

Ref	Item	Rating	Comments
1 (Section 4.1.2)	Has STFC SHE Management Committee reviewed the findings of the previous year's compliance audit programme?		
2 (Section 4.1.1)	Has STFC SHE Management Committee approved the annual compliance audit programme?		
3 (Section 4.2.6)	Has a system audit been conducted in the last 5 years?		
4 (Section 4.2.1)	Is the compliance audit programme based on an assessment of risk? And encompass all STFC sites?		
5 (Section 4.2.1)	Does the programme deliver compliance with auditing all codes at all sites within 5 years?		

6	(Section 4.2.2) (Section 4.4.1)	Are all compliance audits undertaken by trained auditors?		
7	(Section 4.2.4)	Have all actions agreed by management been completed to plan?		
8		Where recommended actions have not been completed is there a recorded basis for this decision?		
9	(Section 4.3.1)	Does each Department have a programme of safety inspections/tours?		
10		Are all areas inspected at least annually?		
11	(Section 4.3.2) (Section 4.4.1)	Are inspections conducted by trained staff?		

12	(Section 4.3.2)	Have trade union safety representatives been involved?		
13	(Section 4.3.4)	Have actions arising from safety tours agreed by management been completed to plan?		
14	(Section 4.3.4) (Section 4.3.5)	Are findings of safety tours discussed at Departmental safety committees? And used to inform Departmental safety plans		
15	(Appendix 2)	Have audit checklists been employed in preparing for compliance audits and appended to audit reports providing an audit trail for the audit process?		