



**HEALTH AND SAFETY  
AUDITING AND  
MONITORING POLICY  
AND PROCEDURES**

**DBE Ltd.**

## **1 INTRODUCTION**

All employers are under a general duty to have in place formal systems to cover inspection, monitoring and auditing of health and safety management systems.

The legal requirement to have in place formal systems to cover inspection, monitoring and auditing can be found in The Health and Safety at Work etc Act 1974 (HASAWA), The Management of Health and Safety at Work Regulations and Guidance.

This document outlines procedures for the systematic monitoring of performance within Departments against set standards. This is achieved by in-depth auditing of the health and safety management systems that have been implemented; and by way of workplace inspections.

The primary purpose of an audit is to enable the company to evaluate its management systems, determine any deficiencies, and generate cost effective and efficient solutions.

## **2 POLICY STATEMENT**

Our goal is to complete audits that are un-announced, balanced and open minded, our employees are key to the success of the company.

Guidance of our audit process is governed by our health and safety policy document.

This policy covers all departments within the business.

## **3 POLICY OBJECTIVES**

The Policy Objectives are: -

- To provide a safe and healthy working environment for employees, contractors, visitors and any other persons who may be affected by the company's activities.
- To protect the physical assets and reputation of the company.
- A scheduled audit programme of formal inspections at regular intervals and supported by random inspections at irregular intervals.
- Confidentiality through the respect for the value and ownership of the information received, and a requirement not to disclose information without appropriate authority.
- Competency by the application of appropriate knowledge, experience, and responsibility in the performance of duties.
- To ensure compliance with established health and safety policies and procedures.
- To provide information of where individual Departments or employees are relative to their overall health and safety objectives.
- To comply with relevant health and safety legislation.
- To assist Departments in achieving continual improvement in the management of health and safety.

## **4 OPERATIONAL AREAS AND ACTIVITIES**

The main areas of service provision will incorporate: -

- Planned audit visits to locations where our technicians are working
- Reviews of critical systems in operation across the company.
- Encouragement and promotion of best practice in relation to internal controls.
- Respond to requests for assistance and advice from our teams.
- Liaison with external auditor bodies or agencies and other auditors.

## **ROLES AND RESPONSIBILITIES**

Our external H&S consultant is responsible for working with the directors developing the procedures and guidance for the control and management of health and safety and reviewing this Policy and Guidance at regular intervals.

Additional Responsibilities are: -

- Identification and provision of appropriate training to ensure staff are competent to fulfil their responsibilities for auditing and monitoring to achieve the Policy Objectives.
- Co-ordination and supply of relevant information relating to auditing and monitoring to appropriate external agencies where requested to do so.
- Investigate any risk of incident arising from internal or external auditing or monitoring arrangements to achieve a satisfactory resolution ensuring compliance with policies and procedures.
- Make any amendments to working practices as may be required by either the monitoring or inspection findings in relation to safe working practices.

## **6 CONDUCTING AUDITS AND INSPECTIONS**

### **6.1 Frequency and Planning**

The auditing of health and safety systems will be arranged and carried out by our Health & Safety external Consultant.

The timing and frequency of the audits will take into account internal reports from directors and any previous investigations or concerns raised by the Health & Safety group.

### **6.2 Monitoring Process**

The audit format consists of pre-selected question sets and detailed below is a brief outline of the format of the audit that will be taken to completion.

- Audit meeting date identified.
- Request from Health & Safety for various documents, information and records for review prior to the audit meeting.
- Meeting with the health & safety group to qualify the health and safety management systems that are in place.
- Conduct a departmental and/or site inspections.
- The auditor will consider the findings from the visit and prepare a written report which will include: -
  - A full report.
  - Summary of recommendations.
  - Detailed Action Plan.

A copy of the report will be submitted to the Director in charge of Health & Safety.

### **6.3 Remedial Actions**

Where deficiencies are identified, it is essential that effective and timely remedial actions are taken. Simple problems should be corrected immediately or within a short time span. More complex problems will have set, as part of the Action Plan, a realistic time frame for completion.

A formal follow-up on remedial actions stipulated will be carried out by the Health & Safety Consultant.  
*Key elements of policy review..*

## Policy

## Development & sign off by H&S group

---

- Policy development following identification of requirement
- Draft submission to next H&S group meeting

## Organising

## Recommendations

---

- 1st Draft to directors with updated information from group
- Approval from directors to 'final' document
- Training and implementation review

## Planning

## Implementation

---

- Training to departmental management & team members
- Go live agreement for policy & policy review date set
- Auditing process following implementation

## Measuring

## Performance

---

- Developing techniques
- Planning review
- Obtaining feedback

## Auditing

## Reviewing of policy

---

- Feedback from team members
- Feedback from H&S group
- Feedback from Directors
- 'Site' audit of policy to review general implementation

## Review

## Performance

---

- General feedback received from group & individuals
- Training outcomes and feedback
- Improve performance where required
- general review of policy

This policy is authorised for use within the whole company

The policy will be reviewed annually unless any changes are made within the company where a review will then take place.

This policy is dated: 18/04/2022

Author & Authority signature:

Rob Chappell

Title: Health & Safety Consultant

Director in Charge of Health & safety: Paul Cairns

Signature of authority for External Consultant:

A handwritten signature in blue ink, appearing to read 'R. Chappell', with a horizontal line drawn underneath it.

The next review will be: 18/04/2023