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Five Star Occupational Health and Safety Audit

Specification August 2024

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1. Introduction to the Five Star Audit model

This document is intended to provide a summary of British Safety Council Five Star Audit process, together with details of the 2024 audit specification.

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

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

Five Star Occupational Health and Safety Audit: 2024 specification



Best Practice Indicators:

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

2.

Five Star Audit process

The Five Star Audit is carried out using a process of objective and subjective verification:

The auditor will review all aspects of the organisation's health and safety systems and associated arrangements against the requirements of British Safety Council's Five Star Audit 2024 specification. **Five of the elements of section 1 will be scored on the maturity of the system and will require specific documented evidence to attain scores** (a sample can be seen in Table 9) however 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 relevant to their roles and responsibilities.

A subsequent report is produced identifying the strengths and areas for improvement within the organisation's health and safety management systems. The report also includes observations and recommendations, action planning for consideration and a quantified (graded) outcome.

Five Star Audit 2024: Audit delivery process



Review of health and safety management documentation



Interview with management, staff and other stakeholders



Site tour, inspection and operational sampling

3.

Scoring and grading system

The Five Star Audit process outcome is determined by application of 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 Audit process focuses on four sections (50 elements) and best practice indicators (BPI) as shown below:

Section	Audit criteria	Maximum accredited audit figure
1.	Organisational leadership, commitment and planning	1,050 points
2.	Implementation and operation	1,650 points
3.	Performance monitoring and measurement	1,050 points
4.	Evaluation and continual improvement	750 points
		Total: 4,500 points

BPI 1: Leadership

BPI 2: Stakeholder participation

BPI 3: Risk management

BPI 4: Organisational health and safety culture

BPI 5: Continual improvement

The four sections of the audit are divided into 50 scored elements which attract a maximum numerical value of 4,500 points. Wherever an element of the audit is not applicable to the organisation, it is excluded from the audit (scoring is adjusted accordingly).

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

Throughout the audit, best practice indicators are evaluated either as elements within 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 health and safety management systems and 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 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 Audit Specification 2024 are presented in tabulated colour coded format (as per the key below):

Grading system

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 99% 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 ensure effectiveness
	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 Audit scoring criteria. However, the organisation should continue to monitor the arrangements in order to maintain best practice.

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

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

Wherever marks have been deducted, a recommendation will be provided that, if followed and effectively implemented, will assist the organisation in working towards 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 not applicable to the audited organisation, then these will be 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 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 contact the appropriate person within the organisation no later than 10 days before the audit start date to discuss and agree the audit details (timings, interviews, site inspections, induction process, security / PPE arrangements, etc.).

This specification document outlines the best practice requirements for each of the elements (see section 8) and includes an indication of typical forms of information and documentation that the auditor is likely to request for review, together with personnel who may be required for interview.

As **five elements** in section 1 are objective It is necessary to have the required documentation 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) but will be returned upon completion of the audit process. Any document submitted on a Teams platform is kept on that platform until the report has been issued. Any objections to points made are permitted up to 10 days after issue so we may need to review evidence submitted.

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 may also be 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, relevant developments and trends in occupational health and safety management best practice technique as well as a drive for continuous improvement.

7.

Specification details

Element Headings

PLAN	DO	CHECK	ACT
Section 1 Organisational leadership, commitment and planning	Section 2 Implementation and operation	Section 3 Performance monitoring and measurement	Section 4 Evaluation and continual improvement
1.01 Top management leadership and commitment	2.01 Identification of hazards, opportunities and assessment of risk	3.01 Monitoring of occupational health, safety and wellbeing objectives	4.01 Top management review process
1.02 Scope and context of occupational health, safety and wellbeing management system	2.02 Safe systems of work (operating procedures, method statements, work instructions, permits etc)	3.02 Monitoring of occupational health, safety and wellbeing programmes and plan(s)	4.02 Effectiveness of leadership, resources and support
1.03 Strategic assessment	Specific safe systems of work 2.03 Management and control of work equipment (inc working at height)	Proactive measurement 3.03 Auditing (internal and external)	4.03 Opportunities for improvement
1.04 Legislative (and other) compliance	2.04 Job design (including manual handling ergonomics)	3.04 Monitoring systems (including inspection, risk assessment review, sampling, and surveys)	4.04 Effectiveness of environmental social governance responsibility
1.05 Stakeholder identification, consultation and participation	2.05 Remote/lone working (including home and hybrid working)	3.05 Health impact monitoring	4.05 Evaluation of legislative (and other) compliance
1.06 Structure (roles, responsibilities, accountabilities and authorities)	2.06 Management and control of occupational road risk (including traffic and transport management)	3.06 Monitoring of procurement, outsourcing and contractors	4.06 Evaluation of competence, capability, behaviours and health and safety culture
1.07 Occupational health, safety and wellbeing objectives, programs and plans	2.07 Management and control of lifting operations	3.07 Reactive measures, accident, incident, near-miss reporting and investigation monitoring	
1.08 Provisions of resources and support	2.08 Management and control of pressure systems	Reactive measurement 3.08 Ill-health monitoring (including absenteeism and presenteeism)	
1.09 Complete, capability and behaviours	2.09 Management and control of hazardous substances (including asbestos, legionella, and viruses)	3.09 Loss/damage analysis	

7.

Specification details

PLAN		DO		CHECK		ACT	
Section 1 Organisational leadership, commitment and planning		Section 2 Implementation and operation		Section 3 Performance monitoring and measurement		Section 4 Evaluation and continual improvement	
1.10	Strategic and operational risk management	2.10	Management and control of confined work space	3.10	Non-conformance monitoring		
1.11	Management of change	2.11	Management of excavations and work below ground	3.11	Monitoring of competence, capability behaviours and health and safety culture		
1.12	Information management	2.12	Management and control of electrical safety				
1.13	Procurement, outsourcing and contractor appointment	2.13	Management and control of noise and vibration				
1.14	Emergency response and crisis management	2.14	Management and control of personal protective equipment (PPE)				
1.15	Wellbeing strategy scope and objectives	2.15	Workplace welfare (housekeeping, storage, welfare facilities etc.)				
		2.16	Emergency Response and crisis management				
		2.17	Fire safety management (protective and preventative controls)				
		2.18	Wellbeing and psychosocial risk management				

8.

Specification guidance

Five Star Audit 2024: Specification details. (Please note: This table contains information that will be reviewed during the audit process).

	PLAN	DO	CHECK	ACT
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)
Organisational commitment and occupational health and safety management system	Refer to Maturity Model in Section 9 for specific evidence requirements for 1.01,1.03, 1.04, 1.09, 1.11 Description of how OHSMS elements interlink with each other Operational procedures and arrangements are clearly stipulated within the OHSMS Stakeholder awareness of policy and OHSMS content (verified through interview) Evidence of OHSMS planning aligned with overall business strategy and processes Evidence of OHSMS status assessment Evidence of internal and/or external OHSMS performance benchmarking OHSMS/wellbeing programme/ plan Evidence of strategic leadership and provision of suitable resources and support Primary related elements 1.02, 1.03, 1.06, 1.08, 1.09	Policy statement readily available to, and understood by, all levels of management, staff and other stakeholders (verified through interview) Training and induction records Effective implementation of OHSMS through observation and interviews Effective implementation of risk assessment and controls (sampling) Primary related elements 2.01, 2.02 remainder of applicable section 2 elements	Review of training records Interviews with senior management Accident/incident/near miss/non-conformance analysis Corporate and other management reports Minutes from management and other relevant meetings Inspection and audit reports Evidence of risk assessment review OH&S objectives and programme monitoring Primary related elements 3.01, 3.02, 3.03, 3.04, 3.05, 3.11	Evidence that senior (top) management carry out a formal review of OHSMS performance Evidence of policy statement reviewed Evidence of a strategic review that is reflective of outcomes agreed at top management review Interview with top management Corporate health and safety reporting Primary related elements All elements in this section

	PLAN	DO	CHECK	ACT
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)
Structure (roles, responsibilities, accountabilities and authorities) leadership and commitment	Defined roles and responsibilities within OHSMS	Evidence of effective supervision and role competency	Evaluation of training records	Regular CPD/appraisal reviews
	Defined organisational structure	Training records CPD programmes	Confirmation of awareness, understanding and development of job roles through interview and appraisal records	Role/Development Plans/ improvement planning
	Appointed top level management responsible for OH&S	Employee understanding and awareness (verified through interview and inspection)	Accident/incident statistics, ill health, non-conformance monitoring and analysis	Records of management review
	Policy statement endorsed by top level management	Appraisal records	Review of OH&S objectives and plans	Corporate reports
	Demonstrable commitment (verified through interview) at all levels	Suitable levels of supervision and resource	Demonstrable evidence of management involvement (minutes of meetings, investigations, site inspections, risk assessment, etc.) in the evaluation of leading and lagging performance indicators	Primary related elements All elements in this section
	Ownership of relevant health and safety issues by top management	Evidence of effective management of operational risk (including psychosocial)		
	Responsible actions allocated within OH&S planning	Evidence of participation in health and safety of non-managerial roles		
	Demonstrable support for lines of responsibility			
	Evidence of stakeholder engagement (minutes of meetings, training etc.)	Primary related elements All applicable elements in this section	Primary related elements All elements in this section	
	Evidence of managing change			
	Demonstrable involvement in promoting positive health and safety culture			
	Primary related elements 1.01, 1.02, 1.03, 1.07			

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Specification guidance

	PLAN	DO	CHECK	ACT
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)
Information and communication management	Policy/process for information control and communication management Clear link to quality management systems (if referenced) Evidence of effective communication of policy statement and content of OHSMS OH&S planning documentation and information consistent with policy requirements Training schedules OH&S / wellbeing objectives/ programmes/plans Primary related elements 1.02, 1.07, 1.08, 1.09, 1.14	Current information and documentation readily available Policy requirements verified Effective understanding and awareness of risk assessment, operational controls and procedures (verified through interview and observation) Primary related elements All applicable elements in this section	Internal/external inspection and audit outcomes Evidence of effective document control Evidence of effective monitoring of change management process Evidence of effective monitoring of internal and external communication Primary related elements 3.03, 3.04, 3.07	Top management review process factor Stakeholder involvement in continual improvement Corporate reports Records of management review Primary related elements 4.01, 4.04
Stakeholder consultation and participation	Policy/process for consultation with stakeholders (internal and external) Policy/process for stakeholder participation in policy and OHSMS development Organisational structure Defined roles and responsibilities Consultation and participation in change management Schedule for OH&S committee meetings Terms of reference for stakeholder forums Primary related elements 1.05, 1.07	Evidence of stakeholder involvement in development of OH&S risk management and controls (verified through sampling, interview and review) Risk assessments Training records Evidence of OH&S committee meetings (and other such forums) Site induction records Permit to work records Primary related elements All applicable elements in this section	Evidence of stakeholder involvement in management review process Communication of top management review Corporate reporting Internal reporting Audit reports Primary related elements 4.01, 4.02, 4.06	Evaluation of training Evidence of completed actions arising from OH&S committee meetings (and other such forums) Evidence of completed actions arising from leading and lagging performance indicators (inspections, audits, accident investigations etc.) Evidence of monitoring of objectives Primary related elements All elements in this section

	PLAN	DO	CHECK	ACT
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)
Competence and capability	Refer to Maturity Model in Section 9 for specific evidence requirements for 1.01, 1.03, 1.04, 1.09, 1.11	Training records	Top management review	Accident/incident analysis and investigation reports
		Evidence of trainer competency	Appraisal records	Audit findings
	Policy/process for ensuring competency requirements	Training evaluation	Effective continual improvement process	Risk assessment reviews
	Defined roles and responsibilities	Role competency records	Review of statutory training requirements	Statutory training compliance CPD maintenance
	Organisational structure	Effectiveness of operational controls (verification through interview, observations)	Primary related elements 4.01, 4.02, 4.06	Appraisal records
	Training needs analysis			Review of training records and schedules
	Plan/programme for ensuring competency	Risk assessment sampling		Primary related elements All elements in this section
	CPD/appraisal planning	Permit to work records		
	Mentoring/coaching plan	Evacuation drill records		
	Primary related elements 1.07, 1.10, 1.11, 1.13	Primary related elements All applicable elements in this section		
Occupational health and wellbeing	Policy/process for OH and wellbeing (including psychosocial hazards)	Evidence of first aid provision (including equipment and personnel)	OH plan review	Accident/ill health/absenteeism statistics
	Defined roles and responsibilities	Training records	Review and setting of OH&S objectives	Risk assessment reviews
	Demonstrable commitment (verified through interview) at all levels	Health surveillance records	Corporate reporting	Stakeholder perception and awareness (interviews)
	OH plan/schedule	Evidence of lifestyle and wellbeing promotion	Primary related elements 4.01, 4.02, 4.04, 3.07	First aid records
	Lifestyle/wellbeing promotion plan/schedule	Return to work interviews		Stakeholder surveys
	Health surveillance schedules	Support mechanisms		Health surveillance records
	Training plan	Risk assessments		Primary related elements 3.01, 3.05, 3.11
	Planned and evaluated OH, and wellbeing objectives	Primary related elements 2.01, 2.05, 2.06, 2.11, 2.15, 2.16, 2.17		
	Integration with OHSMS			
	Primary related elements 1.01, 1.07, 1.08, 1.09			

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Specification guidance

	PLAN	DO	CHECK	ACT
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)
Management of change	Refer to Maturity Model in Section 9 for specific evidence requirements for 1.01, 1.03, 1.04, 1.09, 1.11 Policy/process for management of change Defined roles and responsibilities Evidence of consultation with and participation of stakeholders with change management process Evidence of risk assessment for change management Primary related elements 1.05, 1.07, 1.13, 1.15	Effective risk control implementation (observation and review) Training records OH&S committee meeting minutes Risk assessment (change management sampling) Inspection and audit outcomes Primary related elements All applicable elements in this section	Review of change management policy/process Change management project review Top management review process Primary related elements 4.01, 4.02, 4.03	Effective monitoring of audit between outcomes and inspection records Project meeting minutes Safety surveys Risk assessment reviews Effective understanding and awareness of amended risk assessment, operational controls and procedures (verified through interview and observation) Primary related elements 3.03, 3.04, 3.06, 3.11
Occupational health, safety and wellbeing objectives	Reference to OH&S objectives within policy statement Policy/process for setting OH&S objectives Reference to objective setting within stakeholder involvement process OH&S objectives set at organisational, functional and individual levels Evidence of stakeholder participation during setting of objectives Planning for provision of resources required to achieve objectives OH&S plans reflective of targets in excess of legal compliance Appraisal process Primary related elements 1.08, 1.09, 1.10	Awareness of OH&S objectives throughout organisation (interview) Evidence of consultation and involvement of relevant stakeholders (e.g. OH&S committee meeting minutes, appraisal records) Sampling of progression of OH&S objectives Risk profiles (organisational and operational) Primary related elements All applicable elements in this section	Evidence of monitoring of OH&S objectives (e.g. audits, senior management meeting minutes and OH&S committee meeting minutes) Management reports Appraisal records Audit outcomes Primary related elements 3.01, 3.02, 3.03, 3.13	Top management review of OH&S objectives Revised planning for achievement of OH&S objectives Corporate reports Management meeting minutes Primary related elements All elements in this section

	PLAN	DO	CHECK	ACT
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)
Occupational health safety and wellbeing planning	Commitment to OH&S planning within policy statement Policy/process for OHS and wellbeing planning and review Defined roles and responsibilities Evidence of participation of stakeholders in OHSMS development Documented OH&S plan Link to other operational plans Audit planning Training schedules Evidence of OH&S considerations within financial planning Documented OH&S budget Project planning Business recovery plans Evidence of stakeholder involvement in OH&S planning Primary related elements All elements in this section	Sampling of OH&S plan (inspection and interview) Risk assessments (sampling) Maintenance records Statutory inspections etc. Effective implementation of OH&S plan/control arrangements (inspection and interview) PTW documentation Evidence of resource provision Training records Primary related elements 2.01, 2.02, 2.20	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 Audit and inspection records Primary related elements 3.01-3.04, 3.06	Top management review Continual improvement Evaluation of compliance records External accreditation Financial and project reviews Management reports Corporate reports Primary related elements All elements in this section
Procurement, outsourcing and contractor appointment	Policy/process for outsourcing and the procurement of goods and services Policy/process for the approval, appointment and management of contractors/suppliers Commitment to provision of resource within policy statement Defined roles and responsibilities Evidence of consultation with contractors during appointment process Strategic planning for outsourcing Risk profiling Inclusion of outsourcing and contractor appointment within change management plans and resource consideration process Primary related elements 1.02, 1.05, 1.06, 1.07, 1.09, 1.10, 1.15	Approved contractor/ supplier index Interview with contractors/ suppliers Risk assessment and operational control sampling (interview and observation) Permit to work process sampling Evidence of contractor understanding and awareness of OH&S issues Primary related elements 2.01, 2.07	Audit outcomes Contractor performance monitoring OH&S plan monitoring Permit to work sampling Non-conformance reviews Management reports Accident/ill health analysis Primary related elements 3.03, 3.06, 3.08, 3.11	Planning and review of resources Top management review reports Interviews with senior management Continual improvement of OHSMS Primary related elements 4.01, 4.02, 4.07

8.

Specification guidance

	PLAN	DO	CHECK	ACT	
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)	
Risk management, risk profiling and operational control	Commitment to a process of risk control within policy statement	Risk assessment (sampling) and evidence of alignment with SOPs and incident reports	External accreditation (statutory and otherwise)	External accreditation	
	Policy/process for risk management/assessment and control	Effective implementation of controls (observation and interview)	Management reports	Records of top management review	
	Defined roles and responsibilities	Training records	Audit and inspection records	Evidence of legislative updates to OHSMS	
	Process for stakeholder involvement in risk management and control	Maintenance records	Non-conformance monitoring	Management meeting records	
	Planning for risk profiling, hazard and opportunity identification, management and control	Statutory examination records	OH&S objective monitoring	Primary related elements All elements in this section	
	Risk/hazard matrix/index/register	Inspection records	Statutory compliance records		
	OH&S plan	Accident investigations			
	Planning for provision of suitable resources and support	Evacuation drill records	Health surveillance records		
	Change management planning	Permit to work records	Primary related elements 3.03, 3.04		
	Training schedules	Primary related elements All applicable elements in this section			
	Business recovery planning				
		Primary related elements 1.04-1.09, 1.12, 1.13, 1.16			
Emergency incident and business recovery planning	Commitment to manage emergency events, staff welfare etc.	Evidence of emergency procedure testing (fire drills, environmental incidents, recovery tests, etc.)	Review of evacuation tests	Records of management review of OHSMS	
	Emergency management policy/process	Stakeholder awareness (interviews)	Loss/damage analysis	Improved emergency planning and arrangements	
	Defined roles and responsibilities	Signage (escape routes etc.)	Audit and inspection reports	Evidence of legislative updates to OHSMS	
	Competency policy/process	Provision of equipment (fire extinguishers, first aid etc.)	Primary related elements 3.03, 3.04, 3.10	Primary related elements 4.01, 4.02, 4.03	
	Consultation with and participation of relevant stakeholders in development of business recovery/emergency planning	Inspection and maintenance records			
	Emergency procedure planning	Training records			
	Risk assessment process	Risk assessment sampling			
	Training/competency matrix	Primary related elements 2.01, 2.19, 2.20			
	OH&S plan				
	OH&S objectives				
	Change management planning				
		Primary related elements 1.04, 1.05, 1.07, 1.08, 1.16			

	PLAN	DO	CHECK	ACT
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)
Development and maintenance of a positive health and safety culture	Commitment to develop and continually improve	Evidence of stakeholder involvement, empowerment and management commitment (interviews and observation)	Staff surveys OH&S objectives monitoring	Stakeholder involvement in OHSMS reviews External accreditation
	Policy/process for competency, consultation and communication	Minutes from health and safety meetings	Accident/incident analysis and reports	Forward planning and objective setting
	Defined roles and responsibilities	Training records	Management reports	Appraisal reviews
	Process for stakeholder consultation and participation	Audit reports	OH&S plan monitoring	Corporate reports
	Evidence of top management commitment and ownership	Stakeholder surveys	External accreditation	Primary related elements All elements in this section
	Mentoring and coaching OH&S plan	Inspection reports	Evidence of stakeholder participation in performance reviews	
	OH&S objectives	Change management plans	Contractor approval records	
	Specific development programmes	Risk assessment sampling	Review of training needs	
	Terms of reference for health and safety (and other) forums	Appraisal and development records	Review of health surveillance records	
	Occupational health and wellbeing plans/programmes	Primary related elements. All applicable elements in this section	Primary related elements All elements in this section	
	Planning for participation of stakeholders in development of OHSMS			
	Occupational health support programmes and planning			
	Training matrix/programme			
	CPD development and appraisal			
	Primary related elements. All elements in this section			

8.

Specification guidance

	PLAN	DO	CHECK	ACT
Subject area	Section 1 Organisational leadership, commitment and planning (1,050 points)	Section 2 Implementation and operation (1,650 points)	Section 3 Performance monitoring and measurement (1,050 points)	Section 4 Evaluation and continual improvement (750 points)
Proactive and reactive performance measurement	Policy/process for performance monitoring	Stakeholder understanding and awareness of OHSMS (interview)	Accident/incident analysis	Records of top management review
	Commitment to continual improvement within policy statement	Audit records	Ill health and absenteeism reviews	OH&S objective review and forward planning
	Defined roles and responsibilities	Accident/incident records	OH&S plan reviews	External accreditation (planning and review)
	Commitment to legislative compliance within policy statement	PTW documents	Inspection records	Corporate reports
	Process for stakeholder consultation and participation	Contractor induction records	Management reports	Primary related elements All elements in this section
	OH&S plan	Approved contractor/supplier index	Website/corporate information and reporting	
	Procedures/processes/plans for:	Risk assessment(s)	OH&S objective monitoring	Primary related elements All elements in this section
	• Auditing	Sampling Site inspection	Audit records	
	• Inspection	Health and safety meeting minutes	External accreditation	
	• Accident investigation	Notice board information	Statutory records	
	• Ill health monitoring process for assessment of OHSMS including benchmarking (internal and/or external)	Statutory records	Review of training records and effectiveness of training content	
	Incident/loss/near miss/non-conformance reporting	Staff surveys		
	Contractor/supplier monitoring	Training records		
	Training plan	Primary related elements 2.02, 2.03, 2.07		
	Primary related elements 1.01, 1.03, 1.05, 1.06, 1.07			

Within this latest specification five elements have been selected whereby clients will be objectively assessed and scored for compliance. The table below are some of the specific evidence requirements that are needed to attain the prescribed marks. The full list will be provided once a five-star audit has been confirmed.

Element	Minimum (10 marks)	Inconsistent (20 marks)	Managed (30 marks)	Effective (40 marks)
Commitment & leadership	- A sufficiently detailed H&S Policy signed by a senior person. - There is a Senior Manager designated accountable for OHS. - Subject matter management's personal objectives include health, safety, and wellbeing targets. - A representative from senior management has had formal training in their OHS responsibilities within the last 5 years.	- A sufficiently detailed H&S Policy signed by a senior person. - There is a Senior Manager designated accountable for OHS. - Senior management personal objectives include health, safety, and wellbeing targets. - Some Senior leadership have had formal training in their OHS responsibilities within the last 5 years.	- A sufficiently detailed H&S Policy signed by a senior person. - There is a Senior Manager designated accountable for OHS. - Most Senior management personal objectives include specific health, safety and wellbeing targets. - Most Senior leadership have had formal training in their OHS responsibilities within the last 5 years.	- A sufficiently detailed H&S Policy signed by a senior person. - There is a Senior Manager designated accountable for OHS. - Senior management personal objectives include specific health, safety and wellbeing targets. - Senior leadership have had formal training in their OHS responsibilities within the last 5 years.
Status assessment	- A representative of senior management has formally reviewed a risk register which has health, safety and wellbeing risks included. - There must be evidence that the OHSMS is formally reviewed at least annually by the most senior person in the organisation.	- Senior leadership have reviewed a risk register which has health, safety and wellbeing risks included. - There must be evidence that the OHSMS is formally reviewed at least annually with the participation of some of the leadership team. - Outcomes of reviews are shared with all relevant internal stakeholders.	- The senior leadership team as a formal body have reviewed the status of the OHSMS before setting out policy, procedures and set meaningful objectives. - The Senior leadership have formally reviewed a risk register which has health, safety and wellbeing risks included. - There must be evidence that the OHSMS is formally reviewed at least annually by senior leadership. - Outcomes of reviews are shared with all relevant stakeholders.	- Documented evidence of the senior leadership team have reviewed the status of the OHSMS before setting out policy, procedures and set meaningful objectives. - The Senior leadership have formally reviewed a risk register which has health, safety and wellbeing risks included. - There must be evidence that the OHSMS is formally reviewed every six months by the senior leadership team as a whole. - Outcomes of reviews are shared with all relevant stakeholders.

9.

Maturity Model

Element	Minimum (10 marks)	Inconsistent (20 marks)	Managed (30 marks)	Effective (40 marks)
Legislative & other compliance	- A procedure in place to evaluate compliance with legislation and other requirements (Not documented) - Evidence of controls in place to meet compliance.	- A documented procedure in place to evaluate compliance with legislation and other requirements. - Evidence of controls in place to meet compliance.	- A documented procedure in place to evaluate compliance with legislation and other requirements. - Evidence of controls in place to meet compliance.	- A documented procedure in place to evaluate compliance with legislation and other requirements. - Evidence of controls in place to meet compliance.
Competence, capabilities & behaviours	- A job specific induction program is in place that takes into consideration the risks associated with the person's work activity. - A general induction program is in place. - Training needs analysis done in ad hoc manner.	- A job specific induction program is in place that takes into consideration the risks associated with the person's work activity. - A general induction program is in place.	- A documented learning / training needs analysis done. - Training Matrix and Training Calendar available.	- A job specific induction program is in place that takes into consideration the risks associated with the person's work activity. - A general induction program is in place which covers the following topics. - General H&S policies - Fire - Welfare - Wellbeing arrangements - Emergency response - Incident reporting - Business values
Management of change	- A simple procedure on MoC is in place. - A checklist is used to address the points related to intended change. - Simple risk assessment is carried for some changes. - There is a communication process, however it doesn't reach all stakeholders in MoC.	- The procedure contains some elements of MoC. - Evidence of understanding of elements Management of Change 'What can go wrong' with the implementation of intended change has been recorded. - Those concerned get communicated before and after the change has been implemented.	- The procedure contains many essential elements of MoC. - Evidence of some changes that have been implemented have undergone formal process of MoC. - The team undertaking change clearly understand the benefit of risk assessment before initiating MoC. - Impact on health and safety is analysed through risk assessment before initiating change.	- Defined document procedure for management of change. - Must include definition of what MoC ('Like for like' change is not MoC) - Evidence of stakeholder involvement in the MoC process. - There must be defined responsibilities roles and accountabilities.



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Experience
Counts

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