

Appendix 2 Guidance for managing, undertaking and reporting SHE Compliance Audits

To assure audits are conducted objectively they should be performed by trained and competent individuals, see Appendix 1 for training requirements, wherever possible independent of the activities being audited.

Where a team of auditors is required, one auditor should be nominated the Lead Auditor to initiate audit planning, co-ordinate the audit, co-ordinate the audit report write up and manage the audit's progress through line management to the agreement of audit actions.

In undertaking audits, auditors and specifically Lead Auditors should:

- Ensure that the scope of the audit is clearly defined by the audit programme: which SHE codes; which geographic or responsibility areas (Departments, sites etc) to be covered; and in what time period;
- Obtain information relevant to the audit planned, that may provide a focus for areas to be reviewed, this should include:
 - A copy of the code(s) to be audited;
Note: the format and structure of the codes detailing responsibilities by role lends itself to structuring audit interviews;
 - the **audit checklists** relevant to the code(s) to be audited - an appendix to each code in the SHE website. Good practise shows that audit checklists should be developed by auditors based on the code itself, the format of such can be found at the end of this appendix and can act as a helpful means to structure the audit process – what questions and to whom to satisfy which aspect of the code being audited.
Note: audit checklists should be used as a guide and should not become the ultimate focus of the audit process (a tick list);
 - for the area to be audited and the STFC in general SHE incidents related to the controls defined by the code(s) being audited;
 - where available the findings of previous audits of the area and the code(s) under consideration; and
 - relevant pro forma documentation required for audit checklists, reports etc.
- Plan the audit to ensure that you understand who will need to be present (the 'auditees') and which areas will be visited;
- Where a team of auditors is required ensure that the team contains a balance of suitably qualified and experienced personnel appropriate for the scope and subject of the audit. Ensure that they have been trained, see Appendix 1. Ensure that the audit has sufficient priority in their work plans and that they have sufficient time available to conduct the audit and are sent relevant paperwork. A preparatory audit team meeting will be helpful to assign areas of responsibility/tasks for the audit and share information relevant to the audit including audit paperwork;
- Having identified 'auditees' ensure that they are aware of the audit and have made time in their diaries. An e-mail to the relevant Department Director for cascade is a useful means of raising auditee awareness prior to the audit. Where applicable, consider arranging opening and closing meetings with local management. While time consuming this aspect of planning an audit is critical to make effective use of auditor and auditee time;
Flexibility will be required to ensure that the audit programme does not clash with major and/or urgent operational activities;

- The objective of SHE Compliance auditing is to examine the **implementation of SHE Codes**, with the aim of improving their efficiency, and/or effectiveness in managing a particular SHE hazard - **“Are we following the codes, and can they be improved?”**. SHE Compliance audits should **NOT** in the first instance set out to review adequacy of the SHE code to meet current or anticipated SHE legislation this is the purpose of SHE System Audit that assess whether the management system meets STFC needs and legal requirements - **“Are we doing what we should be doing, is the system working as a whole - delivering STFC expectations?”**.
- In undertaking audits consider the following behaviours:
 - Polite and courteous – you have a responsibility to maintain a professional relationship with auditees treating them with respect at all times - remembering that audits can be perceived as threatening by auditees and can result in very emotional responses. The purpose of the audit is to assess the process not the people;
 - Objective – seeking verifiable evidence of compliance at all times;
 - Transparent – ensure that all involved in the audit understand what you are doing, what you find and whether it meets code requirements – no surprises;
 - Supportive – once a concern is identified, consider with those involved how the requirements of the code could be satisfied efficiently and effectively so that pragmatic improvement suggestions can be made – **try to leave solutions not just problems** that consider relevant cost implications; and
 - Maintaining integrity – the importance with which audit report findings will be considered by management depends to a significant degree on the integrity of those undertaking the audit.
- Employing an **audit checklist** against each question/prompt record who was audited and what was found and your conclusions as auditor – remember that you do not need to examine all examples of an activity – simply a sufficiently representative sample that gives you assurance that a responsibility is being enacted, ~5% level. Ensure that all conclusions are recorded and adequately supported and by reliable evidence – generally documented evidence; physical observation; or recorded verbal comment. This evidence should be sufficient for an experienced manager with no previous connection with the audit to ascertain what was found and how the conclusions were reached;
- Formally issue the finalised audit report to Department Directors for management consideration of the audit recommendations with a 1-month deadline, copied to SHE Group, Departmental Safety Contacts, Departmental Safety Committee Chairs and the STFC SHE Management Committee. Where recommendations are agreed management to detail the action required, the action owner and completion date for the action. Where a recommendation is rejected, management are required to document the basis for rejecting the recommendation.
- Record the audit report in Evotix Assure where the actions can also be set up to facilitate monitoring their completion. Evotix Assure will also allow standard progress reports for safety inspection actions to be set up.
- A template audit report can be found here.

Determining the frequency and scope of SHE Code audits

The audit plan attempts to audit approximately 42 safety Codes within a 5-year rolling programme. This equates to 8 audits per year over the 5-year period, whilst allowing for some flexibility each year to the scope of audits undertaken.

Audits are undertaken mainly by the internal STFC SHE audit team, with additional support being provided by the UKRI Management Assurance Team (MAT) for generic lower-risk activity audits, and external professional consultants for the specialist technical SHE Code audits. Typically, the UKRI and consultant teams would undertake a total of 3 to 4 audits per year from the programme.

The frequency and scope of the SHE Code audits are determined by the following factors:

- The undertaking of an audit of a specific SHE code within a maximum 5-year timescale based on the last audit date or the initial issue date for any new SHE codes
- This 5 year timescale is further adjusted accordingly based on the previous overall audit report assessment

Overall assessment	Audit period
Substantial	6 to 7 years
Moderate	5 years
Limited	3 to 4 years
Unsatisfactory	1 to 2 years

- In addition, the scope of each audit is also determined by the previous overall audit report assessment;

Overall assessment	Scope
Substantial	Desk-top audit only
Moderate	General audit
Limited	Detailed audit including possible inspections
Unsatisfactory	Specific audit rigorously checking major actions from previous audit

The frequency of the audits would be further influenced by the following;

- Changes made to the SHE codes since the last audit was undertaken often need to embed into the department structures before they can be tested and this may extend the audit period accordingly. Likewise, some changes may require immediate implementation and these would need to be checked at an earlier date
- Changes in legislation impacting on the SHE codes requiring auditing by an earlier date
- STFC infrastructure changes at the various sites impacting on the SHE codes
- RIDDOR incidents requiring procedural updates and specific changes to the SHE codes
- National/International events which would prompt urgent audit requirements of specific SHE codes
- The findings of the annual STFC Risk Register, determining which of the top 10 SHE risks have not been audited in the past 4 years

Minimum requirements for the experience and qualifications of lead auditors

For each of the SHE Codes, there are agreed minimum requirements for the experience and qualification of the lead auditors responsible for the quality of the audit. This includes knowledge of the respective Codes and audit experience. All audit reports should confirm how these requirements are met.

Code	Technical knowledge	Audit experience
SC01 Lone Working	<ul style="list-style-type: none"> - Risk assessment training - Lone working awareness training – Totara - Awareness of lone working alarm system 	<ul style="list-style-type: none"> - SHE Advisor - Experience of lone working planning - Knowledge of previous audit report or experience as part of the audit team
SC02 Safe movement of vehicles	<ul style="list-style-type: none"> - Risk assessment training - Awareness of the site vehicle transport risk assessment - Awareness of the Highway Code 	<ul style="list-style-type: none"> - SHE Advisor/Estates team - Experience of site traffic management - Knowledge of previous audit report or experience as part of the audit team
SC03 Safe use of cryogenic materials	<ul style="list-style-type: none"> - Safe use of cryogenic equipment training - Awareness of cryogenic hazard information - Awareness of oxygen level monitors 	<ul style="list-style-type: none"> - SHE Advisor/Engineering background - Experience of cryogenic management - Knowledge of previous audit report or experience as part of the audit team
SC04 PUWER	<ul style="list-style-type: none"> - PPE, ladder use, scaffold awareness, LEV, abrasive wheels, FLT training - General awareness of machinery user information - Awareness of vibrating equipment and HAV 	<ul style="list-style-type: none"> - SHE Advisor/Engineering background - Experience of hand tool and machinery use and management - Knowledge of previous audit report or experience as part of the audit team
SC05 Incident reporting and investigation	<ul style="list-style-type: none"> - Awareness of the incident investigation process - Awareness of RIDDOR and SoPS process - Awareness of incident reporting process 	<ul style="list-style-type: none"> - SHE Advisor/Technical background - Experience of incident investigation - Knowledge of previous audit report or experience as part of the audit team
SC06 Risk management	<ul style="list-style-type: none"> - Awareness of the STFC risk assessment process - Awareness of hazard identification - Awareness of method statement process 	<ul style="list-style-type: none"> - SHE Advisor/Technical background - Experience of risk assessment preparation - Knowledge of previous audit report or experience as part of the audit team
SC07 SHE Improvement planning	<ul style="list-style-type: none"> - Awareness of the STFC SHE Improvement planning process - Awareness of department SHE Improvement planning process - Awareness of the review and monitoring process in the delivery of the STFC SHE Improvement plans 	<ul style="list-style-type: none"> - SHE Advisor/Third party body - Experience of the STFC SHE Improvement plan preparation - Knowledge of previous audit report or experience as part of the audit team
SC08 Travel on Council business	<ul style="list-style-type: none"> - Awareness of the STFC travel policy and controls - Awareness of the preparation of travel plans and itineraries - Awareness of the FCO travel risk process 	<ul style="list-style-type: none"> - SHE Advisor/Estates team - Experience of the STFC travel plan preparation - Knowledge of previous audit report or experience as part of the audit team
SC09 Working at height	<ul style="list-style-type: none"> - Awareness of the STFC working at height policy and controls - Awareness of the STFC 	<ul style="list-style-type: none"> - SHE Advisor/Estates team/Technical background - Experience of the preparation of working at height risk

	<p>working on roofs process</p> <ul style="list-style-type: none"> - Awareness of the emergency and rescue requirements for working at height 	<p>assessments</p> <ul style="list-style-type: none"> - Knowledge of previous audit report or experience as part of the audit team
SC10 SHE Training	<ul style="list-style-type: none"> - Awareness of the STFC SHE induction and refresher training process - Awareness of the STFC SHE mandatory training process - Awareness of the hazard specific STFC SHE training process 	<ul style="list-style-type: none"> - SHE Advisor/Third party body - Experience of the preparation of a training needs analysis - Knowledge of previous audit report or experience as part of the audit team
SC11 Work in confined spaces	<ul style="list-style-type: none"> - Awareness of the STFC working in confined spaces policy and controls - Awareness of the STFC permit to work in confined space process - Awareness of the emergency and rescue requirements for working in confined spaces 	<ul style="list-style-type: none"> - SHE Advisor/Estates team/Technical background - Experience of the preparation of working in confined spaces risk assessments - Knowledge of previous audit report or experience as part of the audit team
SC12 Manual handling	<ul style="list-style-type: none"> - Awareness of the STFC manual handling policy and controls - Awareness of the identification of manual handling hazards - Awareness of the preparation of manual handling risk assessments 	<ul style="list-style-type: none"> - SHE Advisor/Technical background - Experience of the preparation of manual handling risk assessments - Knowledge of previous audit report or experience as part of the audit team
SC13 CDM	<ul style="list-style-type: none"> - Awareness of the STFC CDM policy and controls - Awareness of the duty holder roles required for CDM projects - Awareness of the notifiable project criteria and the process of notifying the HSE 	<ul style="list-style-type: none"> - SHE Advisor/Estates team/Technical background - Experience of the undertaking of CDM projects - Knowledge of previous audit report or experience as part of the audit team
SC14 Radioactive sealed sources	<ul style="list-style-type: none"> - Awareness of the STFC management of radioactive sealed sources policy and controls - Awareness of the RPA and RPS roles and their duties - Awareness of the annual source audit process 	<ul style="list-style-type: none"> - SHE Advisor/Radiation safety team - Experience of the local rules associated with the use of radioactive sealed sources - Knowledge of previous audit report or experience as part of the audit team
SC15 Management of contractors	<ul style="list-style-type: none"> - Awareness of the STFC management of contractors policy and controls - Awareness of the SLC and CSO roles and their duties - Awareness of the STFC SHE information for contractors and the preparation of RAMS 	<ul style="list-style-type: none"> - SHE Advisor/Estates team - Experience of managing contractors - Knowledge of previous audit report or experience as part of the audit team
SC16 Biological safety	<ul style="list-style-type: none"> - Awareness of the STFC biological safety policy and controls - Awareness of the biological safety officer role and duties - Awareness of the STFC biological safety committees and their scope 	<ul style="list-style-type: none"> - SHE Advisor/Biological safety officer/ Third party body - Experience of the preparation of biological risk assessments - Knowledge of previous audit report or experience as part of the audit team
SC17 Testing and inspection of	<ul style="list-style-type: none"> - Awareness of the STFC PAT 	<ul style="list-style-type: none"> - SHE Advisor/Electrical

electrical equipment	<p>testing policy and controls</p> <ul style="list-style-type: none"> - Awareness of the PAT tester and PLO roles and their duties - Awareness of the classification of electrical equipment 	<p>engineer/Estates team/Third party body</p> <ul style="list-style-type: none"> - Experience of the inspection and testing programme for Schedule A and B electrical equipment - Knowledge of previous audit report or experience as part of the audit team
SC18 Control of noise at work	<ul style="list-style-type: none"> - Awareness of the STFC control of noise at work policy and controls - Awareness of noise action values - Awareness of the noise assessment process and the provision of health surveillance 	<ul style="list-style-type: none"> - SHE Advisor/Technical background/Estates team - Experience of noise hazard identification and assessment - Knowledge of previous audit report or experience as part of the audit team
SC19 Work on buildings	<ul style="list-style-type: none"> - Awareness of the STFC work on buildings policy and controls - Awareness of building work co-ordinator role and duties - Awareness of the change of use process and subsequent hazard identification 	<ul style="list-style-type: none"> - SHE Advisor/Technical background/Estates team - Experience of buildings, premises, services and infrastructure projects - Knowledge of previous audit report or experience as part of the audit team
SC20 DSEAR	<ul style="list-style-type: none"> - Awareness of the STFC controlling explosive and flammable gases and dusts policy and controls - Awareness of hazard area classifications - Awareness of the ATEX requirements 	<ul style="list-style-type: none"> - SHE Advisor/Mechanical engineer/Third party body - Experience of the preparation of DSEAR risk assessments - Knowledge of previous audit report or experience as part of the audit team
SC21 Radioactive waste	<ul style="list-style-type: none"> - Awareness of the STFC radioactive waste policy and controls - Awareness of the RPA, RWA, RWM and RMC roles and their duties - Awareness of the annual radioactive waste material audits process 	<ul style="list-style-type: none"> - SHE Advisor/Radiation safety team - Experience of the STFC radioactive waste disposal process - Knowledge of previous audit report or experience as part of the audit team
SC22 Working with lasers	<ul style="list-style-type: none"> - Awareness of the STFC working with lasers policy and controls and the roles of overall laser responsible officer, laser responsible officer and laser nominated person, and their duties - Awareness of laser exposure limit values and health surveillance requirements - Awareness of the identification of laser hazards and the designation of laser areas 	<ul style="list-style-type: none"> - SHE Advisor/Third party body - Experience of the preparation of laser risk assessments and the implementation of control measures - Knowledge of previous audit report or experience as part of the audit team
SC23 Working with time-varying EMFs	<ul style="list-style-type: none"> - Awareness of the STFC working with time-varying EMFs policy and controls - Awareness of the role of EMF protection advisors and their duties 	<ul style="list-style-type: none"> - SHE Advisor/Third party body - Experience of the preparation of specific EMF risk assessments and the implementation of control measures

	<ul style="list-style-type: none"> - Awareness of the EMF exposure limit values 	<ul style="list-style-type: none"> - Knowledge of previous audit report or experience as part of the audit team
SC24 Occupational health screening and surveillance	<ul style="list-style-type: none"> - Awareness of the STFC occupational health screening and surveillance policy and controls - Awareness of the site specific occupational health provision of health screening and surveillance - Awareness of the role of appointed doctor and their duties 	<ul style="list-style-type: none"> - SHE Advisor/Third party body - Experience of the preparation of PPQs for new members of staff - Knowledge of previous audit report or experience as part of the audit team
SC25 DSE	<ul style="list-style-type: none"> - Awareness of the STFC DSE policy and controls - Awareness of the requirements of DSE assessments and the subsequent implementation of controls - Awareness of the DSE training provision 	<ul style="list-style-type: none"> - SHE Advisor/Technical background - Experience of the preparation of DSE assessments - Knowledge of previous audit report or experience as part of the audit team
SC26 Lifting equipment and lifting accessories	<ul style="list-style-type: none"> - Awareness of the STFC lifting equipment and lifting accessories policy and controls - Awareness of the roles of LOLER manager and LLOs and their duties - Awareness of the requirements for the purchase, design and use of LELA 	<ul style="list-style-type: none"> - SHE Advisor/Mechanical engineer - Experience of the preparation of lifting plans for complex lifts - Knowledge of previous audit report or experience as part of the audit team
SC27 Receipt and dispatch of hazardous substances	<ul style="list-style-type: none"> - Awareness of the STFC receipt and dispatch of hazardous substances policy and controls - Awareness of the roles of RPA, radioactive substance dispatchers and DGSA, and their duties - Awareness of the dangerous goods packaging requirements 	<ul style="list-style-type: none"> - SHE Advisor/Third party body - Experience of the preparation of hazard assessments of materials with no MSDS - Knowledge of previous audit report or experience as part of the audit team
SC28 Radioactive open sources	<ul style="list-style-type: none"> - Awareness of the STFC radioactive open sources policy and controls - Awareness of the RPA, RPS, and Health physics group roles and their duties - Awareness of the radioactive open source accounting process 	<ul style="list-style-type: none"> - SHE Advisor/Radiation safety team - Experience of the receipt and dispatch of radioactive open sources - Knowledge of previous audit report or experience as part of the audit team
SC29 Management of ionising radiation at work	<ul style="list-style-type: none"> - Awareness of the STFC management of ionising radiation at work policy and controls - Awareness of the RPS, RPA, RWA and Health physics group roles and their duties - Awareness of the site radiation emergency response process 	<ul style="list-style-type: none"> - SHE Advisor/Radiation safety team - Experience of the preparation of radiation risk assessments - Knowledge of previous audit report or experience as part of the audit team
SC30 SHE Auditing and inspection	<ul style="list-style-type: none"> - Awareness of the STFC SHE auditing and inspection policy and controls 	<ul style="list-style-type: none"> - SHE Advisor/Third party body - Experience in the identification of SHE

	<ul style="list-style-type: none"> - Awareness of the requirements for SHE compliance audits, SHE system audits and SHE inspection tours - Awareness of identifying SHE non-conformance 	<ul style="list-style-type: none"> improvement opportunities - Knowledge of previous audit report or experience as part of the audit team
SC31 Controlled and hazardous waste	<ul style="list-style-type: none"> - Awareness of the STFC controlled and hazardous waste policy and controls - Awareness of the roles of STFC environment officer and waste disposal officer and their duties - Awareness of the requirements of hazardous waste consignment notes 	<ul style="list-style-type: none"> - SHE Advisor/Technical background/third party body - Experience in the packaging and labelling of waste being transferred for disposal - Knowledge of previous audit report or experience as part of the audit team
SC32 Fire and emergency management	<ul style="list-style-type: none"> - Awareness of the STFC fire and emergency management policy and controls - Awareness of the roles of building fire managers, building wardens, fire safety advisors and hot work permit issuers and their duties - Awareness of the requirements of PEEPs 	<ul style="list-style-type: none"> - SHE Advisor/Technical background/FSA - Experience in the preparation of fire risk assessments - Knowledge of previous audit report or experience as part of the audit team
SC33 Safety of pressure and vacuum systems	<ul style="list-style-type: none"> - Awareness of the STFC safety of pressure and vacuum systems policy and controls - Awareness of the roles of pressure/vacuum systems design engineer, nominated engineer, technicians and permit issuers and their duties - Awareness of the requirements of the fitting protective devices to pressure and vacuum systems and the preparation of WSE 	<ul style="list-style-type: none"> - SHE Advisor/Mechanical engineer - Experience in the design or use of pressure and vacuum systems - Knowledge of previous audit report or experience as part of the audit team
SC34 Electrical safety	<ul style="list-style-type: none"> - Awareness of the STFC electrical safety policy and controls - Awareness of the roles of electrical authorising engineer, authorising person and nominated person and their duties - Awareness of the requirements of electrical distribution system safety rules and procedures 	<ul style="list-style-type: none"> - SHE Advisor/Electrical engineer - Experience in hazard identification of electrical work - Knowledge of previous audit report or experience as part of the audit team
SC35 Asbestos management	<ul style="list-style-type: none"> - Awareness of the STFC asbestos management policy and controls - Awareness of the site asbestos register and associated asbestos permits to work - Awareness of the roles of building works coordinators and asbestos control officer and their duties 	<ul style="list-style-type: none"> - SHE Advisor/Estates team/third party body - Experience in the preparation of risk assessments for work where there is a likely exposure to asbestos - Knowledge of previous audit report or experience as part of the audit team
SC36 First aid management	<ul style="list-style-type: none"> - Awareness of the STFC first aid management policy and 	<ul style="list-style-type: none"> - SHE Advisor/third party body - Experience in the preparation

	<p>controls</p> <ul style="list-style-type: none"> - Awareness of the training requirements of site first aiders and specific treatment requirements for cryogenic and hydrofluoric acid burns - Awareness of the role of occupational health teams, first aiders and contract supervising officers and their duties 	<p>of assessments of first aid needs in the workplace</p> <ul style="list-style-type: none"> - Knowledge of previous audit report or experience as part of the audit team
SC37 COSHH	<ul style="list-style-type: none"> - Awareness of the STFC COSHH policy and controls - Awareness of the role of COSHH assessor and contract supervising officers and their duties - Awareness of the general principles for working with hazardous substances 	<ul style="list-style-type: none"> - SHE Advisor/technical background - Experience in the preparation of COSHH risk assessments - Knowledge of previous audit report or experience as part of the audit team
SC38 Control of legionella	<ul style="list-style-type: none"> - Awareness of the STFC control of legionella policy and controls - Awareness of the role of legionella responsible person and the site water safety groups and their duties - Awareness of the requirements of emergency actions in the event of an outbreak of legionella 	<ul style="list-style-type: none"> - SHE Advisor/technical background/Estates team/Third party body - Experience in the preparation of legionella risk assessments and water system registers - Knowledge of previous audit report or experience as part of the audit team
SC39 Static magnetic fields	<ul style="list-style-type: none"> - Awareness of the STFC static magnetic fields policy and controls - Awareness of the role of static magnetic field protection advisers and occupational health advisers and their duties - Awareness of the exposure limit values and action levels 	<ul style="list-style-type: none"> - SHE Advisor/technical background - Experience in the hazard identification associated with strong static magnetic fields and the preparation of specific EMF assessments - Knowledge of previous audit report or experience as part of the audit team
SC41 Controlling pollution to air, land and water	<ul style="list-style-type: none"> - Awareness of the STFC controlling pollution to air, land and water policy and controls - Awareness of the authorisations required to carry out discharges and the production of hazardous waste - Awareness of the annual review of the environmental legal compliance registers 	<ul style="list-style-type: none"> - SHE Advisor/technical background/third party body - Experience in the preparation of the register of legal requirements and environmental aspects and impacts - Knowledge of previous audit report or experience as part of the audit team

Minimum requirements for auditor independence

Auditors undertaking SHE compliance audits should have a level of impartiality in their duties in order to address the risks associated with creating biased results. Any conflict of interest, self-interest, self-review, advocacy, intimidation or familiarity with the Departments and processes being audited needs to be reconciled. All auditors should be provided with the freedom from influences that might affect impartiality, including those that could arise from undue pressures or inducements, conflict of interest, and personal, financial, or other non-professional considerations.

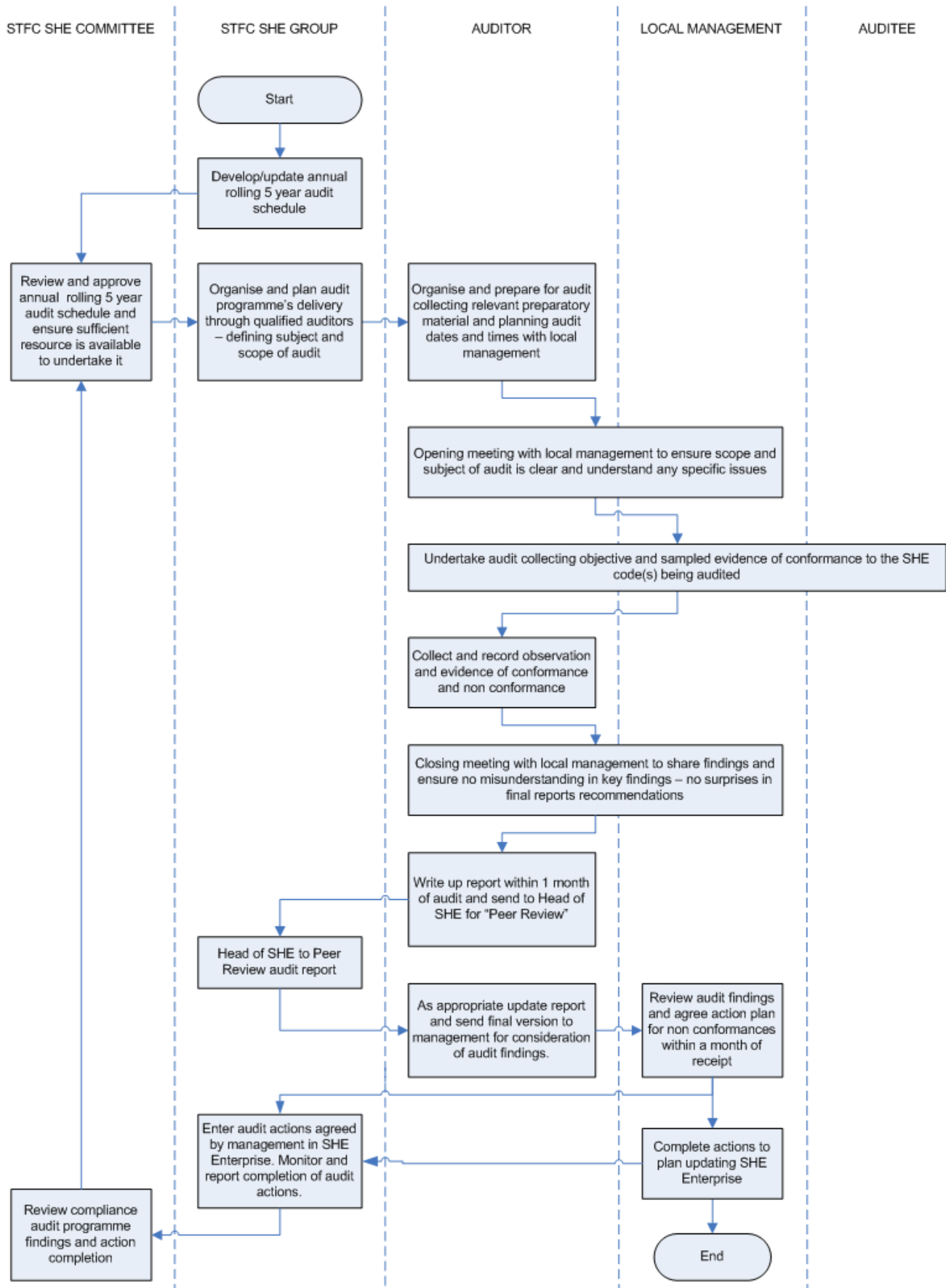
It is important that auditors provide specialist support for technical audits, affording their training, knowledge and experience of the subject matter, but need to be fully aware that in doing so they uphold the principles of the absence of bias in their contributions.

Checks should be made at the outset of an audit to ensure that auditor impartiality has been addressed and recorded in each audit report.

Minimum requirements for the peer review of audit reports prior to publication

Prior to publication, audit reports should be peer reviewed by the SHE audit manager and/or the head of SHE Group. The review ensures that the scope coverage has been met, that the content of the audit against the annual audit programme has been evaluated and that standards of evidence are consistent throughout the report. This peer review should be recorded in the audit reports.

A summary flowchart of the audit process is shown below



Suggested prompts for auditors undertaking audits

Audit interview checklist

- Introduce yourself - explain objectives of the audit programme – senior management assurance and code improvement and what code you are auditing.
- Thank them for sparing the time to be audited.
- Remind them that the process is being assessed NOT the people – never compare people or judge them.
- Remind auditees that everything is confidential, but you will be taking some written notes to write up a report and that the report will go to the STFC H&S Consultation Committee and local management.
- Use checklist to keep interview on track
- Use question types appropriately – open questions to seek information, closed questions to clarify your understanding – avoid leading questions.
- Summarise your conclusions to ensure no surprises.
Don't engage in gossip, argue or be confrontational - remain professional.