

Appendix 3 Guidance for instigating SHE System Audits

It is anticipated that SHE System Audits will be undertaken by auditors independent of the STFC employing their own protocols and methodologies.

Their remit will be to: *assess whether the STFC SHE Management System meets STFC needs and legal requirements and identify opportunities for its improvement.*

The use of HSG65 will likely form the basis of such assessments by independent auditors, addressing the following areas:

Policy

- Does the SHE Policy set a clear direction for the STFC?
- Does policy indicate how safety management is organised and who is responsible for SHE at all levels?
- Has it been effectively communicated to staff and others to whom it is relevant?
- Are the SHE policy objectives clear? Can they be achieved?

Organisation

- Do management and staff understand their SHE responsibilities?
- Are staff at all levels involved in SHE related activities or management?
- Is SHE training undertaken?
- Is SHE management a recognised competence within the organisation?
- How is information on hazards and risks communicated to staff and others in their workplaces?
- Are employee representatives involved in the STFC SHE management system?

Planning and implementation

- How are hazards and risks identified and assessed?
- Is there a plan setting objectives, responsibilities and timescales for improvement in SHE performance?
- How has this plan been acted on?

Measuring performance

- Is there a balanced approach to monitoring SHE performance of input (leading) and outputs (lagging) metrics?
- Are SHE incidents reported? Are they reported promptly?
- Are SHE incidents investigated to minimise the potential for their recurrence?
- Are actions identified to minimise incident recurrence acted upon and implemented?
Is SHE performance communicated to staff and others?

Auditing and Reviewing Performance

- Is the SHE performance of the STFC and its component parts reviewed and reported?
- Does the organisation establish SHE improvement plans based upon a review of performance? can achievement of the plan be verified objectively?
- Does the performance of the organisation stand comparison with others? And best practise?
- Is the performance of the SHE Management System reviewed systematically through inspection and independent audit?
- Is the STFC engaged in continuous improvement in SHE performance?