HEALTH AND SAFETY SYSTEM AUDIT PROTOCOLS

Auditee Organisation: **The Management**

Audit Location: **Somewhere**

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Date of Audit   **11 June 2007**

Auditors Organisation: **Veritas Consulting Safety Services**

Auditor/s: **Dick James**

Audit Purpose : Health and Safety Systems Audit
Health and Safety System Audit carried out to determine the status of Health and Safety management within the organisation under review and the systems it uses to control its undertakings.

Audit by :   **Dick James**

Signed :   **Date: 18 June 2007**

Significant Findings Received By (Name):

Signature :   **Date:**

Contents

1 CORE QUESTIONS

(This section is for all organisations irrespective of their type of work.)

1.1 POLICY

1.1.1 POLICY STATEMENT

If more than five people are employed, is a copy of the organisation's Health and Safety Policy Statement, as required by .2(3) of the Health and Safety at Work Act etc, 1974 available.

Is the Policy Statement
- Displayed on the company notice board?
- Satisfactory?
- Up to date and signed by the MD or Director?

1.1.2 MANAGEMENT SYSTEM

If more than five people are employed, is there a Health and Safety Management System or written health and safety arrangements as required by Regulation 4 of the **Management of Health and Safety at Work Regulations 1992** available.

Is the document structured clear, concise and indexed?

Does the Health and Safety Management System provide for the effective **planning, organisation, implementation and control, monitoring and review** of the preventative and protective measures as required by Regulation 4 of the **Management of Health and Safety at Work Regulations 1992 and**
embody the main principles of HS(G)65? I.e.
- Policy
- Organisation
- Planning
- Implementation and Control
- Monitoring
- Reviewing
- Auditing

Does the document or system have a management system approach? E.g. does it use
- Workflow process description e.g.
  - Flowchart, or clear description of process etc.?
  - Proformas?
- Control mechanisms e.g.
  - Checklists?
  - Sign-off forms for critical stages or processes or milestones?

1.1.3 H&S TARGETS & OBJECTIVES

Have H&S Targets & Objectives been set & and a H&S Action Plan implemented to achieve the objectives.

1.2 ORGANISATION

1.2.1 OVERALL RESPONSIBILITY FOR THE MANAGEMENT OF HEALTH AND SAFETY

Who in the organisation has overall responsibility for the management of health and safety?

Name:
Position:
Address:

Tel: Fax:

Evidence of competencies, qualifications, experience, training, membership of professional bodies, CV's etc.

1.2.2 COMPETENT PERSON (OR PERSONS) TO ADVISE ON HEALTH AND SAFETY

Who has the organisation appointed as a competent person (or persons) to advise on matters of Health and Safety as required by Regulation 6 of the Management of Health and Safety at Work Regulations 1992?

Name:
Position:
Address:

Tel: Fax:

Evidence of competencies, qualifications, experience, training, membership of professional bodies, CV's etc?

1.2.3 ORGANISATION STRUCTURE

Is a copy of the company's organisational management chart (organogram) showing the management structure including the key health and safety responsibilities available?

Is the Organisation Chart current?

Is a typical Organisation chart for the type of work to be carried out or being carried out available?

Is the structure clear?

1.2.4 ROLES & RESPONSIBILITIES

Are the responsibilities clearly defined in the Safety Management System for
- All positions or roles in the organisation chart?
- For all employees?

Are the employees responsibilities included in the employees job descriptions? Or provided to them
- In writing
- By Induction training

1.2.5 EMPLOYEE COMPETENCE

Is there a process to evaluate the competencies required for the work to be undertaken and a process to ensure that persons assigned to the work are competent to undertake the work? (i.e. matching of job competencies with employee competencies and competence enhancement). Required elements:
- Assessment of competencies required for work?
- Assessment of Employee Competencies held?
- Matching of employees competencies to the proposed work?
- Appointments & Assessment of Competencies
- Competence enhancement?
- Regular Review of competencies?
- Ongoing enhancement or training
- Written arrangements?

1.2.6 CONTRACTOR COMPETENCE

Is there a process to evaluate the competencies required for the work to be undertaken and a process to ensure that persons assigned to the work are competent to undertake the work? (i.e. matching of job competencies with Contractor competencies and competence enhancement). Required elements:
- Assessment of competencies required for work?
- Assessment of Contractor Competencies held?
- Matching of Contractor competencies to the proposed work?
- Appointments & Assessment of Competencies
- Competence enhancement?
- Regular Review of competencies?
- Ongoing enhancement or training
- Written arrangements?

1.2.7 COMPETENT PERSON SUPERVISING THE WORK

Is there a process for appointing a competent person/s to
- Plan the work?
- Supervise the work?

Review examples & evidence of competence of persons appointed.

1.2.8 RESOURCES

Is there a system to assign and manage personnel and equipment resources to project or work to ensure that work is adequately resourced throughout the commission

1.2.9 MANAGEMENT COMMITMENT

Senior Management Inspections/ Safety Tours carried out?

1.3 PLANNING

1.3.1 RISK MANAGEMENT & RISK ASSESSMENT

Evidence of written system to ensure that
- All areas of business, activities and service provision where H&S Risks might occur are identified?
- All significant H&S Hazards in these business areas occur are identified?

- A Risk Assessment for all activities and identified hazards is carried out?

1.3.2 SAMPLE RISK ASSESSMENT

Verify Risk Assessment are prepared by review of specific samples of Risk Assessments?

1.3.3 PROCEDURES FOR HAZARDOUS ACTIVITIES

Evidence of a written system to ensure that there are procedures for hazardous activities?
- Identification of Hazardous Activities?
- Specific Procedures &/or Permits To Work?
Review specific samples of procedures?

1.3.4 PROCEDURES FOR MAIN WORK ACTIVITIES OR STREAMS OF WORK

Evidence of procedures for all work activities or streams of work (e.g. Design Work, Planning Supervisor Work)?

1.3.5 LOCATION SPECIFIC RISK ASSESSMENT

Evidence of a process for ensuring a Location Specific Risk Assessment is carried out when accessing other locations and sites?

1.3.6 PROJECT HEALTH AND SAFETY PLAN

Evidence of a mechanism for ensuring the development of a Health and Safety Plan / Project Plan, Project Assignment Plan for a contract or project, or arrangements to be followed during the execution of the contract?
This should include
- Risk Assessment
- Procedures for carrying out the work
- Arrangements for managing the H&S aspects of the work to be undertaken
- Resources

1.3.7 COSHH ASSESSMENTS

Evidence of a system to ensure that COSHH Assessments are always undertaken where-ever hazardous materials;
- Are used, transported or stored?
- Or exist in the workplace ? e.g.
    - Asbestos?
    - Contaminated land?
- All workplaces (office, site etc.)?
Examples?

1.3.8 MANUAL HANDLING ASSESSMENTS

Evidence of a system to ensure that Manual Handling Assessments are always undertaken where-ever Manual Handling operations occur?
- All workplaces (office, site etc.)?

1.3.9 PUWER ASSESSMENTS

Evidence of a system to ensure that all work equipment is assessed for compliance with the Provision & Use of Work Equipment Regulations (PUWER Regs)
- Is a definitive list of all work equipment available?
- Does the work equipment list cover all workplaces (office, site etc.)?

- Have assessments been carried out on the equipment on the list?

1.3.10 EMERGENCY RESPONSE PROCEDURES

Evidence of System for preparing Emergency Response Procedures for each workplace?

1.4   IMPLEMENTATION, COMMUNICATION & CONTROL

1.4.1   DOCUMENT DISTRIBUTION

Evidence of a system for the adequate distribution and control of
- H&S Policy
- Health and Safety Management System
- Employee Responsibilities
- Risk Assessments
- Procedures,
- Emergency Response Plans and
- Other H&S documents?
- Document Issue Register

1.4.2   DOCUMENT CONTROL

Evidence of a system for the adequate control of documents including
- Standard Document Template
- Structured & Indexed Document
- Unique Document Title
- Unique Document Number and Revision Status
- Document Date
- Document Verification
- Document Authorisation
- Document Issue Sheet

1.4.3   SUBCONTRACTOR CONTROL

Evidence of a system for
- Assessment of sub-contractors competence & resources
- Providing information on H&S risks and site rules to sub-contractors
- Reviewing sub-contractors Risk Assessment & procedures
- Co-ordination of sub-contractors
- Giving directions to sub-contractors
- Monitoring of sub-contractors performance

1.4.4   SHARED PREMISES OR WORKPLACES

Evidence of a system for
- Accessing the premises and reporting to the premises controller
- Acquiring information on risks within premises
- Preparing Site Specific Risk Assessment / Method Statement
- Liaison with all parties working in the workplace and sharing of risk information
- Agreement of the arrangements for controlling the risks within a shared workplace (e.g. Who takes responsibility for controlling each risk, site rules, hazardous zones, Permits To Work etc.)
- Agreement of the Emergency Response & evacuation arrangements
- Agreement of the First-Aid arrangements

1.4.5 CLIENT LIAISON

- Agreement of accident reporting arrangements?
- Evidence of liaison & communication with Clients or their agents and a prompt supply of information when requested.?

1.4.6 CONSULTATION WITH EMPLOYEES

Evidence of a system for Consultation with employees?

1.4.7 INDUCTION & TRAINING

Evidence of Induction & Training of employees when

- employee first joins the organisation
- employee works at new site or location
- new work equipment is introduced or employees work with different equipment
- new technology is introduced
- Changes in circumstances changes the significant risks

1.4.8 INDUCTION & TRAINING TOPICS

Evidence of Induction & Training of employees in

- H&S Awareness Training for Managers & Employees
- H&S Management System?
- Risks and Risk Control measures?
- Work Procedures?
- Location Specific / Site Rules
- Training Register
- Certificates?
- Site induction and toolbox talks?
- Vocational training /Task/ Job training

1.4.9 TRAINING FOR SUB-CONTRACTORS

Evidence of system for organisation ensuring that sub-contractors provide Info & Training for Employees?

1.4.10 SAFETY MEETINGS

Evidence of

- Contract Pre-Start Meetings to review all the risks and control measures before commencing work on a project?
- Regular Safety Meetings?
- Minutes and actions being communicated to management, employees and sub-contractors
- Actions being taken

1.4.11 ACCIDENT AND INCIDENT REPORTING

Evidence of;

- Accident and incident reporting
- Accident Book
- RIDDOR (Reporting to HSE) Reporting
- Reporting to others in Organisation/associated Organisations?

1.4.12 CONTROL OF PROJECT COMMENCEMENT

Evidence of a system to ensure work does not commence until the contractor has adequate arrangements in place
- Pre-start Meeting?
- Risk Assessment?
- Procedures Prepared?
- Project Health And Safety Plan Prepared?
- Control Measures implemented?
- Relevant Permits To Work?
- Receipt of signed "Work Commencement Authorisation"?

1.4.13 OPERATION OF MANAGEMENT SYSTEM

Evidence of the use of the H&S Management System by managers
- Following of Procedures
- Signing of Control Forms

1.4.14 ONGOING DEVELOPMENT OF PROJECT HEALTH AND SAFETY PLAN

Evidence of a mechanism for the ongoing development of a project Health and Safety Plan or arrangements throughout a project?

1.4.15 PPE

Evidence of system for
- Assessment of PPE requirements?
- issue of PPE? (PPE Register)
- Inspection of PPE

1.5   MONITORING

1.5.1   CONTRACTOR'S OWN HEALTH AND SAFETY INSPECTIONS & AUDITS

Evidence of system for
- Contractor's Health and Safety inspections of their own H&S performance. (Evidence of compliance with H&S Plan arrangements)?
- Inspection Schedule?
    - Type & Frequency specified?
- Sub-contractors included
- Contractor's Health and Safety Audits of their own Health and Safety Management System and performance?
- Audit Schedule?
    - Type & Frequency specified?
- Sub-contractors included?
- Audit information being forwarded to senior managers?

1.5.2   CORPORATE LEARNING & FEEDBACK FROM MONITORING

System for ensuring that where issues are identified in inspections and audits that;
- Issues are actioned promptly
- Issues are analysed for root causes?
- Competent person assigned to determine root causes
- Issues are reviewed at meetings?
- Lessons learnt are communicated throughout site.
- Lessons learnt are communicated throughout organisation.
- Risk Assessments & procedures are reviewed and revised where necessary or other appropriate action is taken

1.6   REVIEW

Evidence of Review and Update of
- The Health and Safety Management System,
- Risk Assessments,
- Procedures / Method Statements and
- Execution Phase Health and Safety Plan?

1.6.1   MANAGEMENT COMMITMENT

Evidence of Management H&S Tours & Reports?

1.6.2   KEEPING UP TO DATE

Evidence of process for ensuring organisation keeps up to date on legislation and current best practice?

1.7   CULTURE

1.7.1   MANAGEMENT AWARENESS?

1.7.2   MANAGEMENT ATTITUDE?

1.7.3   EMPLOYEE AWARENESS?

1.7.4   EMPLOYEE ATTITUDE?

1.7.5   SAFETY PROMOTIONS/ POSTERS/VIDEOS/COMPETITIONS?