarterly report

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The annual audit process

Internal audit team programme

- Lead Auditors prepare audit report on completion of the audit interviews
- Present findings to the STFC H&S consultation committee

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The annual audit process

Presenting to the STFC H&S Consultation Committee

- Reports to the STFC SHE Management Committee
- Provides open and constructive engagement between STFC management, staff and their representatives in the management of H&S
- Considers reports from the STFC H&S audits and H&S performance reports
- Chief Operating Officer – Representatives from the STFC SHE Management Committee – Head of SHE Group – H&S representatives from Trade Union bodies

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The annual audit process

The audit programme:

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The annual audit process

Close-out the current audit programme

- Final audit team review to determine the status of the current audit programme
- Record those audits completed
- Transfer any pending audits to the next audit programme

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Audit Stages - MIKE

Auditing – Three Stages

Pre-Audit Activities
(Audit Preparation)

Conducting the Audit
(Audit Process)

Post-Audit Activities
(Audit Report and Follow-Up)

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Audit Planning

What makes an Audit Effective and Efficient?

- Planning
- More Planning and
- Yet MORE Planning

- The auditor's role is to assess whether the STFC / site has strong systems which comply with STFC Standards and which minimise potential SHE impacts

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Audit Planning

Audit team

- Initial audit team meeting
- Review training records
- Review incident reports
- Review risk assessments
- Review previous audit report and any outstanding actions

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Audit Planning

Audit team

- Prepare interview questions based on roles, responsibilities, training, incidents, risk assessments, previous audit reports and outstanding actions
- Determine sample size
- Determine if site/location inspections will be required

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Audit Planning

Question types

Closed

- Direct with defined answers – i.e. is there a policy in place?
- Would normally result in a yes/no answer
- Useful for confirmation – i.e. can you confirm that a policy is in place?

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Audit Planning

Question types

Open

- General questions with a defined response – i.e. what is the maximum permitted limits in your department?
- Very good for 'discovering' unexpected information – i.e. how often do you undertake a review of the process?

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Audit Planning

Question types

Leading

- Suggest the expected answer – i.e. what training have you undertaken?
- Ideally these should be avoided

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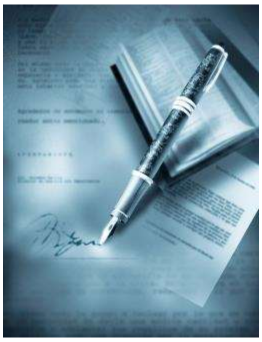
Plan the Audit – Depth Required

The objectives of pre-audit activities are to:

- Ensure you / the team understands the objective, scope and schedule of the audit
- Plan the audit
- Ensure the audited (department / project group) understands the audit objectives



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Plan the Audit – Depth Required

Determine the level of depth and rigour of the audit based on your assessment of the following:

- High priorities
- Low priorities
- Where few or no systems exist

Management Systems	Potential Impacts	
	Low	High
Few	3. Dig Less Deep	1. Dig Deepest
Many	4. Don't Dig	2. Dig Deep

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Pre-Audit Activities – Communication

It is important to communicate with the auditees whilst scheduling the audit:

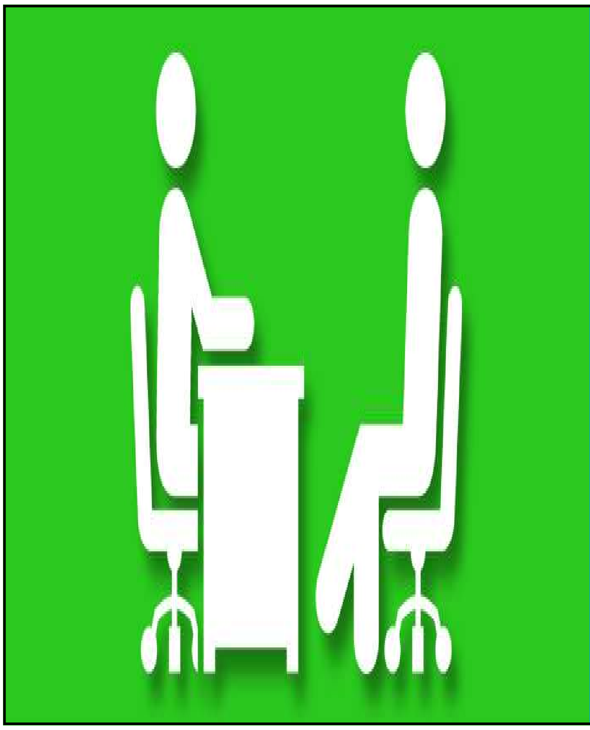
- Communicate purpose, objectives and scope of audit
- Ensure timing of audit is acceptable
- Confirm availability of key personnel
- Identify any particular areas of concern
- Confirm logistics

Safety, Health and Environment

Pre-Audit Activities – Audit Protocols

Audit protocols are used to:

- Plan for the audit
- Record the audit procedures (planned and completed)
- Outline the working papers
- Record changes in audit scope, procedures, etc.
- Review / critique an individual audit



Interviewee list - ROB

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Generating the interviewee list

Finding people to interview:

- Having determined the scope of the audit and the sampling percentage, interviews need to be arranged
- Knowing who to audit can be a challenge
- There are lots of sources which can be utilised

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Generating the interviewee list

Where to find the names:

- Determine the responsibilities within the specific code being audited
    - Fire Safety Advisor
    - Building Fire Manager
    - Building Warden
- These can be found in the SHE Directory
- Warning – The SHE Directory is not always up to date

Safety, Health and Environment

Generating the interviewee list

Where to find the names:

- Department safety contacts
- Local contacts i.e. Department Heads/Workshop managers
- Training records
- Previous audit report – try to avoid repeatedly interviewing the same people (For smaller sites this will be a challenge)

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Generating the interviewee list

Where to find the names:

- Incident reports – May also highlight key areas needed to be investigated as part of the audit
- Suggestions from audit team members
- Your own local knowledge
- SHE Group staff

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Pre-audit activities- ROB

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Pre-audit activities

What to do prior to arranging the interviews:

- Permission to undertake the audits at this point has been granted by the STFC SHE Management Committee
- An STFC Announcement has been issued outlining the annual programme which includes which departments will be audited
- Department Directors and their Department Safety Contacts need to be appraised of the actual timetable and the potential numbers of interviewees required

Safety, Health and Environment

Pre-Audit Activities – Email Notification to department directors

Sample e-mail:

Dear (Name),

I am leading the team that will be carrying out an audit on SHE safety code (Number), '(Code title)', in your department. In line with the Audit programme approved by the STFC SHE Management committee at their (Date) meeting, we will be auditing code compliance in the workplace but will also seek ideas and feedback on how the code can be simplified and improved operationally to manage safety.

The audit team has already started work by reviewing risk assessments, safety training records, incident reports and past audit reports. The next stage will be to interview a broad cross-section of staff during (Dates). Consequently, I am writing to let you know that we will be requesting interviews with members of your Department during that time. We anticipate seeing (Number range) people who have some involvement with (Code title), with the interviews spread over (Time period). The interviews normally take around (Time) to conduct.

We fully appreciate that people have busy schedules and will endeavour to plan the interviews accordingly around their availability.

Best Regards,

Safety, Health and Environment

Pre-audit activities

Director feedback:

- Department Directors my reply by suggesting the proposed dates may clash with important project deadlines
- Be prepared to rearrange the planned dates to suit
- Department Directors my reply to suggest the planned number of interviewees is excessive due to existing workloads
- Be prepared to rationalise who you **need** to interview and who would be less critical in order to obtain a good representation of tasks being undertaken within a department

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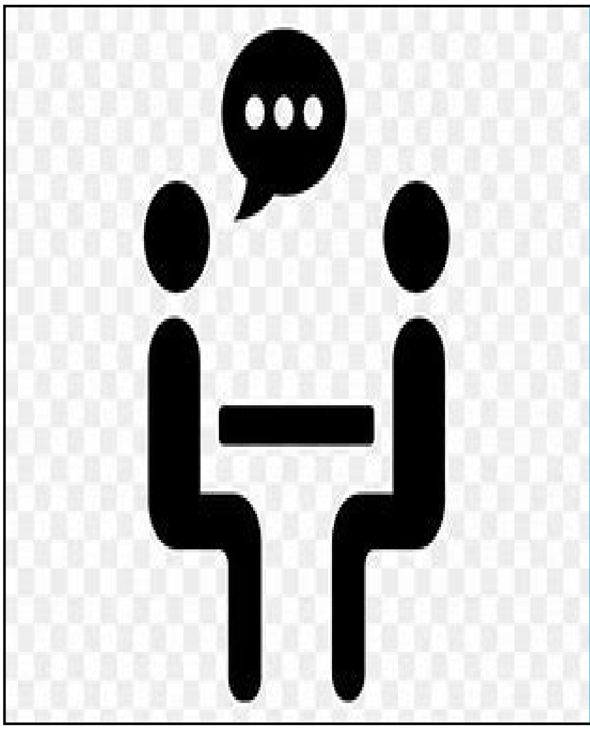

Arrange the interviews - ROB

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Arranging the interviews

Arranging interviews

- Not all interviewees will be available on your chosen dates
- Be prepared to be disappointed by the number of people who don't want to be interviewed
- Book your sample size, plus extra for potential people declining invites
- Be flexible to fit around staff availability
- Anticipate upwards of 10% no-show on the day

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Arranging the interviews

Arranging interviews

- Have reserve names for key responsibilities.
- Be prepared to rearrange interviews at the last minute.
- Determine if you want to interview by Zoom or face to face.
- Determine if you want the interview to also include a work area inspection.
- Give as much information in the invite as possible.

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Interview Invitations

Organising interviews:

Dear (Name),

The following SHE notice (Current SN number i.e. SN191), regarding the on-going programme of auditing STFC's Safety, Health and Environment Codes, was issued in (Date):

http://www.she.stfc.ac.uk/SHE/Safety/Safety_Notices/STFC/45643.aspx

As part of the team auditing SHE safety code (Number), '(Code title)', in your department, I would like to ask for your help in answering some questions relating to its implementation within your working group, and identifying any opportunities to improve the code to aid compliance. We are attempting to see as broad a cross-section of staff as possible within the department.

If you are able to spare this time, I would appreciate the opportunity to discuss the audit with you.

Best Regards,

Safety, Health and Environment

Arranging the interviews

Arranging interviews

- Interviewees often come back wanting to know 'what the audit is all about?'
- Be prepared to reassure them that it is not a test of their knowledge of the SHE Code
- Interviewees may ask what paperwork you are likely to request during the interview
- Send out reminder on the day

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Interview Invitations

Reminder:

Dear ????

A reminder that we have a Zoom meeting today at ?.00 ?m to discuss the Fire and Emergency management safety code. Let me know if the time isn't suitable and I can rearrange.

Regards

Safety, Health and Environment

Arranging the interviews

Arranging interviews

- Remember, the interview should be a structure conversation where you ask the questions and the participant provides answers
- Their responses should provide you with information relating to their department's implementation of the SHE Code
- Use the opportunity to transfer information to them as well
- HAPPY INTERVIEWING!!!

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Conducting the interviews - MIKE

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Collecting Audit Evidence

There are four types of audit evidence:

Interview

- First hand evidence received from interviewees

Physical

- Hard evidence observed: e.g. lack of safety equipment, incorrect labelling

Documentary

- Something written down on paper or electronically e.g. records of testing, inspection etc.

Circumstantial

- Indirect evidence which conveys an overall impression

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Strengths and Weaknesses of the Four Types of Evidence

	Interview	Physical	Documentary	Circumstantial
Type of evidence	Information received from interviews with site staff	Information received by seeing or touching (e.g., observe existence of tank bunding)	Information received via a paper trail	Information received through general impressions
Advantages	Can check multiple sources for added verification; can ask follow-on questions to clarify meaning	Physical presence of the monitor is persuasive (i.e., implies some type of compliance activity)	Allows the auditor to "see" the site's practices in terms of documentation	Useful and informative in developing an overall impression (e.g., the order and neatness of records)
Limitations	Personal biases and degree of knowledge and training of interviewees may greatly impact the quality of evidence	Cannot witness all relevant event(s) during an audit; don't know if equipment functioning properly or will continue to function properly	Documents not complete proof an activity actually took place, (e.g., documents can be generated or altered while preparing for the audit)	Contribute to conclusions but cannot be used to verify compliance

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Interviewing

Interviewing is one of the auditor's most effective tools.

It provides the auditor with:

- A time-efficient way of gathering information
- A means to verify other type of evidence
- Provides quality information and data

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Conducting Interviews #1

Some general considerations are worth keeping in mind.

- Explain why the audit is being undertaken
- 1 person/2 person?
- Establish an appropriate interview style, flow, and tone
- Utilise appropriate interview questions
- Practice active listening
- Paraphrase / summarise information learned
- Be aware of nonverbal communication

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Conducting Interviews #2

Some general considerations are worth keeping in mind.

- Maintain a professional approach
- Never argue, be confrontational or aggressive
- Avoid discussing personalities, gossip etc.
- Be punctual
- Compare auditee with others
- Avoid being judgmental

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Interview Pitfalls

There are also some behaviours you want to avoid during an interview, if you can:

- Don't get into a debate
- Don't force a meeting
- Don't rush the interview
- Don't amplify criticism given
- Be wary of using sarcasm or humour
- Don't telegraph your reactions
- Don't jump to conclusions
- Don't communicate incomplete or unsubstantiated findings / conclusions
- Don't use a tape recorder

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Interviewing Friends

Be friendly but maintain:

- Professionalism
- Objectivity
- Independence

If you think your relationship to the auditee might compromise the value of the interview, you may want to ask a colleague to conduct that interview

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Recording the Interview

Documenting the interview is key to ensuring the information gathered is retrievable;

- Write while conducting the audit
- Start each new interview on a new page
- Clearly label each page
- Keep entries factual
- Keep entries legible
- Write clearly in an understandable style
- Other recording methods?

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Closing the Interview

Close the interview on a positive note;

- If necessary, schedule additional interview time
- Provide a final summary of what you've learned and what (if anything) you plan to do to fill any gaps
- Thank the interviewee for his / her help
- End with an "open door" for communication
- Bring closure to the interview

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Interview Checklist

Audit interview checklist

- Introduce yourself - explain the objectives of the audit programme – senior management assurance and code improvement and which code you are auditing
- Thank them for sparing the time to be audited
- Remind them that the process is being assessed, not the people – never compare people or judge them
- Remind auditees that everything is confidential but you will be taking some written notes to write up a report and that the report will go to the STFC SHE Committee and local management.
- Ask if attendees have any concerns about the audit process and the specific codes being audited.
- Use question types appropriately – open questions to seek information, closed questions to clarify your understanding – avoid leading questions
- Summarise your conclusions to ensure no surprises
- Ask if auditee would like to comment on any specific aspect of the code and their working practices that hasn't been discussed
- Don't engage in gossip, argue or be confrontational - remain professional

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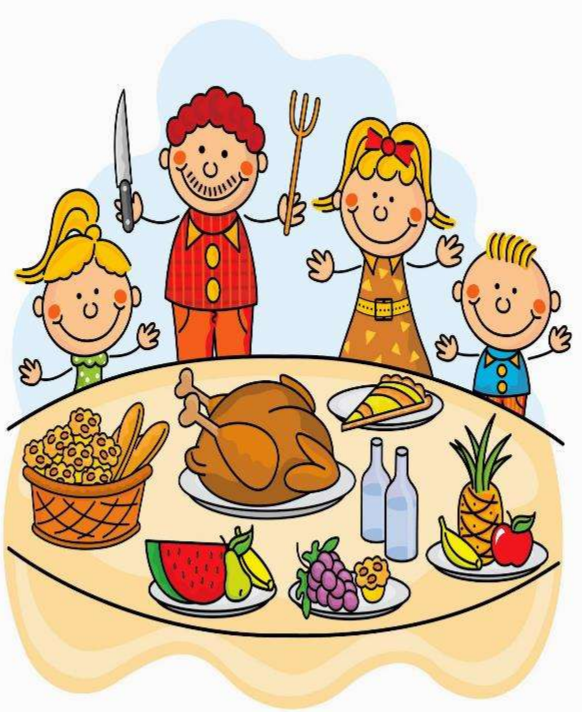

Lunch

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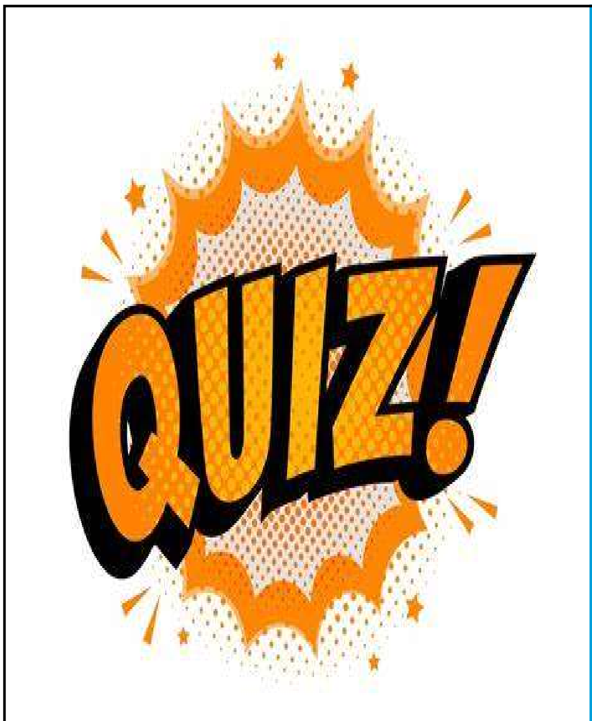

Audit quiz - Rob

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Audit quiz - Numbers

Add the following numbers

- The number of miles between OX11 0QX and WA4 4AD via the M6 (as listed by AA route finder)
- The total number of individual audits which need to be undertaken/organised over a 5 year period by the STFC SHE Audit team
- The total number of audit reports issued between 2017 and 2022
- How often in years should you undertake refresher SHE auditor training as detailed in SHE Code 30
- The sum of the individual numbers you would dial to report a fire at DL

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Audit quiz - Numbers

Add the following numbers

- The sum of the individual numbers you would dial to report a fire at RAL
- The average number of actions per year (not including commendations) issued between 2017 and 2022
- The highest number of actions (not including commendations) for a single audit report issued between 2017 and 2022
- The number of LIMITED overall rated audit reports issued between 2017 and 2022
- The sum of the 7 numbers in the following object

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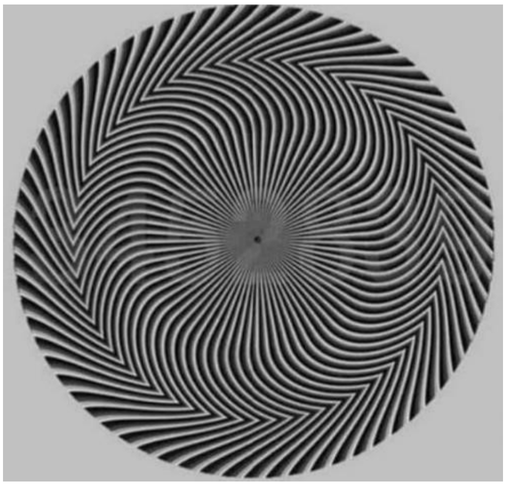
Audit quiz - Numbers



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Site/location observations - MIKE

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Site/location observations

Observations;

- Not a safety tour inspection
- Try to limit your observations to the specific safety code and auditee questions – i.e. are ear defenders supplied – witness what is provided
- However, be observant about the general safety management in the location you are visiting – this will inform you of the overall safety culture
- Take photographs of evidence if permitted
- If not, try to draw a sketch of your observations

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Site/location observations

Observations;

- Ensure you comply with an local requirements during the observation – i.e. wear the necessary PPE
- Try to undertake the observation when hazards are prevalent – i.e. observe the function of a machine workshop when the machines are running
- Discuss the general activities undertaken in the work area – i.e. is your visit a typical/non-typical activity day
- Provide a general outline of immediate findings to your host

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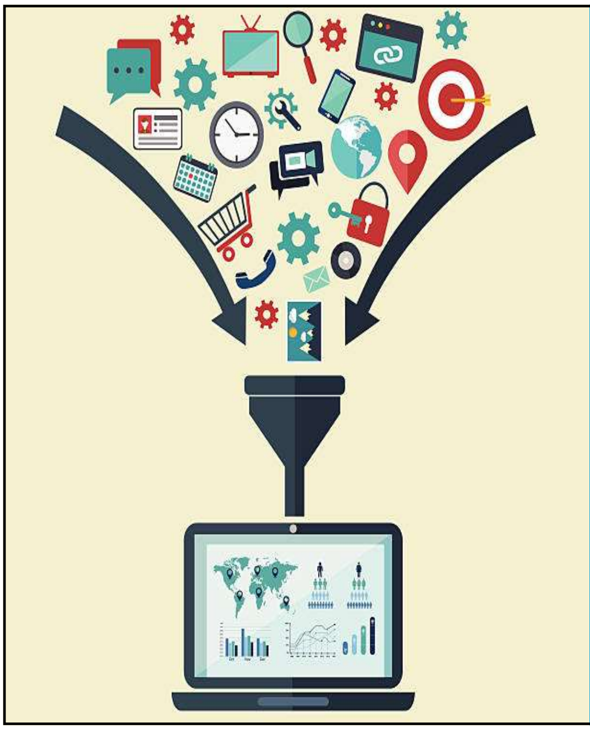

Collating interview responses - ROB

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Collating interview responses

Collecting the data;

- Records should be made during the interviews – normally hand written notes
- These need to be recorded in some manner so that the respective interviews can be compared
- Use an appropriate method to suit your particular audit team – i.e. limited access to shared areas

Collating interview responses

Collecting the data;

- The amount of data collected could be significant
- Share the collating process with other team members if this is the case
- Have individual team members search for specific information – i.e. looking on Evotix Assure for risk assessments

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Collating interview responses

Responses:

- Spreadsheet
- Direct comparison
- Scoring system
- Bullet-points
- Team analysis.
- Cluster similar findings
- Start looking for trends – both compliant and non-compliant

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Collating interview responses

Responses:

- Qualitative method – looking at the depth of the data
- Ranking method – judging the level of compliance for each aspect
- Consider supporting evidence – photographs of area inspections – copies of risk assessments
- Set a time limit to undertake the analysis of the interview data – don't get engrossed by subjective findings
- Summarise the findings

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Post-audit team review - MIKE

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Post Audit Activities – Objectives

The objectives of the post-audit activities are to:

- Ensure all information is evaluated correctly to allow findings to be generated
- Ensure that the audit results are clearly communicated to the appropriate levels of management
- Ensure that all audit findings are addressed by management – deficiencies and improvement suggestions
- Evaluate the effectiveness of the audit and provide suggestions for improving future efforts
- Share lessons learned during the audit, especially to similar facilities

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Evaluating Evidence

Determine if the data are sufficient to develop management systems findings, including:

Identify trends among the evidence:

- Look for patterns or trends
- Be alert to systemic issues

Look for Code improvement opportunities:

- Audit is not just about compliance
- Look at how tasks are really carried out
- Can the Codes be improved?

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Evaluating Evidence

Identifying corrective actions:

- Determine recommendations
- Focus on the higher risks
- Determine if a director feed-back meeting is required – we general no longer undertake these unless specific Major recommendations are likely to be made in the audit report

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Director Feedback

Issue Director feedback meeting invite.

Sample e-mail:

Dear (Name),

The audit interviews for SHE safety code (Number), '(Code title)', have now been completed in your department.

I would like to present the preliminary findings to you at an audit feedback meeting ahead of the reports' release. I anticipate the meeting taking no longer than 30 minutes to conduct.

Please let me know if this date is convenient.

Best Regards,

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Director Feedback

Delivering feedback:

- Introduce yourself - explain which code you are reporting on
- Thank them for the co-operation and support of their staff during the audit
- Run through key findings asking for management feedback and questions on findings to provide clarification:
  - describe the type of audit findings and actions required for the various category of findings
  - present findings in a balanced manner – positive as well as negative
  - ensure no surprises

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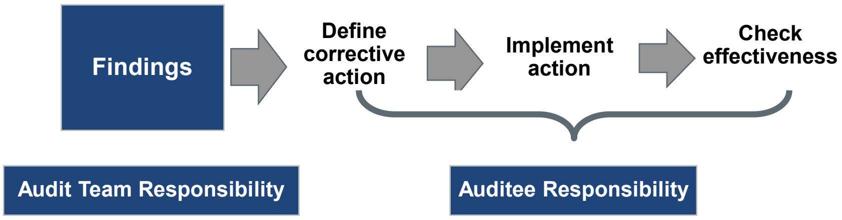
Actions

The auditee will identify the corrective action needed, with the guidance of the audit team.

Advice on remedial action should be given only if requested, although Directors do like to see possible solutions. It is not for the audit team to impose ‘solutions’ on the auditee, just to highlight deficiencies. It is always the responsibility of the line manager to establish the plan and ensure actions are completed.



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Audit Findings

When developing findings, think about the following:

- Do not overstate the facts
- Balanced reporting – don't focus only on negative
- Distinguish between performance and documentation
- Avoid generalities
- Do not draw legal opinions
- Give regulatory or company policy references
- Avoid extreme language
- Use familiar terminology
- Do not focus criticism on individuals or their mistakes
- Avoid contradictory messages
- Group similar findings

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Audit Findings

Audit finding must:

- Focus on areas of highest risk
- Communicate the full extent of the problem
- Be supported by sufficient evidence
- Provide sufficient information to fix the problem
- Identify root cause
- Be balanced – appropriate weight to positive and negative findings
- Concise, factual and specific

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Categorisation of Audit Findings

Type	Management response	Response time
Major	Immediate management action	Within 1 week of being informed during audit closing meeting
Minor	Management development of an action plan to resolve	Management action plan developed within 1 month of receipt of the final audit report. In general such actions should be addressed within 3 months of plan being developed.
Recommendation	Management to consider but development of an action plan optional	
Commendation	No management action except to communicate internally. SHE Group to highlight as an area/example of "Good practice" across STFC	

Those items identified as **Major** will have been reported within a week of their report at the audit closing meeting through separate notification.

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Categorisation of Audit Findings

Audit Assessment	Definition
Substantial (formerly Full Assurance)	The framework of Governance, Risk Management and Control is adequate and effective.
Moderate (formerly Substantial Assurance)	Some improvements are required to enhance the adequacy and effectiveness of the framework of Governance, Risk Management and Control.
Limited (formerly Limited Assurance)	There are significant weaknesses in the framework of Governance, Risk Management and Control such that it could be or could become inadequate and ineffective.
Unsatisfactory (formerly No Assurance)	There are fundamental weaknesses in the framework of Governance, Risk Management and Control such that it is inadequate and ineffective or is likely to fail.

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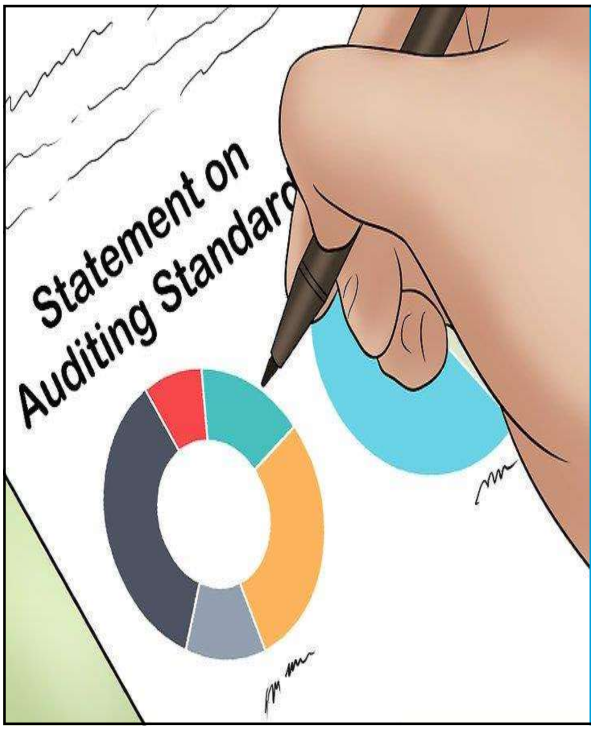

Writing the audit report - MIKE

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Writing the audit report

The report:

- Basic format – template in the SHE Audit shared area
- Narrative
- Avoid too many acronyms – the people (Especially the Directors) receiving the report are not generally experts in that particular field
- Audit team close-out meeting to agree the report

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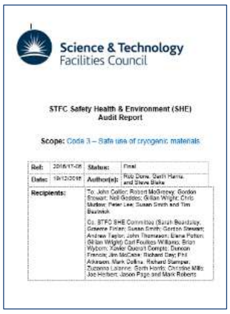
Audit Report

Purpose of the Audit Report

- To document the scope of the audit and the audit team's conclusions
- To provide appropriate levels of management with information on the conclusions of the audit
- To initiate corrective action so that once findings have been identified, action steps are set in motion to correct the deficiencies found



Audit Report

Audit reports must be:

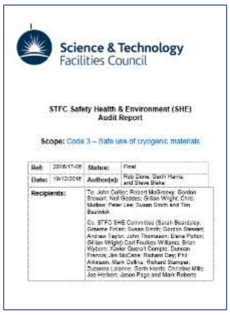
- Objective
- Clear
- Concise
- Timely

The type of information and level of detail provided in an audit report depends upon the audit programme objectives, needs of report recipients, and problems identified

Report Format

A possible Audit Report format is:

- Front page
- Executive Summary
- Background
- Scope of Audit
- Methodology
- Audit's Key Findings
- Resources
- Observations and recommendations
- Summary of findings and overall assessment
- Appendices
  - Appendix 1 : Audit reporting, review and recommendation categorisation
  - Appendix 2: Explanation of overall audit assessment



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Peer review of the audit report - ROB

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Peer review of the Audit Report

Review of the Audit report:

- There is an expectation from our customers that the audit reports and their findings are presented in a common format
- This provides an easy means of conveying the audit findings in a method which people are familiar with
- The relevant information within the audit report sits in the same location
- Standard format adopted

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Peer review of the Audit Report

Review of the Audit report:

- It is beneficial if the reports are edited and reviewed in this context
- A check in order to provide a common profile of the audit findings
- Provide specific information with evidence without naming names
- Levelling of recommendations and overall rating

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Peer review of the Audit Report

Review of the Audit report:

- Clarity of communication – don't be ambiguous
- Provide enough information so that the departments can reconcile where the problems are
- Give specific recommendations – not generic
- Consistent approach across all departments

Issue the audit report - ROB

STFC Internal SHE Compliance Auditor Course

Issue the Audit Report

Audit report:

- Issue as a word document format
- Issue to the department directors as defined in the audit scope
- Issue to members of the STFC SHE Management Committee
- CC to department safety contacts
- CC to audit team members

Safety, Health and Environment

Issue the Audit Report

Issue audit report to all applicable Directors, cc to STFC SHE management committee and Departmental safety contacts.

Sample e-mail:

Dear all,

Please find attached the report of the internal SHE audit covering SHE safety code (Number), '(Code title)' with an action table for your consideration.

Once you have finalised your response, and who will be responsible for carrying out the action, please send the completed table back to Robert Done Robert.done@stfc.ac.uk and he will use Evotix Assure to manage the actions.

In summary; the findings indicate (Substantial/Moderate/Limited/Unsatisfactory) compliance, with (few/many) situations where (applicable topic) hazards are significant enough to require implementation of the code. The recommendations are mainly concerned with helping STFC staff to better understand their responsibilities with respect to (Code title), which will hopefully have an effect on the resources put into this important area.

All of those audited were most helpful with our enquiries.

If you have any questions regarding the audit findings or process please do not hesitate to contact me.

Regards,

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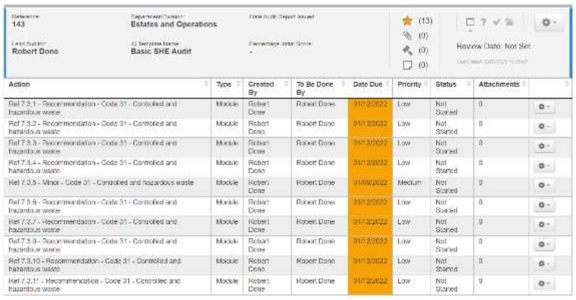
Issue the Audit Report

Following the publication:

- Rob will input all department actions into Evotix Assure (Formally SHE Assure) – Status will set as 'not started'



Reference 143 | Department/Division: Estates and Operations | Lead Auditor: Robert Done | Template Name: Basic SHE Audit | Review Date: Not Set

Action	Type	Created By	To Be Done By	Date Due	Priority	Status	Attachments
Ref 7.3.1 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0
Ref 7.3.2 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0
Ref 7.3.3 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0
Ref 7.3.4 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0
Ref 7.3.5 - Minor - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/09/2022	Medium	Not Started	0
Ref 7.3.6 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0
Ref 7.3.7 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0
Ref 7.3.8 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0
Ref 7.3.10 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0
Ref 7.3.11 - Recommendation - Code 31 - Controlled and hazardous waste	Module	Robert Done	Robert Done	01/12/2022	Low	Not Started	0

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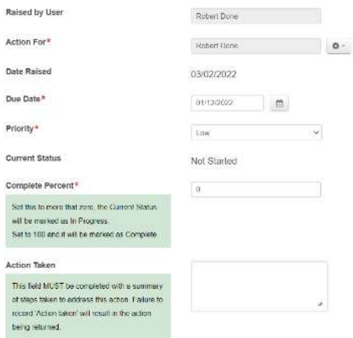
Issue the Audit Report

Following the publication:

- Action taken will be left blank



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Issue the Audit Report

Following the publication:

- Rob will input all department actions into the audit programme response detail table.

Department	Radioactive waste			Electrical safety management			Controlling pollution			Controlled and hazardous waste		
Report Issued												
Digital Infrastructure				0	0	0						
				4	0	0						
				4	0	0						
				0	0	0						
Estates				0	0	0	0	0	0	0	0	0
				3	3	0	4	2	0	1	0	0
				10	4	0	1	1	0	12	0	0
				13	7	0	5	3	0	13	0	0
				5	0	0	0	0	0	1	0	0

Safety, Health and Environment

Present to the STFC H&S consultation committee - ROB

STFC Internal SHE Compliance Auditor Course

Present to the STFC H&S consultation committee

STFC Health and Safety consultation committee:

- Chief Operating Officer – Representatives from the STFC SHE Management Committee – Head of SHE Group – H&S representatives from Trade Union bodies
- Lead auditor presents a synopsis of the main audit findings
- Normally 10 minutes allocated for both the presentation and any following discussion
- Highlight the number of major/minor/recommendations/commendations awarded as part of the audit

Safety, Health and Environment

Present to the STFC H&S consultation committee

STFC Health and Safety consultation committee:

- There will be questions from the committee – go prepared with supporting evidence
- There will be some challenges to the findings presented
- There will 'occasionally' be praise from the committee

Safety, Health and Environment

Present to the STFC H&S consultation committee

STFC Health and Safety consultation committee:

- The committee will formally recognise the audit report and its findings
- This is recorded in the committee minutes
- Lead auditor needs to reconcile any dialogue and actions relating to the audit as defined by the committee
- The audit report is now effectively completed

Safety, Health and Environment

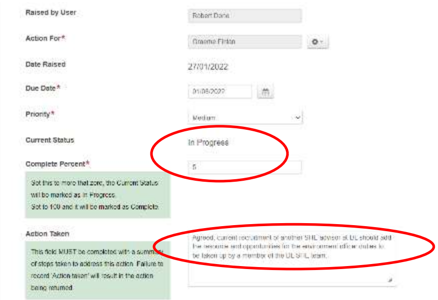
Audit action process - ROB

STFC Internal SHE Compliance Auditor Course

Audit action process

Audit progress monitoring:

- Department directors/DSCs submit management responses relating to a particular audit.
- Rob inputs these responses into Evotix Assure.



Safety, Health and Environment

Audit action process

Audit progress monitoring:

- Rob records these responses into the audit programme response detail table.

Department	Radioactive waste			Electrical safety management			Controlling pollution			Controlled and hazardous waste		
Report Issued												
SHE GROUP	0	0	0	2	0	0	0	0	0	0	0	0
	5	5	0	5	0	0	6	6	0	4	4	1
	0	0	0	11	3	2	0	0	0	13	13	0
	5	5	0	18	3	2	6	6	0	17	17	1
	0	0	0	2	0	0	0	0	0	0	0	0
	0	0	0	0	0	0				0	0	0

Safety, Health and Environment

Audit action process

Audit progress monitoring:

- Monthly update of all management responses
- Monthly update of all progress against in-progress actions
- Issue monthly revised summary chart and actions on departments
- Close-out any audits where all actions have been fully completed

Safety, Health and Environment

Audit action process

Summary report

Department	Flammable gases and dusts	Work at height	Confined spaces	Hazardous substances	H&S management system	PPD All Codes	Static magnetic fields	LELA	Management of contractors	Buildings and premises	COSHH	First aid	Lone working	Legionella	Testing of electrical equipment	Sealed sources	Radioactive waste	Electrical safety management	Controlling Pollution	Controlled and hazardous waste
Report Issued	Feb-16	Feb-18	Mar-19	Mar-19	Mar-20	Apr-20	May-20	May-20	Aug-20	Aug-20	Feb-21	Feb-21	Apr-21	May-21	Jun-21	Nov-21	Nov-21	Dec-21	Jan-22	Feb-22
CLF	1/1	0/0	0/0	0/0			7/7	1/1	2/2	2/2	3/3		7/7	0/1	3/3	2/2		0/2		3/7
ISIS	2/2	2/2	2/2	1/1			8/13	5/5	1/1	1/1	0/1		7/7	3/3	1/6	1/6	2/6	0/2		0/15
Digital Infrastructure									2/8				0/7					0/4		
Estates		5/6	10/10	3/6				1/2	18/18	14/20			12/13	6/12	3/7	3/3		0/13	0/5	0/18
HR																				
SHE GROUP	5/6	4/4	2/4	4/6	34/46	1/2	2/2	2/3	6/7	0/2	0/4	4/5	1/11	15/23	5/5	2/7	0/5	2/18	0/6	1/17
TECHNOLOGY	1/1	3/3	2/2	2/2			1/1	7/7	1/1		5/5		6/6	6/6	6/6	3/3	1/1	0/1		5/12
RAL SPACE		10/10	2/2	0/0				0/0	1/1	0/0	2/2		7/7	1/1	7/7			0/2		1/3
ASTEC	2/2	1/1	0/0	0/0			8/8	1/1	2/3		2/2		8/8	1/1	2/2					1/1
UKATC		2/2	0/1	0/0				0/0	3/3	1/1	2/2		3/5		0/0			0/1	0/3	0/3
SO - Programmes																				
Strat Plan & Comms																				
PPD						5/5							6/6			3/3				
SCIENTIFIC COMP.													0/7							
FINANCE																				
RCaH	3/3	1/1	0/0	1/1				1/1	2/2				16/16		3/3					6/6
Cockcroft		0/0	0/0	0/0				0/0	0/0											
BID	1/1	0/0	0/0	0/0				0/0	2/2		0/0		5/7	0/[illegible]	1/6					3/7
ING																				
Hartree																				
TOTALS	15/16	28/29	19/21	11/16	34/46	6/7	26/31	18/20	40/48	18/26	14/19	4/5	78/107	32/51	31/45	14/24	3/12	2/43	0/14	20/84

Shaded audit titles:
Green - Substantial
Yellow - Moderate
Orange - Limited

Coloured numbers:
Red - Awaiting management response
Amber - In progress with some actions remaining outstanding
Green - Completed

Safety, Health and Environment

Audit action process

Audit committee report - by department

Department	Awaiting management response	In progress: Overdue 90+ days	In progress: Overdue 60+ days	In progress: Overdue 30+ days	In progress: Not overdue	Completed	Grand total
CLF	0	0	0	0	7	31	38
ISIS	15	6	1	0	15	36	73
Digital Infrastructure	17	0	0	0	0	2	19
Estates	21	18	0	0	14	75	128
HR	0	0	0	0	0	0	0
SHE GROUP	15	32	10	0	36	90	183
TECHNOLOGY	1	0	0	0	7	49	57
RAL SPACE	2	0	0	0	2	31	35
ASTEC	0	1	0	0	0	28	29
UKATC	7	0	0	0	2	12	21
SWINDON OFFICE - Programmes	0	0	0	0	0	0	0
Strat Plan & Comms	0	0	0	0	0	0	0
PPD	0	0	0	0	0	14	14
SCIENTIFIC COMPUTING	7	0	0	0	0	0	7
FINANCE	0	0	0	0	0	0	0
RCaH	0	0	0	0	0	33	33
COCKCROFT	0	0	0	0	0	0	0
BID	0	5	0	1	9	12	27
ING	0	0	0	0	0	0	0
Hartree	0	0	0	0	0	0	0
Grand total	85	62	11	1	92	413	664

Science and Technology Facilities Council
Safety, Health and Environment

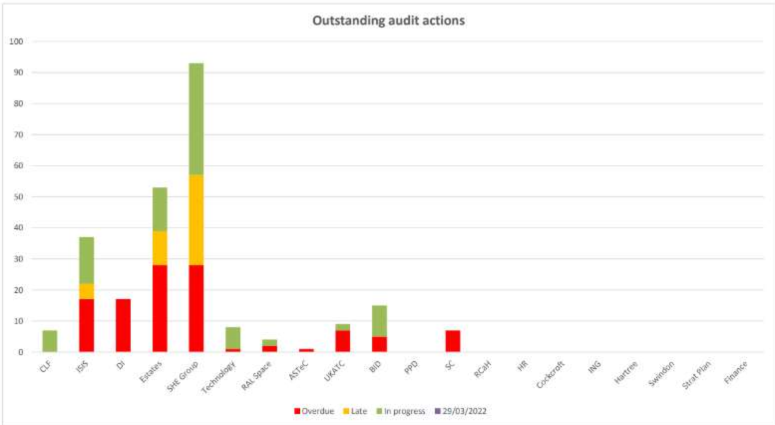
Audit action process

Audit committee report - by audit

Audit	Audit report date	Awaiting management response	In progress: Overdue 90+ days	In progress: Overdue 60+ days	In progress: Overdue 30+ days	In progress: Not overdue	Completed	Grand total
Controlled and hazardous waste	01-Feb-22	31	0	0	0	33	20	84
Controlling pollution	01-Jan-22	5	0	0	0	9	0	14
Electrical safety management	01-Dec-21	29	0	0	0	12	2	43
Radioactive waste	01-Nov-21	0	0	0	0	9	3	12
Sealed sources	01-Nov-21	0	0	0	0	10	14	24
Testing of electrical equipment	01-Jun-21	0	0	1	0	13	31	45
Control of legionella	01-May-21	0	10	8	0	1	32	51
Lone working	01-Apr-21	14	12	0	1	2	78	107
First aid	01-Feb-21	0	1	0	0	0	4	5
COSHH	01-Feb-21	0	3	2	0	0	14	19
Buildings and premises	01-Aug-20	0	6	0	0	2	18	26
Management of contractors	01-Aug-20	6	2	0	0	0	40	48
LELA	01-May-20	0	2	0	0	0	18	20
Static magnetic field	01-May-20	0	5	0	0	0	26	31
PPD All Code	01-Apr-20	0	1	0	0	0	6	7
H&S management system	01-Mar-20	0	11	0	0	1	34	46
Code 27 - Hazardous substances	01-Mar-19	0	5	0	0	0	11	16
Code 11 - Confined spaces	01-Mar-19	0	2	0	0	0	19	21
SC 09 - Work at height	01-Feb-18	0	1	0	0	0	28	29
SC 20 - Flammable gases and dusts	01-Feb-16	0	1	0	0	0	15	16
Grand total		85	62	11	1	92	413	664

Science and Technology Facilities Council
Safety, Health and Environment

Audit action process



Safety, Health and Environment

Audit action process

Digital Infrastructure

Contractors	Min	7.11.1	Aug-20
Contractors	Min	7.11.3	Aug-20
Contractors	Min	7.11.7	Aug-20
Contractors	Rec	7.11.2	Aug-20
Contractors	Rec	7.11.4	Aug-20
Contractors	Rec	7.11.5	Aug-20
Lone working	Min	7.11.2	Apr-21
Lone working	Min	7.11.3	Apr-21
Lone working	Min	7.11.5	Apr-21
Lone working	Rec	7.11.4	Apr-21
Lone working	Rec	7.11.6	Apr-21
Lone working	Rec	7.11.8	Apr-21
Lone working	Rec	7.11.9	Apr-21
Electrical safety	Rec	5.1	Dec-21
Electrical safety	Rec	5.2	Dec-21
Electrical safety	Rec	5.3	Dec-21
Electrical safety	Rec	5.4	Dec-21

UKATC

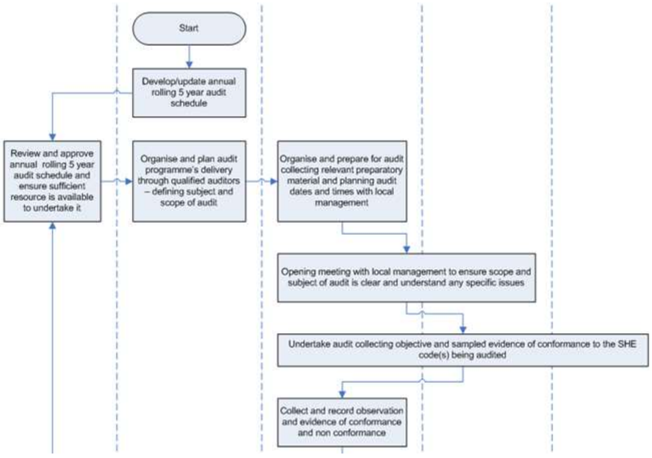
Electrical safety	Rec	8.1	Dec-21
Pollution	Minor	6.2.2	Jan-22
Pollution	Minor	6.2.3	Jan-22
Pollution	Rec	6.2.1	Jan-22

Safety, Health and Environment

Summary and questions – ROB & MIKE

STFC Internal SHE Compliance Auditor Course

STFC SHE Audit Process #1



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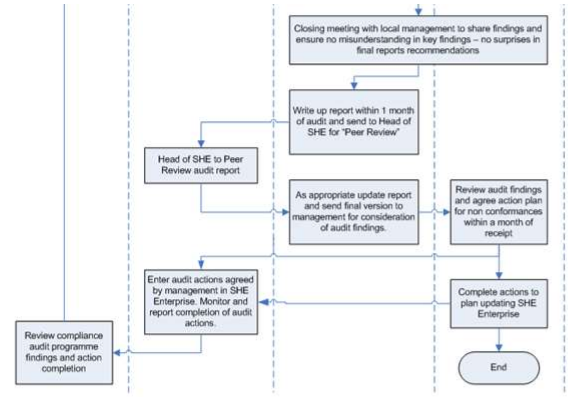
Safety, Health and Environment

STFC SHE Audit Process #2



Safety, Health and Environment

Questions

Safety, Health and Environment