Audit, Inspection and Weekly Monitoring Standard

(SHEMS-STD-GR-008)

Unitas
Stoke-on-Trent Ltd.

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1 Introduction

The purpose of this standard is to document the process for audits, inspections and monitoring activities within Unitas, providing evidence of compliance to applicable legislative and contractual requirements and the provision of both safe working and reduction of the environmental impact within our workplaces.

Unitas Operational Management teams shall carry out audits and inspections for Safety, Health and Environment and complimented by specialist SHE audits completed by the Unitas SHE team.

The hierarchy of audits and inspections, determining the level, type and person responsible for completion is defined at Section 3 of this standard.

2 Scope

The scope of the SHEMS covers all persons, workplaces and operations in Unitas.

Exceptions will be documented through a SHEMS appendix B process (SHEMS-FOR-GR-999) authorised by the Unitas SHE Director Responsible for coordinating SHE.

Unitas SHEMS Manual (SHEMS-STD-GR-003) provides guidance and signpost for the compliance, implementation, monitoring, audit and review of our systems, demonstrating continual improvement.

3 Unitas Requirements

Unitas SHEMS provides the key Unitas standards that are implemented throughout the Unitas business. These are mandatory unless an alternative has been agreed and documented via a SHEMS Plan appendix B (SHEMS-FOR-GR-999) based upon risk and needs.

Audits are completed at all levels as defined below. The results of all audits are collated within the Unitas Monthly/Quarterly report and recorded within the Unitas SHE Issues Register.

The varying levels and types of audits allows a rounded viewpoint to be achieved as individuals utilise their expertise to focus on;

- Communication of Unitas Strategy ‘Responsible business, positive outcomes’ and objectives and targets.
- Integration of SHEMS into Business Stream Business Plans and Risk Registers.
- Evaluating the effective implementation of SHEMS.
- Ensuring that all employees and supply chain observed are working safely.
- Each project/office/depot is aware of their environmental impact and controls/action plan.
- Capturing examples of innovation or best practice and communication and circulation as appropriate to a wider audience.

SHEMS meets the requirements of legislation ISO14001 and OHSAS 18001 and our systems operate on Plan, Do, Check and Act. All actions identified as non-conformances will be recorded within the appropriate database.

3.1 Audits

3.1.1 Audit Hierarchy and responsibility (Figure 1)

Audit type	4.1.3 Ref	Scope	Frequency	Carried out by	Monitored by
Visible SHE Leadership site/premises tours	A	Unitas Vision and Policy Objectives SHEMS	3 per quarter	Board Members Unitas SHE Director SMT	Unitas Board
Unitas Governance	B	SHEMS Review	Annually	Unitas SHE and Compliance	Unitas Board
Management Audits	C	SHEMS Business Plan Risk Management	Monthly by Business Stream	Unitas SHE Manager/SMT	Unitas SHE and Compliance Mgr
Environmental Audit	D	SHEMS Aspects & Impacts	1 per month SHE Manager	Unitas SHE Manager	Unitas SMT and Compliance Mgr
APR Inspections	E	Site/contract standards and requirements	As appropriate	Unitas SHE Advisors	Unitas SMT and Compliance Mgr
Supervisor Inspection	G	Site/contract standards and requirements	Weekly	Managers/Supervisor (Unitas or Sub-contractor)	Unitas SHE MGR and Compliance

Figure 1 Audit Hierarchy and Responsibility

Unitas Safety and Health Policy confirms our Vision for zero accident incidence rate (AIR) through demonstration of;

- visible and active leadership to ensure that our workforce are aware that working safely is a condition of employment and/or supply chain contract;
- Identify and mitigate to an acceptable level any workplace safety and health risks.

Unitas Environmental Policy confirms our Vision for minimising our negative impact. To achieve this Unitas shall;

- Be a respectful neighbour by minimising the environmental impact that our activities (projects, depots and offices) have on the environment and local communities;
- Protect and, where feasible, enhance biodiversity on projects, depots and offices where we hold responsibility or can influence those that do;

A clear commitment from the board that anyone who identifies an unsafe act or condition can stop the activity without fear of punitive action and must report the situation to the site/premises management to ensure that everyone goes home safely. Such empowerment applies to all environmental potential incidents too.

3.1.2 Audit Plan

It is the responsibility of the Unitas SHE Director responsible for co-ordinating SHE to create their own risk based Audit Plan based upon the business operations. This will be shared and communicated to the Business SMT and SHE team.

Unitas SHE shall collate the individual Workstream audit plans into a single Unitas audit plan supplemented with all audits ensuring there are no duplications of same workplace and time.

3.1.3 Internal Audit types

As part of the planning for each type of visit the auditor shall verify from the Unitas Issue Register the current status of actions previously raised at the nominated project/office/depot to allow a dialogue and verification of effective implementation of corrective actions.

The report will identify best practice, non-conformities and actions. Results of audits shall be recorded, communicated and entered onto the Issues Register /database.

SMT is responsible for agreement and implementation of corrective actions with support and advice as appropriate from the Business SHE team.

The Unitas Board will carry out two site visits per year. Unitas Directors and SMT shall complete a Visible SHE Leadership tour (Figure 1 ref: A) at a nominated project/office/depot to engage primarily with the workforce and to verify that the workplace visited;-

- is aware of the Business plan/project plan objectives
- has good workplace conditions
- has implemented SHE standards effectively
- is safe and the impacts to the environment reduced.

Further information can be found in Visible SHE Leadership Standard (SHEMS-STD-GR-007)

Unitas SHE Team shall complete a minimum of 1 audit per Business Stream per year.

Management audits: (Figure 1 ref: C) are completed by Unitas SHE Manager/ SMT approved by the Director responsible for coordinating SHE, focusing on compliance with Unitas SHE Standards. The information will also be used to review Unitas SHE Standards and processes.

These audits will be focussed and will effectively provide information regarding how risks are being managed on site. The auditor shall ensure that;

- Unitas and Business Units standards are followed, or exceptions recorded and authorised on SHEMS plan, appendix B (SHEMS-FOR-GR-999).
- Individual technical process and task delivery are as documented and environmental impact known and reduced accordingly.
- Best practice recorded and shared.

Environmental audits: (Figure 1 ref: D) allow the auditor and auditee to ensure that the project/depot/office is compliant with ISO 14001 Legislation, Unitas and Business Stream SHEMS standards. These are completed by Unitas SHE Manager to support and enhance the Business Streams environmental compliance and best practice.

The audits shall establish whether environmental Aspects and Impacts have been identified with suitable control measures implemented to reduce the negative impact. To support Unitas' Vision on environmental targets, the audit shall verify how such controls and awareness have been communicated to the workforce and that a system of monitoring and review is in place.

The audit should ensure the Aspect and Impact (A&I) Assessment process and register (SHEMS-FOR-GR-040) are regularly reviewed and updated following the identification of environmental incident or potential incidents. It will include a review of incident investigations,

effectiveness of suitable controls implemented and documented through changes to the A&I register.

The Environmental auditor shall ensure that;

- Unitas and Business Streams standards are followed or exceptions recorded and authorised on SHEMS plan, appendix B (SHEMS-FOR-GR-999).
- Individual operational process and/or task delivery are as documented, and include reference to the environmental impact and reduced accordingly.
- Best practice recorded and shared.

SHE Site Inspection (APR): (Figure 1 ref: E) The APR is used for formal inspection of construction and service activities and are normally completed by SHE managers and SHE advisors.

The primary means for recording APR inspections shall be the Unitas SHE inspection documentation. Paper based versions are available for situations where use of the electronic system is not possible. In such circumstances, reports are to be uploaded electronically at the earliest opportunity.

APR inspections are planned via the Business Stream to reflect the current level of risk and previous performance. However the exact day will generally be unannounced.

On completion of the APR inspection, a report will be issued which will identify strengths, weaknesses and highlight good practice. The person in charge of the location must ensure that the necessary actions are taken to close out identified items within the specified timescales.

It is the responsibility of the Senior Manager to ensure that the corrective actions are suitable (in preventing further occurrence) and provide evidence of verification in addition to the corrective action implementation. The SHE Manager shall close out actions on the report following suitable review of actions and verifications from the responsible Business Stream managers.

There shall be a timely review by Directors and Senior Management when APR inspection findings fall into specific categories.

Where a member of the SHE team identifies a situation where there is an imminent risk of severe harm to individuals or the environment and this is not immediately dealt with or, in their opinion, it is likely to reoccur, an “Urgent and Immediate Notice” (U&I) shall be issued. SHE line management at Unitas and the SHE Director will be notified immediately of its issue.

The U&I notice will suspend specified work until appropriate remedial action has been undertaken and the SHE Director responsible for coordinating SHE is satisfied that the issues identified within the notice have been addressed.

Property/Location inspections: (Figure 1) All Unitas Business Streams shall identify an appropriate number of competent persons to plan and carry out SHE inspections of workplaces and activities. The type and frequency of audit shall be as a minimum annually, additional audits as required, based on the location risk profile and activities. Over a 12 month period, all aspects noted within the Premises Site Regulatory Compliance review (SHEMS-FOR-GR-117) shall be completed and if required, corrective actions taken. Records of rectification will be maintained within the premises register (SHEMS-FOR-GR-119)

Where a Unitas Business acts as landlord or are responsible for the premises they shall produce an inspection programme to ensure SHE requirements are being fulfilled and premises, depots, workshops, offices etc. are being appropriately maintained with regard to safety, health and environmental matters.

All inspections shall be recorded in the Premises SHE Register.

When Unitas is the tenant of serviced offices etc., the Office Manager shall liaise with the landlord or his agent to ensure that minimum statutory inspections are complied with and records supplied to Unitas to enable our duty of care to be complied with. Planned monthly inspections (SHEMS-FOR-GR-120) shall be completed by the Office Manager.

Manager; Supervisor and Sub-Contractor Weekly Inspections: (Figure 1 ref: G) In addition to their continual daily responsibilities, Site Supervisors shall carry out an inspection of their area of responsibility as a minimum of one per week basis, recorded on SHEMS-FOR-GR-289. Any defects noted shall be actioned, with the form forwarded to the Site Manager for retention.

3.1.4 Audit stages

Unitas and Management Audits shall be planned and communicated as follows;

The allocated auditor shall inform the Business Stream/location of the forthcoming audit a minimum of two weeks in advance. The notice shall define the scope and indicate personnel required, plus resource details e.g. meeting room and times etc.

Opening Meetings shall be held allowing the auditor to confirm the scope and purpose of the audit and a closing meeting shall be held to verify all audit findings before the report is issued and the Unitas database updated. The report is to be sent to Unitas SHE.

Audits are completed through discussion, observation and review of working documents/records as evidence. All should be recorded within the audit notes. Some audits are completed with the help of a checklist, others may be completed as a process or systems audit based upon ISO19011 requirements. At all times the auditor has the authority to deviate should they observe an unsafe act to the workforce or the environment which requires further investigation/support.

Audit scores, findings and actions will be captured via the Business (SMT) board meeting and Monthly SHE Dashboard and reported upwards through to the Unitas Board as required.

3.1.5 Auditor Competence

Directors and Senior Managers must ensure individuals undertaking audits, inspections and monitoring activities are competent. Some tasks may require specific expertise and increased levels of competence.

3.1.6 External Audits

The following external audits are completed to support Unitas' commitment for alignment of ISO14001 and OHSAS 18001 and appropriate SHE legislation.

Unitas Level Audit	Type	Undertaken By
Stoke-on-Trent City Council Health and Safety	External	Stoke H&S Team

Figure 3 External Audits

It is appreciated that such audits take a random sample of activities and where no non-conformities are found this doesn't mean none exist. Unitas management shall remain vigilant at

all times, monitoring and implementing actions to prevent incidents, impacts and further issues to the safe wellbeing of our workforce and the environmental conditions of our workplaces.

Further external audits will be arranged when a competent auditor has been identified and agreed by Unitas SMT.

3.1.7 Audit Review

The Director responsible for Coordinating SHE in conjunction with the SHE Manager shall present at the Business monthly Board (SMT) meetings an update of the previous month and year to date results, analysis and trends of audit findings, highlighting recommendations for actions.
The Business Board shall ensure that the necessary actions are implemented, lessons learnt and shared amongst all within the Business.

The Unitas SHE Director shall prepare a monthly SHE report detailing audit trends and actions for review by the Unitas Board.

3.2 Inspections

Inspections are carried out to ensure that safe systems of work, including legal requirements (PUWER/LOLER) and control measures (Eliminate, Reduce, Inform, Control, PPE and Discipline (ERIC PD) as identified in risk assessments and method statements, are implemented and effective.

Management must ensure workers and supervisors are aware of individual responsibilities to carry out visual checks of the physical condition of their workplace and equipment prior to the worker starting or re-starting work and report any concerns regarding safety, health and environment to their supervisor/line management.

In addition to the above, our supply chain is required to undertake inspections of workplaces and activities under their control, and to report any concerns to Unitas management.

3.2.1 Statutory Inspections

Some inspections of the assets, workplace and equipment are required under specific legislation, which specify the type, timescale, record keeping and retention periods. Examples of work or equipment subject to statutory inspection include Unitas' Compliance Strategy, Management Plans and the items listed below;

- Working platforms
- Scaffolding
- Excavations
- Temporary works
- Lifting equipment
- Mobile plant
- Respiratory equipment
- Landlord issues such as gas systems
- Asbestos

Records of statutory inspections are to be maintained within the Project Register and Premises SHE Register (SHEMS-FOR-GR-119) and subsequently archived in accordance with the Documentation Standard (SHEMS-STD-GR-010) and Records Register

3.3 Monitoring

Managers and supervisors are responsible for monitoring to ensure compliance with the agreed safe system of work.

Management teams must undertake monitoring of workplaces and activities at a frequency identified by the current risk profile and in conjunction with Unitas' Compliance Strategy and Management Plans. Task specific monitoring is also required, particularly for high risk activities.

Examples of specific monitoring include:

- As required by permit to work, e.g. Hot Works, Confined Spaces
- Environmental Weekly Monitoring e.g. noise or pollution
- Fire monitoring of all locations, premises and sites by fire wardens
- Occupational Health Exposure Monitoring
- Senior Managers' Monthly Monitoring Review
- Supply Chain performance

Monitoring of workplaces and activities must take place, as a minimum, on a weekly basis, recording findings and actions. Records are to be maintained within the Project Register or Premises SHE Register SHEMS-FOR-GR-119. (Note, Office frequency shall be risk based)

The Business SMT must evaluate this information during their monthly SMT review process to ensure trends are identified, actioned and closed out appropriately. Trends, both positive and negative, must be promptly brought to the attention of the SHE Director responsible for coordinating SHE.

The SHE Director responsible for coordinating SHE is to review trends with the Operations Management and SHE Manager to formulate action plans.

The supply chain is also required to demonstrate their effective monitoring of activities under their control.

3.4 Corrective Action

3.4.1 Issues Register

All findings will be discussed at the Closing Meeting and the responsibility for corrective action assigned (normally Senior Manager). The findings will be recorded on the Issues Register and referenced within the report. Findings will be recorded as;

Good Practice	Recognise & communicate to others
Observation	Potential for SHE failing. Consider and action.
Non Conformity	Audits finding are below Unitas requirements. Corrective Action required.
Major	Corrective Action within 7 days.
Urgent & Immediate Notice	Corrective Action within 24hrs.

The person responsible for the audit shall complete and record all findings on the Issues Register and each finding shall be allocated to an owner responsible for timely action.

Details of actions implemented shall be recorded by the allocated owner.

The Operations Manager shall complete verification activities within 28 days of the action being implemented to verify its effectiveness. Sharing of lessons learnt shall be via SHE communications in order to prevent further recurrence within Unitas.

The Director responsible for coordinating SHE shall monitor the Issues Register ensuring all actions are completed in timely manner. Trends, data analysis and reports shall be shared with the Board and the SMT. The SHE Manager shall support the review and continual improvement process.

3.4.2 Unitas APR Senior Management Intervention Process (SMIP)

The Operations Manager on each site will have overall responsibility to ensure that all actions identified during an APR inspection are closed out in a timely manner.

For all APR inspections the Operations Manager (or equivalent) must review the written close out report and be satisfied that those actions have been undertaken.

The number of reds and ambers identified will trigger a review by the Unitas SHE Director Responsible for coordinating SHE. This review will determine the level of senior management intervention required. For high numbers of reds and ambers the Business SHE Manager will be consulted. Figure 2 details these trigger levels.

Following the SMIP review, it will be decided if a senior management intervention is required, at what level and if a site visit is necessary. The intervention review must also take into consideration the previous two APR inspection reports.

All interventions must be completed within a week of the APR inspection. The APR close out must include reference to the intervention review, those involved and the actions agreed/ implemented. The Director responsible for coordinating SHE shall monitor the SHE performance of the depot/ project following the SMIP to ensure that agreed corrective actions are implemented effectively with no further recurrences.

The SHE Manager shall provide a tabular summary of all APR inspections to be issued to the Senior Management Team on a monthly basis. The summary must contain an update on all APR's that required Senior Management intervention.

Figure 2 – Trigger Levels

APR Inspection Number of Red/ Amber Scores	Responsible for Ensuring Close Out	Notification Level
1 Red	Site Manager/OTL	Project Manager
2 Reds	Project Manager	Head of Service/SHE Manager
3 or more Reds	SHE Director	Head of Service/SHE Director
1 to 3 Amber	Site Manager/OTL	Project Manager
4/5 Ambers	Project Manager	Head of Service /SHE Manager
More than 5 Ambers	Head of Service	Head of Service/SHE Director/SHE Manager
Repeat Failing	SHE Director	Head of Service/SHE Director/SHE Manager
Urgent and Immediate-Stop Work	Head of Service	Head of Service/SHE Director/SHE Manager
Best Practice/Innovation	N/A	Head of Service/SHE Director/SHE Manager
NOTE: Where a red is issued the issuer must consider if it is safe to continue to work or if work should be suspended or stopped.		

Appendix I

Guidance on the use of the Unitas Accident Potential Rating (APR) Inspection Reports*:

CATEGORY	PROCESS	OUTPUT
VERY GOOD	This category is to identify **exceptional** conditions or management which surpasses Unitas' Standards and current recognised industry best practice.	Photo(s) required with a description to enable this exemplary practice to be communicated and extended throughout Unitas and the Industry. Follow up notification required of details to Area SHE Manager for onward circulation.
SATISFACTORY	Meets Unitas Standards and current industry best practice.	Describe findings.
IMPROVEMENT	Conditions, situations or management issues requiring improvement to meet Unitas' Standards and current recognised industry best practice.	Describe the improvement required and include details of advice given and timescales to rectify findings. Where corrective actions are completed during the inspection visit, details are to be recorded.
UNACCEPTABLE	Failure to meet Unitas' Standards and recognised industry best practice.	Photo(s) required with a description, including details of advice given and timescales to rectify findings. Consider issue of Urgent and Immediate Notice
REPEAT FAILINGS	Previously identified problems not adequately addressed or recurring.	Photo(s) required with a description, including details of advice given and timescales to rectify findings. Ensure that the issue is discussed with senior management without delay Consider issue of Urgent and Immediate Notice
URGENT & IMMEDIATE NOTICE	Urgent & Immediate Notices are to be issued in accordance with Unitas SHE Procedures An Urgent and Immediate Notice may be issued as part of the Inspection Report or as a stand-alone document if there is a requirement to issue an Urgent and Immediate Notice without carrying out an APR inspection.	Photo(s) required with a description, including details of advice given and timescales to rectify findings Ensure that the issue is discussed with Senior Management without delay Company senior management will then authorise work to restart when issues have been appraised.

*Each APR is limited to a maximum of 25 photographs. Photographs should be used to enhance and demonstrate best practice or sub-standard conditions and not to primarily record general compliance. It is envisaged that a majority of reports would contain approximately 12 photographs.