GUIDELINE: HSSE Competence Assurance Checklist

UIE Guideline

The Guideline is designed to help assess the current approach to competence within the contracting organisation.

It takes the form of a list of questions, with suggested performance criteria, which provide a standard of good practice. The criteria describe outputs of an effective system, not the methods used to achieve them.

The questionnaire provides a high level overview to enable an impression to be formed of how close the contracting company is with complying with EP Standard 'Competence Assurance of HSSE Critical Positions'.

If there are only a few areas of weakness, it can then be used as the basis of a remedial action plan.

If the overview reveals major weaknesses, a more detailed review of the company's arrangements on competence may need to be undertaken.

Checklist Question		Performance Criteria	
1. What is the company's Policy on Competence assurance?	✓	A. A Policy exists, is documented and controlled.	
	✓	B. The policy includes a statement regarding assessment of what people do at work.	
	✓	C. The policy covers everyone who performs safety critical tasks, including contractors and subcontractors.	
2. How widely is the policy available, understood, implemented and maintained?	✓	A. Managers have an awareness of the policy.	
	✓	B. Supervisors can describe the policy, objectives and procedures.	
3. Who has the responsibility and authority to control key parts of the competence system?	✓	A. Responsibilities of System custodian are clearly defined and documented.	
	✓	B. Those with responsibilities have adequate and appropriate authorities.	

4. What standards of competence are used when assessing people in key HSSE roles?	✓	A. HSSE Key roles are defined and documented.	
	✓	B. Competence standards for each role are defined and documented.	
	✓	C. The competence standards used relate clearly to what people actually do at work.	
	✓	D. The competence standards use National criteria where appropriate.	
5. What methods of assessment are used to determine whether individuals are competent?	✓	A. Assessment methods are appropriate to the competencies being assessed.	
	✓	B. Work performance is tested where possible.	
	✓	C. Tests, simulation, etc, are used appropriately	
6. Are assessors adequately trained?	✓	A. Those assessed have been briefed on the system.	
	✓	B. Assessors can describe the process of assessment as well as the procedures.	
	✓	C. Newcomers to the system are briefed.	
7. What verification requirements or internal audit requirements have been identified?	✓	A. Procedures exist to co-ordinate standards across different assessors	
	✓	B. There is a regular programme of internal audits	
8. Who co-ordinates and monitors assessment practices	✓	A. Standard exist for internal verifiers/auditors	
	✓	B. People are identified to verify assessments.	
9. Who else reviews and audits competence assurance other than the people directly responsible?	✓	A. Auditors have been identified who are independent of the line management structure.	

10. What is the procedure for logging corrective action?	✓	A. A procedure exists.	
	✓	B. There is evidence of compliance with it.	
11 Which member of the senior management team is responsible for maintaining and improving the competence assurance system	✓	A. There is a single point responsibility for competence at senior management team level.	
	✓	B. The manager accepts responsibility unreservedly.	
12. How frequently and how regularly does senior management review the effectiveness of the system?	✓	A. There is regular review by senior management	
	✓	B. The review is at least annually.	
13. What records are kept of competence and verification?	✓	A. Documentation is clear, simple, fit for purpose.	
	✓	B. It is accessible to those who need access.	
	✓	C. It is on a retention cycle and is auditable.	
14. Assessment and assurance procedures?	✓	A. Procedures exist for assessment (In-house or industry).	
	✓	B. Procedures have a recognised central source (Controlled in-House).	
	✓	C. Changes to procedures are authorised and communicated appropriately.	
	✓	D. Procedures are subject to regular review and update.	