

Risk Management

Compliance Scheme

	Standard of Compliance	Auditor's Guide
0	Control not determined	No survey of needs has been carried out to identify any requirements for controls.
1	No control	Company/managerial/individual failure to control some or all of an area or situation. If the auditor is not provided with clear evidence e.g. documentation and records to substantiate the existence of any controls, non-compliance is considered to exist.
2	Part controls exist	Evidence indicates that some progress has taken place and controls have been partly developed or established.
3	Controls inadequate	Controls are broadly well developed but significant discrepancies or shortfalls in controls exist. Documentation/controls provided are either out of date, not a true reflection on the organisation or not entirely suitable for the task or situation.
4	Controls not used	Although evidence of the existence of appropriate documentation/controls has been provided the auditor's findings indicate a total lack of their use.
5	Irregular use of controls	Although documentation/controls exist the auditor's findings indicate that use and/or compliance with controls by users is irregular and not insisted upon by management.
6	Additional training/measures required	To ensure use and/or compliance with controls, additional refining measures and/or training are required.
7	Basic legal compliance	Minimum legal requirements (good practice) are achieved. Auditor's findings substantiate that documentation use and/or compliance with controls meets appropriate requirements.
8	Significant controls	The Company must show that health and safety is being promoted beyond the necessity of legal compliance. Evidence is required that health and safety is part of the normal work routine and regarded as an equal partner to other management objectives, and that a "safety culture and commitment" is significantly developed/established.
9	Advanced controls	To achieve this standard the auditor must ensure that the company not only meets fully the requirements of (7 & 8) but can also demonstrate additional improvements e.g. health and safety policy meetings, regularly reviewing documentation and checking use.
10	Optimum controls	A comprehensive and sustained approach aimed at a progressive and continuous development that will change the whole quality of the organisation by the removal of many of the factors which cause and influence the creation of unsafe/unhealthy conditions/actions. Off the Job Safety is an integral part of the corporate safety objectives.

