

SME Framework				
	LEVEL THREE	LEVEL TWO	LEVEL ONE	
	<i>Score 6</i>	<i>Score 2-5</i>	<i>Score 1</i>	
SCORING KEY				Score
	Standards unacceptable 6.	Unsatisfactory 5. Patchy 4. Minor shortcoming 3. Good 2.	Compliance and High standards 1.	
Leadership: Safety Policy and SMS System	No documented H&S policy or targets. Informal policies may be in place. No effort to allocate time/resources to h/s.	Some implementation of a SMS but this is not complete. A policy, but commitment/responsibilities unfulfilled.	Full up to date policy, possibly a robust system e.g. BSI 8800/ISO 18001. Plan, do, check, act. Objectives/targets consistent with their policy	
Statutory Docs. Ins certs, signs	Absence of system of examination of equipment, poor informative signs	Some examinations completed on time and some informative signs	All mandatory systems, documents and safety signs in place	
Organising: Control and Risk Assessment	Poor attempts to plan for compliance/identify/consider risks. No responsibilities allocated or unfulfilled	Recognition of hazards but inadequate risk assessments. Unsure how to control supply chain	Written assessments for all significant risks. Sensible h/s used as benchmark	
Organising Cooperation, Communication	No workforce involvement, poor leadership, staff suggestions not encouraged. Inadequate information/guidance by directors. No toolbox talks	Some evidence of involvement, team spirit/support. Some written information, informal walkabouts, briefings. Safety gets a mention.	Systematic capture of staff ideas, encouragement, involvement in procedure development, accident/near miss reporting and investigation. Visible leadership from highest level on site	
Organising Competence	No competent advice. No awareness of training needs, statutory training not given, e.g. for trucks	Basic training provided, lacking at senior level. Induction briefings. Statutory training achieved	OH&S training programme/refreshers and staff are competent for the tasks they have to undertake. Senior management competent, not necessarily trained.	

Chris Ward Micro SME matrix

Planning, Implementing Safety Controls	Significant absence of control of safety hazards. Accidents waiting to happen	Controls identified but not fully implemented or have become ineffective	Implemented operational safety procedures/risk assessments, including for control of contractors and safety of Members of the Public	
Planning, Implementing Health Controls	Significant absence of control of health hazards. Feels unhealthy.	Controls identified but not fully implemented or have become ineffective	Implemented operational health procedures/risk assessments, including for control of contractors and health of Members of the Public	
Measuring Performance and Review	Nothing done before it goes wrong. No management oversight or enforcement of standards. Accidents/near miss not evaluated/lessons not learnt	System of monitoring exists, risk assessments reviewed. Some health surveillance e.g. dermatitis, hearing, Underlying causes of accidents identified/implementation	Senior management active interest in performance, employees perform to agreed standards. Proactive e.g. safety checks and reactive monitoring, accident/near miss reviews inform plans/decision making	
Overall Business Performance	Exposed to accidents, prosecution, losing civil claims, increasing insurance premiums. Production below expectations.	Able to manage h/s systematically, some collateral damage, e.g. vehicles/incidents occurring	Impressive reputation, could defend a prosecution, defend civil claims. Eligible for insurance premium discounts. Preferred supplier, prequalification certification	
Management Attitude	Negative, hostile, complacent. Cynical, and does things only as a result of outside pressures	Motivated though lacking commitment, skills and prioritisation; appoints others to take responsibility	Positive, proactive, recognises business benefits as well as legal, moral argument for continuous improvement. Sees things through. Achieve sensible health and safety	
			Raw Score 0-60	
			Divide by 10	