



Five Star Process Safety Audit

Specification October 2017

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1.

Introduction to the Five Star Process Safety Audit model

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

The Five Star process safety Audit process involves an in-depth examination of an organisation's entire process safety management system(s) and associated arrangements.

Process safety management is the way an organisation manages and mitigates the risk of a catastrophic incident. Such incidents have the potential to harm, injure or kill large numbers of people, including members of the public, cause significant damage to business assets, the environment and to business reputation.

The audit examines the whole of an integrated occupational management system with a particular focus on the key aspects of managing process safety in the workplace and offers a structured path for continual improvement towards best practice status.

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

Five Star Process Safety Audit: 2017 specification



Five Best Practice Indicators:

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

2.

Five Star Audit process

The Five Star Process Safety Audit is carried out using the following process of objective verification:

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

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

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

Five Star Process Safety Audit 2017: Delivery Process



3.

Scoring and grading system

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

The overall audit grading is as follows:

Marks %	Star rating
92 – 100: Excellent (best practice verified in most elements)	★★★★★
85 – 91.9: Very good (best practice verified in many elements)	★★★★
75 – 84.9: Good (best practice verified in some elements)	★★★
60 – 74.9: Adequate (significant improvements required to achieve best practice)	★★
50 – 59.9: Less than adequate (extensive improvements required to achieve best practice)	★

The Five Star Process Safety Audit process focuses on five sections (65 elements) and five best practice indicators (BPI) as shown below:

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

BPI 1: Leadership

BPI 2: Stakeholder participation

BPI 3: Risk management

BPI 4: Organisational health and safety culture

BPI 5: Continual improvement

The five sections of the audit are divided into 65 elements which attract a maximum numerical value of 5,000 points. Several of these elements are considered as essential components within a best practice process safety management system, reflected by their inclusion within more than one section of the audit model. Wherever an element of the audit is not applicable to the organisation, it is excluded from the audit.

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

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

4.

Audit report and action planning

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

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

The recommendations against the requirements of the Five Star process safety audit specification are presented in tabulated colour coded format as per the key below:

Colour code	Priority	Definition
	High: Less than 60% awarded in this element	Recommendations to be implemented as a High priority action
	Medium: Between 60% and 100% awarded in this element	Recommendations to be implemented as a Medium priority action
	Low: 100% awarded in this element	Monitor existing arrangements in this area to demonstrate continual improvement
	Not applicable	The requirements of this element are not applicable

The **green** coded area indicates **full marks** have been awarded in respect of the Five Star scoring criteria. The organisation should continue to monitor these elements in order to maintain best practice.

The **amber** coded area indicates were **some** marks have been deducted.

The **red** coded area indicates were **significant** marks have been deducted in respect of the Five Star scoring criteria.

Wherever marks have been deducted, a recommendation will be provided that, if followed and effectively implemented, will assist the organisation in working toward best practice standards.

The action planning tables are also designed to allow the organisation to plan for implementation of the recommendations by self populating the relevant columns as appropriate.

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

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

5.

Preparing for the audit

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

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

This specification document (see section 8) outlines the various forms of information and documentation that the auditor is likely to request for review, together with personnel who may be requested for interview.

It would be advantageous if documentation is readily available (either electronically or in hard copy) for the auditor. Some of this material may be retained by the auditor during the audit process (with explicit consent of the auditee).

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

6.

Standardisation and quality assurance

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

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

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

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

Element headings

Plan	Do	Check	Act	
Section 1 Organisational Commitment and structure (750 points)	Section 2 Strategic planning (1,125 points)	Section 3 Implementation and operation (1,500 points)	Section 4 Performance evaluation (1,125 points)	Section 5 Senior (top) Management review and continual improvement (500 points)
1.01 Scope, nature and scale of occupational health and safety management system	2.01 Status assessment (including benchmarking)	3.01 Implementation of risk assessment and operational health and safety controls	4.01 Monitoring of occupational health and safety objectives and process safety strategy	5.01 Senior (top) management review process (includes process / OH&S objective setting and programmes)
1.02 Occupational health and safety, MAPP or equivalent policy statement	2.02 Process safety strategy, Occupational health and safety objectives and planning	3.02 Safe operating procedures (safe systems of work)	4.02 Monitoring and analysis of asset management	5.02 Review of effectiveness of leadership, resources and support
1.03 Structure (roles, responsibilities, accountabilities and authorities)	2.03 Provision of resource and support	3.03 Permit (and authorisation) to work systems	Proactive measurement 4.03 Auditing and Inspection (internal and external)	5.03 Continual improvement (evaluation and planning)
1.04 Competence and capabilities	2.04 Strategic leadership and corporate governance (planning)	3.04 Management and control of work equipment	4.04 Risk assessment review	5.04 Corporate social responsibility
1.05 Leadership and corporate governance	2.05 Stakeholder engagement, participation and assurance (planning)	3.05 Manual handling	4.05 Evaluation of legislative (and other) compliance	
1.06 Stakeholder engagement, participation and assurance	2.06 Identification of hazards and improvement opportunities	3.06 Management and control of workstation ergonomics (including DSE)	4.06 Health surveillance monitoring	
1.07 Information and communication management	2.07 Risk Assessment and operational control	3.07 Workplace management (housekeeping, welfare, storage facilities, etc)	4.07 Monitoring of contractors, suppliers and outsourced function(s)	
1.08 Organisational commitment toward health and wellbeing	2.08 Plant and process design	3.08 Management of occupational road risk (including traffic and transport management)	4.08 Evaluation of effectiveness of information and communication management	
1.09 Change management	2.09 Designation of operational priorities	3.09 Safe Isolation	Reactive measurement 4.09 Accident, process safety incident, near miss report and investigation monitoring	
1.10 Legislative (and other) compliance	2.10 Change management (planning)	3.10 Working at height	4.10 Ill health and absenteeism monitoring	
	2.11 Competence management system	3.11 Lifting operations	4.11 Loss/damage analysis	
	2.12 Emergency arrangements (planning)	3.12 Management of Inventory of dangerous substances		

7.

Specification details cont.

Element headings

Plan	Do	Check	Act	
Section 1 Organisational Commitment and structure (750 points)	Section 2 Strategic planning (1,125 points)	Section 3 Implementation and operation (1,500 points)	Section 4 Performance evaluation (1,125 points)	Section 5 Senior (top) Management review and continual improvement (500 points)
	2.13 Management and control of contractors (planning)	3.13 Pressure systems		
	2.14 Asset management and procurement (planning)	3.14 Control of hazardous substances (including biological agents)		
	2.15 Occupational health and wellbeing (planning)	3.15 Management and control of asbestos		
	2.16 Planning for a positive health and safety culture	3.16 Management and control of electrical hazards		
		3.17 Management and control of noise		
		3.18 Management and control of vibration hazards		
		3.19 Personal protective equipment		
		3.20 Competence management systems (implementation)		
		3.21 Management of psychosocial hazards		
		3.22 Implementing a positive health and safety culture		
		3.23 Emergency arrangements (implementation) and controls		
		3.24 Fire safety management (protective and preventive controls)		

Five Star Process safety Audit 2017 : Specification details. (Please note: This table contains typical information likely to be reviewed during the audit process, but is not a definitive index).

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Organisational Commitment and process safety management system	<p>Explicit commitment within the OH&S, MAPP policy statement to:</p> <p>Prevention of major accidents and catastrophic incidents, mitigation of the consequences.</p> <p>Legislative (and other) compliance; continual improvement; periodic review; prevention of injury and ill health; provision of adequate resources; management of risk; consultation with stakeholders</p> <p>Policy readily available and provides the framework for occupational health and safety (OH&S) objective setting and is consistent with corporate values</p> <p>Endorsed by top management</p> <p>OHSMS is defined and suitably scoped including consideration of the full context of the organisation's activities</p> <p>Operational procedures and arrangements are clearly stipulated within the OHSMS</p> <p>Stakeholder awareness of policy and OHSMS content (verified through interview).</p> <p>Primary related elements (1.01)(1.02)(1.05)(1.10)</p>	<p>Policy statement consistent with subsequent OH&S objectives and planning</p> <p>Description of how OHSMS elements interlink with each other and how process safety is integrated with SMS.</p> <p>Evidence of OHSMS planning aligned with overall business strategy and processes</p> <p>Evidence of OHSMS status assessment</p> <p>Evidence of internal and/or external OHSMS performance benchmarking</p> <p>OHSMS programme/plan</p> <p>OHSMS is capable of delivering appropriate risk control and mitigation.</p> <p>Evidence of strategic leadership and provision of suitable resources and support</p> <p>Primary related elements (2.01)(2.02)(2.03)(2.04)(2.05)(2.09)</p>	<p>Policy statement readily available to, and understood by, all levels of management, staff and other stakeholders (verified through interview)</p> <p>Senior managers visible and engaged in risk management</p> <p>Training and induction records</p> <p>Effective implementation of OHSMS through observation and interviews</p> <p>Effective implementation of risk assessment and controls (sampling)</p> <p>Primary related elements (3.01)(3.02) remainder of applicable section 3 elements</p>	<p>Review of training records</p> <p>Interviews with senior management</p> <p>Accident/incident/near miss/non-conformance analysis</p> <p>Corporate and other management reports</p> <p>Minutes from management and other relevant meetings</p> <p>Inspection and audit reports</p> <p>Evidence of risk assessment review</p> <p>OH&S objectives and programme monitoring</p> <p>Evaluation of legislative compliance</p> <p>Primary related elements (4.01)(4.02)(4.03)(4.04)(4.05)(4.09)(4.10)(4.12)</p>	<p>Evidence that senior (top) management carry out a formal review of OHSMS performance</p> <p>Evidence of policy statement reviewed</p> <p>Evidence of strategy planning reflective of top management review and outcomes</p> <p>Evidence of learning from others in the sector and sharing information and intelligence.</p> <p>Interview with top management</p> <p>Corporate health and safety reporting</p> <p>Primary related elements All elements in this section</p>

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Structure (Roles, responsibilities, accountabilities and authorities)	Defined roles and responsibilities within OHSMS Defined organisational structure	Defined roles and responsibilities within OHSMS OH&S and process safety objectives (organisational and individual)	Evidence of effective supervision and role competency Training records CPD programmes	Evaluation of training records Confirmation of awareness, understanding and development of job roles through interview and appraisal records	Regular CPD/appraisal reviews Role development plans
Leadership and corporate governance	Appointed top level management responsible for OH&S Policy and MAPP statement endorsed by top level management Demonstrable commitment (verified through interview) at all levels Ownership of relevant process safety issues by top management Primary related elements (1.01)(1.02)(1.03)(1.05)(1.06)(1.08)(1.10)	Appraisal planning Role development Responsible actions allocated within process safety planning Demonstrable involvement in status assessment process Demonstrable support for lines of responsibility Evidence of stakeholder engagement (minutes of meetings, training etc.) Evidence of managing change Demonstrable involvement in promoting positive health and safety culture Primary related elements (1.06)(2.01-2.08)(2.11)	Employee understanding and awareness (verified through interview and inspection) Senior managers visible and engaged in process safety management. Appraisal records Suitable levels of supervision and resource Evidence of effective management of operational risk (including psycho-social) Evidence of participation in process safety of non-managerial roles Primary related elements All applicable elements in this section	Accident/ process safety incident statistics, ill health, non-conformance monitoring and analysis Review of process safety objectives and plans Demonstrable evidence of management involvement (minutes of meetings, investigations, site inspections, risk assessment, etc.) in the evaluation of relevant performance indicators Primary related elements All elements in this section	Improvement planning Records of management review Corporate reports include reporting on process safety performance Primary related elements All elements in this section

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Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Plant and Process Design	<p>Clear design intent for inherent safety and fail to safe shutdown.</p> <p>Mitigation of consequences of a major accident an integral part of design intent.</p> <p>ALARP principles adopted</p> <p>Primary related elements (1.01)(1.02)</p>	<p>Inherent safe design as a central principle of the plant and systems specification.</p> <p>Risk assessment drives plant design.</p> <p>Structured hazard identification and risk assessment methodologies followed in design eg HAZOPs, QRA, LOPA studies.</p> <p>Intelligent customer when contracting in plant, equipment and support.</p> <p>Interfaces with people (operators, maintenance contractors) and human factors fully considered during design.</p> <p>Safety integrity levels set according to inherent risk.</p> <p>Hazardous area classification / ATEX compliance.</p> <p>Protection against cyber attack inherent in design.</p> <p>Safe shutdown and mitigation integrated into design.</p> <p>Primary related elements (2.04)(2.06)(2.07)(2.08)(2.09)(2.12)(2.14)</p>	<p>Inherent design and mitigation validated during commissioning</p> <p>Plant operated and maintained to inherent design concept.</p> <p>Management of change ensures design integrity maintained</p> <p>Shutdown systems tested and validated</p> <p>Primary related elements (3.01)(3.02)(3.4)(3.06)(3.13)(3.23)</p>	<p>Issues and incidents related to design, commissioning, operation and maintenance recorded and investigated.</p> <p>Data logging and trend analysis</p> <p>Primary related elements (4.01)(4.02)(4.04)(4.04)(4.05)(4.07)(4.09)(4.11)</p>	<p>Improvements logged and reviewed.</p> <p>Technological and process safety advances across similar industries reviewed.</p> <p>Primary related elements (5.01)(5.03)</p>

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Designation of Operational Parameters	<p>Inherent commitment to maintenance of safe operational parameters.</p> <p>Primary related elements (1.01)(1.05)(1.10)</p>	<p>Systems and procedures designed to meet safe design intent.</p> <p>Risk assessment drives designation of operational parameters.</p> <p>Human factors and plant and process interfaces effectively integrated.</p> <p>Critical tasks and procedures identified.</p> <p>Normal and abnormal operational conditions clearly specified.</p> <p>Alarms management and controls designated to facilitate maintenance of safe operational parameters.</p> <p>Primary related elements (2.04)(2.06)(2.07)(2.08)(2.09)(2.11)(2.12)(2.14)</p>	<p>Plant operated within safe operational parameters.</p> <p>Alarm management systems optimized.</p> <p>Critical tasks, including action in abnormal / emergency situation clearly identified.</p> <p>Staff trained in critical tasks</p> <p>Primary related elements (3.01)(3.02)(3.4)(3.06)(3.13)(3.20)(3.23)</p>	<p>Excursions outside designed operating parameters, recorded, reported and investigated</p> <p>Investigation covers underlying causes of people, plant and processes as an integrated system.</p> <p>Primary related elements (4.01)(4.02)(4.04)(4.04)(4.05)(4.07)(4.09)(4.11)</p>	<p>Performance of the plant, operating systems and alarms, and shutdown systems reviewed.</p> <p>Improvements identify to reduce or eliminate challenges to the integrity of the plant and equipment</p> <p>Primary related elements (5.01)(5.03)</p>

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Information and communication management	<p>Policy/process for information control and communication management</p> <p>Clear link to quality management systems (if referenced)</p> <p>Evidence of effective communication of policy statement and content of OHSMS</p> <p>Primary related elements (1.01)(1.02)(1.03)(1.04)(1.05)(1.06)(1.07)</p>	<p>Process safety planning documentation and information consistent with policy requirements</p> <p>Training schedules</p> <p>Process safety objectives/programmes/plans</p> <p>Primary related elements (2.02)(2.03)(2.04)(2.06)(2.07)(2.09)(2.11)</p>	<p>Current information and documentation readily available</p> <p>Policy requirements verified</p> <p>Effective understanding and awareness of risk assessment, operational controls and procedures (verified through interview and observation)</p> <p>Primary related elements (3.02)(3.20)(3.21)(3.22)</p>	<p>Internal/external inspection and audit outcomes</p> <p>Evidence of effective document control</p> <p>Evidence of effective monitoring of change management process</p> <p>Evidence of effective monitoring of internal and external communication</p> <p>Primary related elements (4.01)(4.02)(4.08)</p>	<p>Top management review process safety performanceStakeholder involvement in continual improvement</p> <p>Corporate reports</p> <p>Records of management review</p> <p>Primary related elements (5.01)(5.04)</p>
Stakeholder consultation and participation	<p>Policy/process for consultation with stakeholders (internal and external)</p> <p>Policy/process for stakeholder participation in policy and process safety management system development</p> <p>Organisational structure</p> <p>Defined roles and responsibilities</p> <p>Consultation and participation in change management</p> <p>Primary related elements (1.01)(1.02)(1.03)(1.05)(1.06)(1.09)</p>	<p>Evidence of stakeholder involvement in process safety objective setting, planning and risk management process, including emergency planning</p> <p>Schedule for OH&S committee meetings</p> <p>Terms of reference for stakeholder forums</p> <p>Training schedule</p> <p>Primary related elements (2.02)(2.03)(2.04)(2.06)(2.07)(2.08)(2.11)</p>	<p>Evidence of stakeholder involvement in development of risk management and controls (verified through sampling, interview and review)</p> <p>Risk assessments</p> <p>Training records</p> <p>Evidence of OH&S committee meetings (and other such forums)</p> <p>Site induction records</p> <p>Permit to work records</p> <p>Primary related elements All elements in this section</p>	<p>Evaluation of training</p> <p>Evidence of completed actions arising from OH&S committee meetings (and other such forums)</p> <p>Evidence of completed actions arising from performance indicators (inspections, audits, accident investigations etc.)</p> <p>Evidence of monitoring of process safety objectives</p> <p>Primary related elements All elements in this section</p>	<p>Evidence of stakeholder involvement in management review process</p> <p>Communication of top management review</p> <p>Corporate reporting</p> <p>Internal reporting</p> <p>Audit reports</p> <p>Primary related elements (5.01)(5.03)(5.04)</p>

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Competence and capabilities	<p>Policy/process for ensuring competency requirements</p> <p>Defined roles and responsibilities</p> <p>Organisational structure</p> <p>Primary related elements (1.01)(1.02)(1.04)(1.05)(1.06)(1.10)</p>	<p>Training needs analysis</p> <p>Plan/programme for ensuring competency</p> <p>CPD/appraisal planning</p> <p>Mentoring/coaching plan</p> <p>Primary related elements (2.02)(2.03)(2.04)(2.05)(2.06)(2.07)(2.09)</p>	<p>Training records</p> <p>Evidence of trainer competency</p> <p>Training evaluation</p> <p>Role competency records</p> <p>Effectiveness of operational controls (verification through interview, observations)</p> <p>Risk assessment sampling</p> <p>Permit to work records</p> <p>Evacuation drill records</p> <p>Primary related elements All elements in this section</p>	<p>Accident/process safety incident analysis and investigation reports</p> <p>Audit findings</p> <p>Risk assessment reviews</p> <p>Statutory training compliance</p> <p>CPD maintenance</p> <p>Appraisal records</p> <p>Review of training records and schedules</p> <p>Primary related elements All elements in this section</p>	<p>Top management review</p> <p>Appraisal records</p> <p>Effective continual improvement process</p> <p>Review of statutory training requirements</p> <p>Primary related elements (5.01)(5.02)(5.04)</p>
Occupational health and wellbeing	<p>Policy/process for OH and wellbeing (including psycho-social hazards)</p> <p>Defined roles and responsibilities</p> <p>Demonstrable commitment (verified through interview) at all levels</p> <p>Ownership of relevant process safety issues by top management</p> <p>Primary related elements (1.01)(1.02)(1.04)(1.05)(1.06)(1.08)(1.10)</p>	<p>OH plan/schedule</p> <p>Lifestyle/wellbeing promotion plan/schedule</p> <p>Health surveillance schedules</p> <p>Training plan</p> <p>OH and wellbeing objectives</p> <p>Primary related elements (2.02)(2.03)(2.05)(2.08)(2.11)</p>	<p>Evidence of first aid provision (including equipment and personnel)</p> <p>Training records</p> <p>Health surveillance records</p> <p>Evidence of lifestyle and wellbeing promotion</p> <p>Return to work interviews</p> <p>Support mechanisms</p> <p>Risk assessments</p> <p>Primary related elements (3.01)(3.02)(3.05)(3.06)(3.07)(3.12)(3.13)(3.15)(3.16)(3.19)(3.20)</p>	<p>Accident/ill health/ absenteeism statistics</p> <p>Risk assessment reviews</p> <p>Stakeholder perception and awareness (interviews)</p> <p>First aid records</p> <p>Stakeholder surveys</p> <p>Health surveillance records</p> <p>Primary related elements (4.01)(4.02)(4.04)(4.06)(4.09)(4.10)</p>	<p>OH plan review</p> <p>Review and setting of process safety objectives</p> <p>Corporate reporting</p> <p>Primary related elements (5.01)(5.02)(5.04)</p>

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Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Change management	<p>Policy/process for management of change</p> <p>Defined roles and responsibilities</p> <p>Evidence of consultation with and participation of stakeholders with change management process</p> <p>Primary related elements (1.01)(1.03)(1.04)(1.06)(1.07)(1.09)(1.10)</p>	<p>Examples of planning for change (organisational and operational)</p> <p>Design and project plans</p> <p>Evidence of stakeholder consultation in planning for change</p> <p>Evidence of risk assessment for change management</p> <p>Primary related elements (2.03)(2.04)(2.05)(2.06)(2.07)(2.09)(2.10)</p>	<p>Effective risk control implementation (observation and review)</p> <p>Training records</p> <p>OH&S committee meeting minutes</p> <p>Risk assessment (change management sampling)</p> <p>Inspection and audit outcomes</p> <p>Primary related elements (3.01)(3.02)(3.03)(3.18)(3.19)(3.20)(3.21)</p>	<p>Effective monitoring of audit outcomes</p> <p>Inspection records</p> <p>Project meeting minutes</p> <p>Safety surveys</p> <p>Risk assessment reviews</p> <p>Effective understanding and awareness of amended risk assessment, operational controls and procedures (verified through interview and observation)</p> <p>Primary related elements (4.02)(4.03)(4.04)(4.05)(4.07)(4.08)(4.12)</p>	<p>Review of change management policy/process</p> <p>Continual improvement planning</p> <p>Change management project review</p> <p>Top management review process</p> <p>Corporate reporting</p> <p>Primary related elements (5.01)(5.03)(5.04)</p>
Process safety objectives	<p>Reference to process safety objectives within policy statement</p> <p>Policy/process for setting process safety objectives</p> <p>Reference to objective setting within stakeholder involvement process</p> <p>Primary related elements (1.01)(1.02)(1.05)(1.06)</p>	<p>Process safety objectives set at organisational, functional and individual levels</p> <p>Evidence of stakeholder participation during setting of objectives</p> <p>Planning for provision of resources required to achieve objectives</p> <p>OH&S plans reflective of targets</p> <p>Appraisal process</p> <p>Primary related elements (2.02)(2.03)(2.04)(2.05)(2.06)(2.09)(2.11)</p>	<p>Awareness of process safety objectives throughout organisation (interview)</p> <p>Evidence of consultation and involvement of relevant stakeholders (e.g. OH&S committee meeting minutes, appraisal records)</p> <p>Sampling of progression of process safety objectives</p> <p>Risk profiles (organisational and operational)</p> <p>Primary related elements (3.01)(3.19)(3.20)</p>	<p>Evidence of monitoring of process safety objectives (e.g. audits, senior management meeting minutes and OH&S committee meeting minutes)</p> <p>Management reports</p> <p>Appraisal records</p> <p>Audit outcomes</p> <p>Primary related elements (4.01)(4.02)(4.03)</p>	<p>Top management review of process safety objectives</p> <p>Revised planning for achievement of process safety objectives</p> <p>Corporate reports</p> <p>Management meeting minutes</p> <p>Primary related elements All elements within section</p>

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Process safety planning	Commitment to process planning within policy statement Policy/process for process safety planning and review including periodic process hazard reviews Defined roles and responsibilities Evidence of participation of stakeholders in OHSMS development Primary related elements (1.01)(1.02)(1.03)(1.05)(1.06)	Documented plan Link to other operational plans Audit planning Training schedules Evidence of process safety considerations within financial planning Documented budget Project planning Business recovery plans Evidence of stakeholder involvement in planning Primary related elements (2.01)(2.03)(2.04)(2.05)(2.06)(2.07)(2.08)(2.09)(2.11)	Sampling of process safety plan (inspection and interview) Risk assessments (sampling) Maintenance records Statutory inspections etc. Effective implementation of OH&S plan/control arrangements (inspection and interview) PTW documentation Evidence of resource provision Training records Primary related elements (3.01)(3.02)(3.19)	Audit outcomes Minutes from management and OH&S committee meetings (and other such forums) Accident ill/health analysis Management reports OH&S objective monitoring Risk assessment reviews Evaluation of compliance records Audit and inspection records Primary related elements (4.01)(4.02)(4.03)(4.04)(4.05)(4.06)(4.12)	Top management review Continual improvement Evaluation of compliance records External accreditation Financial and project reviews Management reports Corporate reports Primary related elements All elements within section

8.

Specification guidance cont.

Subject area	Plan	Do	Check	Act	
	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Asset Management, Procurement, outsourcing and contractor appointment	<p>Policy for asset register and life cycle assessment</p> <p>Policy for inspection and maintenance and ageing plant strategy, including any lifetime extensions</p> <p>Policy for critical spares</p> <p>Policy for identification of critical plant / equipment</p> <p>Policy/ process for outsourcing and the procurement of goods and services</p> <p>Policy/process for the approval, appointment and management of contractors/suppliers</p> <p>Commitment to provision of resource within policy statement</p> <p>Defined roles and responsibilities</p> <p>Evidence of consultation with contractors during appointment process</p> <p>Primary related elements (1.01)(1.03)(1.06)(1.10)</p>	<p>Asset management strategy</p> <p>Designation of critical plant and equipment</p> <p>Asset register</p> <p>Risk assessment drives inspection and maintenance programme</p> <p>Intelligent customer approach to procurement of plant, equipment and services</p> <p>Strategic planning for outsourcing</p> <p>Risk profiling</p> <p>Evidence of consultation with contractors during appointment process</p> <p>Defined roles and responsibilities</p> <p>Inclusion of outsourcing and contractor appointment within change management plans and resource consideration process</p> <p>Primary related elements (2.03)(2.04)(2.06)(2.07)(2.10)</p>	<p>Asset register kept upto date</p> <p>PIDs reflect design and updated following change / modification</p> <p>Asset inspection and maintenance programme implemented to plan</p> <p>Critical items prioritised</p> <p>Approved contractor/ supplier index</p> <p>Interview with contractors/suppliers</p> <p>Risk assessment and operational control sampling (interview and observation)</p> <p>Permit to work process sampling</p> <p>Evidence of contractor understanding and awareness of OH&S issues</p> <p>Primary related elements (3.01)(3.02)(3.08)(3.20)</p>	<p>Asset performance routinely monitored to identify reduced integrity, performance deficiencies and abnormal conditions.</p> <p>Delivery of inspection and maintenance programme closely monitored</p> <p>Failure modes and underlying causes of asset failures reported and investigated</p> <p>Audit outcomes</p> <p>Contractor performance monitoring</p> <p>Process safety plan monitoring</p> <p>Permit to work sampling</p> <p>Non-conformance reviews</p> <p>Management reports</p> <p>Accident/ill health analysis</p> <p>Primary related elements (4.02)(4.03)(4.04)(4.05)(4.07)(4.08)(4.09)</p>	<p>Performance, life expectancy and asset failures reviewed against initial design intent.</p> <p>Improvements and replacement programme in place to deal with ageing assets and technological advances</p> <p>Planning and review of resources</p> <p>Top management review reports</p> <p>Interviews with senior management</p> <p>Continual improvement of OHSMS</p> <p>Primary related elements (5.01)(5.02)(5.03)</p>

8.

Specification guidance cont.

Subject area	Plan	Do	Check	Act	
	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Risk assessment and operational control	Commitment to a process of risk control within policy statement Policy for periodic process safety hazard reviews Policy/process for risk management/assessment and control Defined roles and responsibilities Process for stakeholder involvement in risk management and control Primary related elements (1.01)(1.02)(1.03) (1.04)(1.05)(1.06) (1.10)	Structured hazard identification and risk assessment methodologies adopted eg HAZOPs, QRA, LOPA studies. Risk and consequence modelling used to inform design, control measures and mitigation Risks to be reduced to ALARP Planning for risk profiling, hazard and opportunity identification, management and control Risk/hazard matrix/index/register Planning for provision of suitable resources and support Change management planning Training schedules Business recovery planning Primary related elements (2.03)(2.04)(2.05)(2.06) (2.07)(2.08) (2.09)	Risk assessment (sampling) and evidence of alignment with, plant design, safe operating parameters, SOPs and incident reports Effective implementation of controls (observation and interview) Training records Maintenance records Statutory examination records Inspection records Evacuation drill records Permit to work records Primary related elements All elements within section	External accreditation (statutory and otherwise) Management reports Audit and inspection records Non-conformance monitoring objective monitoring Statutory compliance records Accident investigations Health surveillance records Primary related elements (4.02)(4.03)(4.04) (4.05)(4.06)(4.09) (4.12)	External accreditation Records of top management review Evidence of legislative updates to OHSMS Management meeting records Primary related elements All elements within this section

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Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Emergency incident planning	<p>Commitment to manage emergency events, staff welfare etc.</p> <p>Emergency management policy/process</p> <p>Policy of co-operation and integration with external emergency services</p> <p>Defined roles and responsibilities</p> <p>Competency policy/process</p> <p>Consultation with and participation of relevant stakeholders in development of arrangements</p> <p>Primary related elements (1.01)(1.02)(1.03) (1.04)(1.05)(1.06) (1.07)(1.10)</p>	<p>Business recovery/emergency planning</p> <p>Emergency procedure planning – on-site and off-site</p> <p>Risk assessment process</p> <p>Training/competency matrix</p> <p>Process safety plan</p> <p>Process safety objectives</p> <p>Change management planning</p> <p>Primary related elements (2.03)(2.04)(2.05)(2.06) (2.07)(2.08)(2.09)</p>	<p>Evidence of emergency procedure testing (fire drills, environmental incidents, recovery tests, etc.)</p> <p>Stakeholder awareness (interviews)</p> <p>Signage (escape routes etc.)</p> <p>Provision of equipment (fire extinguishers, first aid etc.)</p> <p>Inspection and maintenance records</p> <p>Training records</p> <p>Risk assessment sampling</p> <p>Primary related elements (3.01)(3.02)(3.03) (3.08)(3.14)(3.17) (3.18)(3.21)(3.22)</p>	<p>Review of evacuation tests</p> <p>Loss/damage analysis</p> <p>Audit and inspection reports</p> <p>Primary related elements (4.02)(4.03)(4.04) (4.05)(4.09)</p>	<p>Records of management review of OHSMS</p> <p>Improved emergency planning and arrangements</p> <p>Evidence of legislative updates to OHSMS</p> <p>Primary related elements (5.01)(5.02)(5.03)</p>

8.

Specification guidance cont.

Subject area	Plan	Do	Check	Act	
	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Development and maintenance of a positive health and safety culture	Commitment to develop and continually improve Policy/process for competency, consultation and communication Defined roles and responsibilities Process for stakeholder consultation and participation Evidence of top management commitment and ownership Primary related elements (1.02)(1.03)(1.04)(1.05)(1.06)(1.07)(1.10)	Training matrix/ programme CPD development and appraisal Mentoring and coaching Process safety objectives Specific development programmes Terms of reference for health and safety (and other) forums Occupational health and wellbeing plans/ programmes Planning for participation of stakeholders in development of OHSMS Occupational health support programmes and planning Primary related elements All elements within section	Evidence of stakeholder involvement, empowerment and management commitment (interviews and observation) Minutes from health and safety meetings Training records Audit reports Stakeholder surveys Inspection reports Change management plans Risk assessment sampling Appraisal and development records Primary related elements (3.01)(3.02)(3.06)(3.19)(3.20)	Staff surveys OH&S objectives monitoring Accident/incident analysis and reports Management reports Plan monitoring External accreditation Evidence of stakeholder participation in performance reviews Contractor approval records Review of training needs Review of health surveillance records Primary related elements (4.01)(4.02)(4.04)(4.06)(4.07)(4.08)(4.09)(4.10)(4.12)	Stakeholder involvement in OHSMS reviews External accreditation Forward planning and objective setting Appraisal reviews Corporate reports Primary related elements All elements within section

8.

Specification guidance cont.

	Plan	Do	Check	Act	
Subject area	S1: Organisational Commitment and structure (750 points)	S2: Strategic planning (1,125 points)	S3: Implementation and operation (1,500 points)	S4: Performance evaluation (1,125 points)	S5: Management review and improvement (500 points)
Proactive and reactive performance measurement	<p>Policy/process for performance monitoring</p> <p>Commitment to continual improvement within policy MAPP statement</p> <p>Defined roles and responsibilities</p> <p>Commitment to legislative compliance within policy statement</p> <p>Process for stakeholder consultation and participation</p> <p>Primary related elements (1.01)(1.02)(1.03) (1.05)(1.06)(1.10)</p>	<p>OH&S plan</p> <p>Procedures/processes/plans for:</p> <p>Auditing</p> <p>Inspection</p> <p>Accident investigation</p> <p>Ill health monitoring</p> <p>Process for assessment of OHSMS including benchmarking (internal and/or external)</p> <p>Incident/loss/near miss/non-conformance reporting</p> <p>Contractor/supplier monitoring</p> <p>Training plan</p> <p>Risk assessment planning</p> <p>Primary related elements (2.01)(2.02)(2.03)(2.04) (2.07)(2.10)</p>	<p>Stakeholder understanding and awareness of process safety management system (interview)</p> <p>Audit records</p> <p>Inspection records</p> <p>Accident/incident records</p> <p>PTW documents</p> <p>Contractor induction records</p> <p>Approved contractor/supplier index</p> <p>Risk assessment(s) sampling</p> <p>Site inspection</p> <p>Health and safety meeting minutes</p> <p>Notice board information</p> <p>Statutory records</p> <p>Staff surveys</p> <p>Training records</p> <p>Primary related elements (3.01)(3.02)(3.08) (3.19)(3.20)</p>	<p>Accident/incident analysis</p> <p>Ill health and absenteeism reviews</p> <p>OH&S plan reviews</p> <p>Management reports</p> <p>Website/corporate information and reporting</p> <p>Process safety objective monitoring</p> <p>Audit records</p> <p>External accreditation</p> <p>Statutory records</p> <p>Review of training records and effectiveness of training content</p> <p>Primary related elements All elements within section</p>	<p>Records of top management review</p> <p>objective review and forward planning</p> <p>External accreditation (planning and review)</p> <p>Corporate reports</p> <p>Primary related elements All elements within section</p>



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

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