

SECTION 2(8)

MONITORING AND AUDITING PERFORMANCE

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INTRODUCTION

Cost

The TUC has recently calculated that workplace injury and ill-health costs the average British family over £1,000 a year and that the cost to employers is estimated to be between £4,000 million and £9,000 million a year. Safety auditing is a positive and proactive means of checking the safety performance of the Council and its constituent departments. An audit - as in the field of accountancy - aims to disclose the strengths and weaknesses of the main areas of the Council's vulnerability or risk before a problem arises and so reduce injuries, ill-health and costs.

Auditing not inspecting

There is an essential difference between safety auditing and safety inspecting. One is often confused with the other. Safety inspections (hazard spotting) are day-to-day activities and sometimes wrongly referred to or even carried out as audits. Audits assess the organisation. They are not concerned with hazards as such but focus on the way hazards are managed. Audits confirm that the necessary systems to comply with legislation and to minimise risk are in place and are being followed. Auditing relies on sampling and does not check the validity of every entry.

Auditing not simple risk assessment

Auditing techniques attempt to identify risks before they lead to an event and to monitor the effectiveness of control measures. Whilst risk assessment of individual situations implies more prediction regarding likely outcomes from certain risks than is usual in a safety audit, both involve the identification of hazards and resultant risks. The audit concentrates more on the structure of the organisation and the ability to manage occupational safety and health in broad terms.

Frequency of auditing

Safety audits are to be carried out not less than every 12 months. Each Director is required to keep details of such reports in a Departmental "Register" and copy a summary of the report with details of any proposed actions to the Director Environment Department. Such reports must be kept for a period of not less than five years.

The results

Department Managers, representatives, etc should have sight of the results and the workforce should be informed of the findings. The results must be in an understandable form and comparable over time so that progress can be identified. Graphical presentations, eg: using histograms, are often easier to assimilate than other forms. For example, if a scoring system is used the overall scores from each topic of an audit can be plotted and summarised on a single sheet - low scoring areas requiring action can easily be spotted using this method.

Once an audit is finished, a cover sheet and summary sheets must be completed by the auditor. Example pro-formas are given in Appendices 1 and 2 and can be made available on disc but each auditor can develop their own (see Section 5 for pro-formas).

The auditor should highlight any areas of major cause for concern and any associated recommendations. The nature of some departments is such that the audits will be carried out on a section or work area basis and the forms should therefore reflect the situation in such section or area of work and not the department as a whole. Directors/Heads of Department are required

to comment as appropriate and forward a copy of the summaries to the Director Environment Department.

PERSONS TO CONDUCT THE AUDIT

Competent persons

Audits should be carried out by sufficiently competent persons. Competence in this context would mean someone who:

- has a good understanding of occupational safety and health issues;
- knows the work being carried out or has a good general knowledge of how an organisation works and can recognise structure and assimilate information relatively quickly;
- has good communication skills and has, or can elicit, co-operation from both the management and workforce to get answers.

An audit may involve one person, a team of managers, specialists or non-management employees. It may be considered that the line managers should audit their own area as they have an intimate knowledge of the work being carried out and carry the responsibility. However, a line manager should not audit in isolation, but should involve a more senior manager to check certain aspects before the report is finalised. Another school of thought is that the audit should be carried out by persons independent of the area being audited. Whoever carries out the audit must be competent to do so.

Selection and briefing of auditors

The briefing for auditors should allow for:

- selection of leader and other members;
- arrangement for specialist help if necessary, eg: occupational hygienist;
- use of audit to train new auditors;
- choose the person to write the report and the method of recording the results of the audit;
- use of camera, videos, tape recorders, etc.

HOW TO AUDIT

Definition

A definition of a safety audit could be “a set of structured questions each with a numeric weighting whose answers should be yes or 100% and which provide a systematic review of safety performance”.

Carrying out the audit

This must be done in conjunction with the staff actually doing the job. A way of approaching an audit of an area or work task is to:

- speak to the senior person and explain that you intend to carry out an audit, talk to some staff and then come back to them;

- carry out a visual inspection;
- go back and interview the senior person and ask for permission to interview say 2 others;
- interview the 2 operational staff;
- go back to the senior persons and ask to see relevant records;
- write the report.

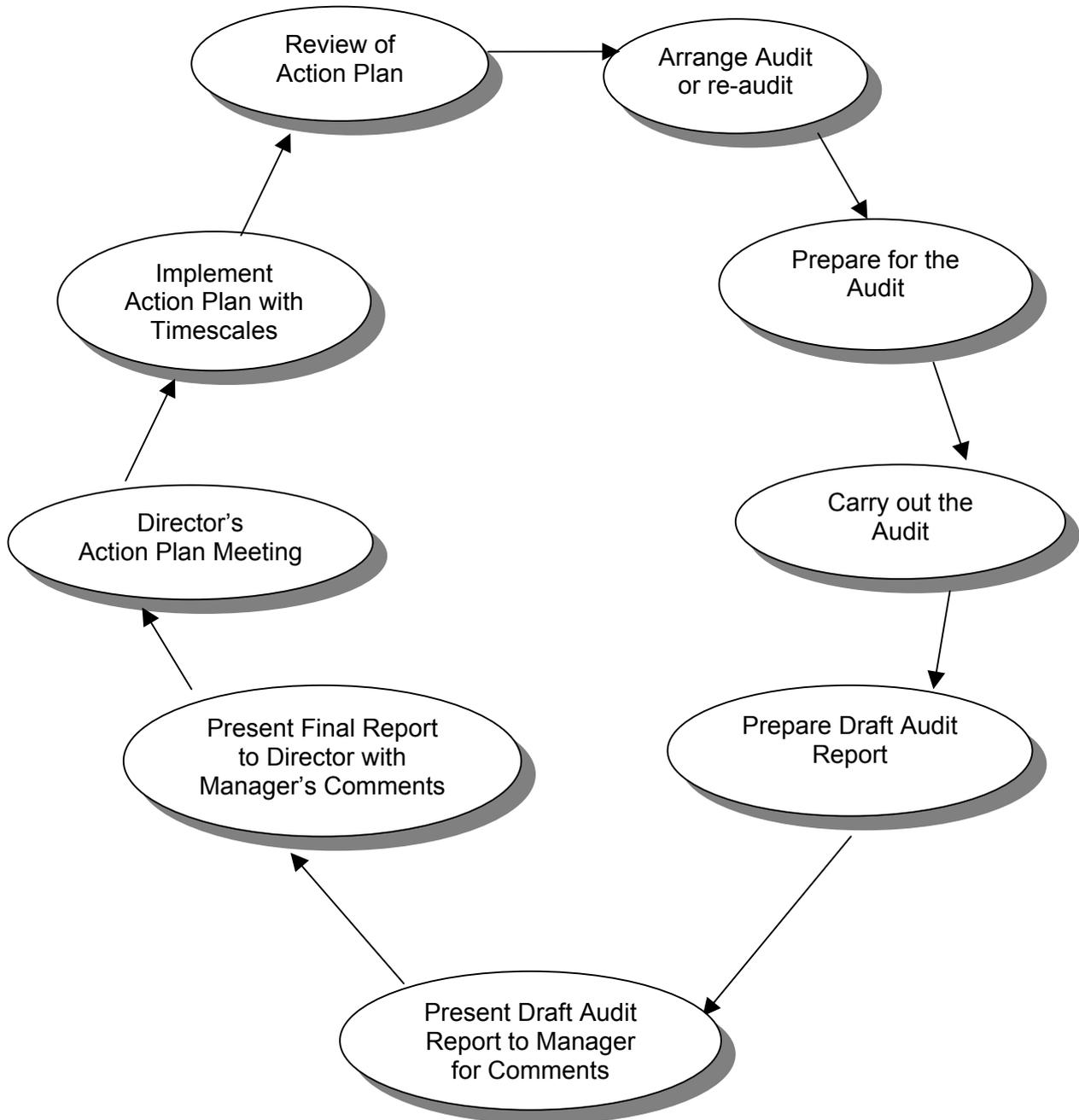
Audit questions

Some examples of areas to audit and starting questions can be found in Appendix 2. Typically an audit can be carried out by starting with a list of standard questions, supplementing these and then tailoring them for future audits to suit the particular part of the organisation being audited. As a simple starting point, performance can be compared with existing criteria, eg: safety rules, safety policy statements, codes of practice, contractual documents, etc. The auditor can score a question, a statement or the standard of performance against an ideal standard.

Scoring questions

Questions can be scored as to how positive the answer is. Statements can be scored on how true they are, eg: 1 for an untrue statement and 10 for a completely true one. Questions or statements need to elicit evaluation and be either all positive or all negative to avoid confusion in scoring. For example, a positive statement could be “safety policy regularly reviewed to incorporate changes in work activity”; a negative way would be “guards on machines show signs of tampering/removal”. Positive questions are easier to use and recommended. Summing the scores gives an overall result for that section of the audit. When the score is low this can be compared with the total for the same questions on that area the following year which should show an improvement. Scoring the same question in different work areas can provide a comparison between how well, for example, various sections in a department are performing.

Flow Chart for Auditing Performance



PREPARING FOR THE AUDIT

Preparation of an audit plan

The plan should allow for:

- obtaining and reading any previous audit reports on department being audited;
- consideration of work and/or areas to be audited;
- timetable and itinerary;
- notification of those in charge of areas to be audited;
- scope of audit listing areas to be omitted or given special emphasis, eg: training, outside contractors, etc.;
- procedure for seeking feedback from those concerned in areas where there have been adverse comments.

AUDIT CONTENT

An audit programme

Regard must be given to the Council's Health, Safety and Welfare Policy and the details of previous audits when making an audit. Safety audits subject an area of activity or a work area to a systematic and critical examination. Every component of the Council's activities should eventually be included, for example: policies, attitudes, training, process feature, design features, layout, construction of plant, operating procedures, emergency plans, personal protection standards, accident records, and so on. This can be on a rolling programme which would include every part of the operation over, say, a few years. Not everything can or should be examined in depth straightaway - a vertical slice. A broad look - a horizontal slice - will be sufficient, particularly for an initial audit of an area or work task although this may lead to an in-depth examination if the initial findings suggest it is necessary.

Management areas to be included

An audit programme should assess the following key elements of health and safety management:

- policy - its intent and scope;
- the organisation including:
 - the acceptance of health and safety responsibilities by line managers and the adequacy of arrangements to secure control;
 - the adequacy of the arrangements to secure the involvement of all employees in the health and safety effort;
 - the adequacy of arrangements to secure the communication of policy and relevant information;
 - the adequacy of arrangements to secure the competence of all employees;

- planning and policy implementation including:
- overall control and direction of the health and safety programme;
- standard setting;
- the allocation of resources to implement standards;
- the extent of competence with standards and their effectiveness in risk control;
- the long-term improvement in the incident and accident performance;
- measuring systems - their adequacy and relevance;
- reviewing systems and the ability of the organisation to learn from experience and improve performance.

Essentially, the aim of all safety audit procedures is to identify potential hazards, involving personnel, plant, services and operating methods. To ensure that health and safety performance standards comply not only with legal requirements, but also with the Council's Health, Safety and Welfare Policy and the guidance in the Manual.

Areas for the current audit

The areas to concentrate on during an audit should be:

- action found necessary from the last audit;
- how hazards found as a result of high incident/accident rates are managed;
- how hazards that you know present the most risk are managed;
- areas/work activities/legislation etc not examined last time and to be examined as part of a rolling programme;
- some chosen aspects of your health and safety management strategy, structure and systems;
- the resources available bearing in mind the Council's policy, the risks and the legal obligations.

THE AUDIT REPORT

Report requirements

- clear definition and precise location of every subject commented upon;
- clarity of comments and recommendations;
- ordered presentation by both area and subject;
- clear distinction of the gravity attached to any particular finding (NB: any immediate hazards found should be dealt with immediately).

Review of audit findings

The auditor's comments should always be justifiable and the findings should allow for:

- opportunity for those in charge of areas where there have been criticisms to comment on them;
- discussion and agreement on what needs to be done to remedy any shortcomings found during the audit.

Implementing follow up action

Management should:

- minute agreed action directives to those concerned;
- implement action plan with timescales;
- sanction the release of necessary resources to enable action to be completed;
- set time limit for completion;
- call for reports of progress from affected managers;
- review of action plan meeting minutes and update;
- modify standards and procedures in accordance with audit recommendations;
- counsel/train managers falling short of set objectives and standards;
- ensure training/awareness is modified as necessary to implement audit findings;
- programme appropriate checks as part of next audit.

SAFETY REPORT (Cover Sheet)

Manager's Name

Department

Section

Activity/Area Audited

Department Address

**Address of Site
(if different)**

Date(s) of Survey

Name of Auditor

Summary circulated to:

Audit Function	Response	Action	By Whom	Completion
<p>A SAFETY POLICY/MANAGEMENT ACCOUNTABILITY</p> <p>Does a Health & Safety Policy exist for the Section and has it been kept updated?</p> <p>Are management/employee responsibilities realistic/implementable?</p> <p>Are all managers made aware of and do they accept responsibilities for Health and Safety at Work?</p> <p>How is management performance in terms of Health and Safety monitored and assessed and is corrective action taken when required?</p> <p>Have all employees been made aware of the Health and Safety Policy and any changes to it?</p> <p>How are the various procedures relating to occupational Health and Safety documented (first aid, fire procedures, emergency procedures, safety systems of work, training etc)?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>B PERSONAL RESPONSIBILITIES</p> <p>Have personal responsibilities been defined in writing for each level of employee?</p> <p>Is someone responsible at senior management level to regularly review and update these documents?</p> <p>Are arrangements in place to communicate these responsibilities to each employee including particular on-the-job responsibilities?</p> <p>Is there a clear and easy to understand record of communicating their personal responsibilities to each employee?</p> <p>Are there formal arrangements for communicating relevant responsibilities to each new starter and to employees that move from one category of work to another?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>C PURCHASING AND ENGINEERING CONTROLS</p> <p>Have formal procedures been made for monitoring and controlling purchase of hazardous chemicals and other substances?</p> <p>Is there a procedure for identifying potential Health and Safety problems?</p> <p>Are there procedures to ensure that training is provided for all employees required to operate new plant or equipment or substances?</p> <p>Are arrangements in place for work activities, including use of plant machinery and equipment, to be examined for Health and Safety factors?</p> <p>Is there an arrangement for the design and layout of any future permanent workplace examined for Health and Safety factors prior to finalising?</p> <p>Are their procedures for determining a safe system of work for future work schemes?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>D PERSONAL PROTECTIVE CLOTHING AND EQUIPMENT</p> <p>What procedure is used for the issuance of appropriate protective clothing and equipment to each employee?</p> <p>Is the issue of protective items rigidly enforced with appropriate action taken against offenders? Is such enforcement properly recorded?</p> <p>Are employees formally instructed in the correct use and maintenance of protective equipment with adequate records maintained of that instruction in accordance with the relevant statutory provisions?</p> <p>Is there a formal inspection and replacement programme for protective items in accordance with the relevant statutory provisions?</p> <p>Which person/persons are specifically nominated to undertake this work?</p> <p>Is the purchaser of protective equipment aware of all relevant statutory provisions in relation to this task?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>E ACTION PLAN</p> <p>Does a current/objective action plan exist with target dates which adequately cover the real problem of the section/department?</p> <p>How is progress monitored and the plan updated?</p> <p>Is satisfactory progress being made in achieving the set objectives within the set time limits within the resources available?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>F SITE SAFETY RESPONSIBILITIES</p> <p>Does the section have a person specifically allocated the responsibility of Health and Safety requirements?</p> <p>Is there a person specifically responsible for site/building Health and Safety requirements?</p> <p>Is this person adequately trained in safety matters?</p> <p>Does this person have adequate knowledge of the section and section work processes?</p> <p>Does this person appropriately participate in the promotion of Health and Safety within the section?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>G CONSULTATION</p> <p>Is there a formal forum for regular consultation between management and other employees on Health and Safety matters? Does this forum have a written procedure (Consultation)?</p> <p>Is there a formal procedure for employees to raise matters through this forum?</p> <p>Is there a follow-up system to ensure that appropriate action is taken from matters arising from this forum?</p> <p>Are written records maintained of these meetings available to all levels of management and employees?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>H HOUSEKEEPING/STORAGE</p> <p>Are entrances, roadways, gangways, exit doors etc. kept clear of materials and adequately signed and marked?</p> <p>Are internal work areas kept clean and tidy with suitable waste bins provided?</p> <p>How is waste safely disposed of, particularly chemical waste?</p> <p>Are all materials stacked and stored safely and where necessary clearly labelled?</p> <p>Are building floors and structure adequately and safely maintained?</p> <p>Are all electrical installations inspected for conformity in accordance with the Electricity at Work Regulations?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>I SYSTEMS OF WORK</p> <p>Are there written Health and Safety rules for each activity requiring a written system of work?</p> <p>Are there arrangements for the documents to be communicated to all appropriate existing and new employees?</p> <p>Are there arrangements for the documents to be reviewed and amended by a nominated person at regular intervals?</p> <p>Are person/persons specifically nominated for assessing the need and producing these documents?</p> <p>Are manual/mechanical handling procedures satisfactory and arrangements in place for staff to be trained in the proper methods?</p> <p>Are there arrangements to ensure that manual/mechanical handling procedures are in accordance with the relevant statutory provisions?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>I SYSTEMS OF WORK (contd)</p> <p>Are there arrangements to ensure that statutory requirements are complied with regard to any machinery used?</p> <p>Are there arrangements to ensure that electrical/mechanical maintenance, including any safety systems, is in accordance with the relevant statutory provisions?</p> <p>Are there arrangements to ensure that staff are provided with suitable personal protective clothing, breathing equipment, eye wash bottles, emergency showers etc as necessary in accordance with the relevant statutory provisions?</p> <p>Are records of safety inspections of personal protective equipment kept?</p> <p>Are there arrangements to train staff in the correct use of personal equipment, eye wash bottles, emergency showers etc in accordance with the relevant statutory provisions?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>J HANDLING SUBSTANCES HAZARDOUS TO HEALTH/FLAMMABLE/CHEMICALS</p> <p>Are the statutory requirements codes of practice complied with regarding the storage handling and processing of hazardous substances/chemicals and waste?</p> <p>Are all flammable containers (drums, tanks etc) adequately labelled of suitable construction and banded or enclosed in compounds as necessary in accordance with the relevant statutory provisions?</p> <p>Are all other chemicals suitably labelled safely stored with bunds/compounds where necessary and safely handled with the necessary protective clothing in accordance with the relevant statutory provisions?</p> <p>Are safety hazard data sheets available for all hazardous/flammable chemicals used within the section covering hazards, first aid treatment, protective clothing and procedures dealing with spillages in accordance with the relevant statutory provisions?</p> <p>Are all personnel adequately trained in the use, handling and storage of chemicals in accordance with the relevant statutory provisions?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>K ACCIDENTS / DANGEROUS OCCURRENCES / FIRES</p> <p>How have the in-house accident/dangerous occurrence reporting procedures been implemented for the section?</p> <p>How have the requirements of the accident/dangerous occurrence procedures (to the enforcing authority) been implemented within this section?</p> <p>How are all actual/potential accidents/dangerous occurrences, fire and material losses investigated? Is an action plan for remedial action implemented?</p> <p>Are potential hazards identified and corrective measures taken?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>L CONTRACTORS</p> <p>How are procedures for control of contractors monitored?</p> <p>Are procedures made for all contractors on all occasions and who is responsible for ensuring that contractors work to procedures provided?</p> <p>How are contractors made aware of specific hazards when working on site and how are their personnel trained/ briefed?</p> <p>Are contractors required to submit details of their Health and Safety policy prior to engagement/commencement of work?</p> <p>Do contractors provide safe systems of work documentation prior to commencing any contract work?</p> <p>Do negotiations take place with the site Safety Officer regarding contractor's performance?</p> <p>What in-house procedures are available for monitoring contractor's safe systems of work?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>M FIRE PREVENTION AND EMERGENCY PROCEDURES</p> <p>How is the major emergency procedure implemented within your section?</p> <p>Are all personnel fully trained in emergency procedures?</p> <p>Are adequate fire procedures available and posted throughout the section? Are all personnel aware of fire procedures within the section?</p> <p>Is the fire alarm system adequately tested and records kept?</p> <p>Are regular fire drills held and records kept?</p> <p>Is there adequate fire fighting equipment relevant to the site and processes provided? Is the fire fighting equipment within the section adequately maintained with records kept?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>N SAFETY AND JOB TRAINING / SUPERVISION</p> <p>Is there satisfactory induction training including Health and Safety for all personnel within the section?</p> <p>How are all levels of staff trained in Health and Safety legislation and how are amendments to the relevant statutory provisions communicated?</p> <p>Is the general training on specific aspects of safety for example the use of fire-fighting equipment satisfactory at all levels?</p> <p>How are records of training with relation to Health and Safety kept and maintained?</p> <p>Is the supervision of employees in relation to Health and Safety satisfactory for all work processes within the section?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>O ENVIRONMENTAL</p> <p>Are the general environmental conditions, for example lighting, heating, vibration, etc satisfactory and under control?</p> <p>Are standards in relation to control of dust, fumes or smell satisfactory and is ventilation equipment satisfactory and operating?</p> <p>Are noise levels satisfactory and what steps have been taken to attenuate noise and/or provide personnel with protective equipment in accordance with the relevant statutory provisions?</p> <p>Is an adequate supply of drinking water readily available and labelled?</p> <p>Are washing and toilet facilities adequate?</p> <p>Is the fabric of the building generally in good order?</p> <p>Is a "no smoking" policy in force in part or all of the accommodation occupied by personnel?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>P FIRST AID / MEDICAL WELFARE</p> <p>Is there an adequately stocked first-aid box readily available to all employees?</p> <p>Is a person specifically nominated to replenish the first-aid box as necessary?</p> <p>Have a sufficient number of trained first aiders or appointed persons been formerly identified and trained?</p> <p>Is there a satisfactory procedure for dealing with specific emergencies in relation to first aid and are arrangements in accordance with relative statutory provisions?</p> <p>Is a first aid room/sick room readily available to staff?</p> <p>What supervisory procedures exist in the event of illness/accident involving a member of staff?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>Q OFFICE SAFETY</p> <p>Is the housekeeping of offices to a satisfactory standard and all corridors and exits kept clear?</p> <p>Is the standard with regard to tripping hazards satisfactory with particular reference to electrical equipment and power points?</p> <p>Are adequate precautions taken in the use of office equipment and are personnel aware of these?</p> <p>Are work stations designed ergonomically to prevent, for example, repetitive strain injury?</p> <p>Are VDU workstations designed and used in accordance with the relevant Health and Safety guidance and are operators aware of safety aspects?</p> <p>Is the fabric of the building generally in good order?</p>				

Audit Function	Response	Action	By Whom	Completion
<p>R AREAS TO WHICH THE PUBLIC RESORT</p> <p>What arrangements have been made for the evacuation of members of the public and visitors from the premises in case of emergency?</p> <p>Do conditions exist that could jeopardise the health, safety and welfare of any member of the public in any area or offices to which they have access?</p> <p>Is there an adequate reporting and recording procedure for accidents, dangerous occurrences or incidents as sustained by any member of the public whilst on Council premises?</p>				

Audit Function	Response	Action	By Whom	Completion
S STAFF SECURITY What arrangements are there for securing the health, safety and welfare of staff working alone? Do conditions exist that place members of staff in danger of attack or physical abuse from a member of the public?				