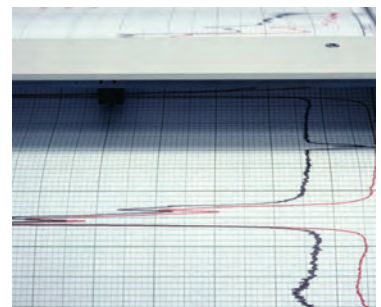


Auditing a Safety and Health Management System



A Safety and Health Audit Tool for
the Healthcare Sector

Auditing a Safety and Health Management System

A Safety and Health Audit Tool for the Healthcare Sector

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Introduction to the Audit Tool

The Health and Safety Authority (HSA), in association with the Forum Group, has produced this Audit Tool to assist in the continuous development and implementation of a safety and health management system for the healthcare sector.

Audit is a function of all developing and progressive organisations. The outcome from an audit can facilitate an organisation to be knowledgeable about its areas of non-compliance and to identify and implement corrective action to correct these areas. In the healthcare sector it can be used to identify areas of non-compliance and enhance occupational safety, health and welfare.

The function of this Audit Tool is to promote assessment with regard to the effectiveness of the safety and health management system. This assessment can be carried out by way of an independent internal or external audit process. The Audit Tool can be used for the initial review of the system and throughout the development and implementation of the system. Audit must be part of the safety and health management system, to demonstrate effectiveness of the system. Audit, when utilised and undertaken correctly, with the input of employees and the support of management, can be beneficial to the overall growth of a healthcare organisation. The audit process can also provide the opportunity for the identification of areas of non-compliance, but most importantly the provision of opportunity for improvement.

The system articulated in this Audit Tool and in the associated Guidance Document is for all healthcare organisations to develop and implement. Throughout the development and implementation of the safety and health management system it is essential to cross reference the Guidance with this Audit Tool document

All healthcare organisations will demonstrate evidence of a managed environment, which ensures, as far as is reasonably practicable, the safety, health and welfare of employees, service users, visitors, contractors and all who come into contact with the organisation.

All healthcare organisations are subject to the full impact of safety, health and welfare legislation, which sets minimum standards for employers to properly manage safety, health and welfare. Failure to meet these minimum legal standards can result in action being taken against organisations and individuals including Chief Executives.

It should be pointed out that while most of this system addresses employee safety, health and welfare, it also promotes the safety of others e.g. service users, visitors and contractors. The system also applies to those healthcare organisations whose employees are working in locations other than healthcare premises e.g. service users' homes.

The Guidance Document that accompanies this Audit Tool provides an overview of the various elements that should be planned in the development of the safety and health management system (see figure 1).

Eighteen criteria for audit are described in the following sections. Each criterion is stated and followed by guidance. For more detailed guidance on each criterion the auditor can make reference to Appendix 1 in the Guidance document. In addition other key references are noted for each criterion. The auditor has the flexibility to add other key references that he/she deems appropriate.

PLEASE NOTE:

Below is an explanation of the abbreviation used under each criterion.

- I = Interview**
- O = Observation**
- D = Documentation**

- Y = Yes**
- P = Partial**
- N = No**

INSTRUCTIONS ON THE COMPLETION OF A CRITERION WORKSHEET:

In order to effectively audit a safety and health management system it is necessary that all criterion are audited as part of the audit process. The auditor can repeat a full audit of all criterion at regular intervals in order to measure the level of improvement in the effectiveness of the safety and health management system.

Further copies of the Audit Tool can be downloaded from the Health and Safety Authority Website at www.hsa.ie.

There are eighteen criterion in this audit tool, for each criterion there is a worksheet, which details a list of questions to be answered. There is specific information to be completed in the worksheet and this is explained below:

Step 1:

For each question the auditor can use an "X" to indicate the appropriate answer, which is "Yes", "Partial" or "No". In this example we will assume the answer is "No"

1								Y	P	N
I	<input type="checkbox"/>	Does the organisation have a documented safety and health policy?								X
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score		
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2			
Supporting Evidence/Comments:										

Step 2

For each question the auditor can use an "X" to indicate the method of verification used in trying to get an answer to the question. The auditor may have interviewed **(I)** an employee, observed **(O)** a particular work practice or reviewed a particular document **(D)**. The auditor may have used all three methods. For this example the auditor interviewed an employee and can use an "X" to indicate on the worksheet.

1							Y	P	N
I	<input checked="" type="checkbox"/>	Does the organisation have a documented safety and health policy?							<input checked="" type="checkbox"/>
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									

Step 3

The auditor can then detail some supporting evidence or comments to explain the reason for the relevant answer. In this example the answer to the question was "No" because the organisation did not have a documented safety and health policy.

1							Y	P	N
I	<input checked="" type="checkbox"/>	Does the organisation have a documented safety and health policy?							<input checked="" type="checkbox"/>
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments: <i>Interviewed the Managing Director and he informed me that there was no documented safety and health policy.</i>									

Step 4

The auditor has the option to use the scoring system for each criterion. There is separate instruction given on scoring the criterion immediately following these instructions.

Step 5

The auditor repeats Step 1-3 for each question in the Criterion worksheet.

Step 6:

When a criterion has been fully audited, the auditor can detail a summary of the results in the Criterion report form. This information can be taken from the worksheet or the auditor may use his/her own notes taken during the audit. This report form should be completed for each Criterion. An example of what information can be detailed in this report form is detailed below:

Criterion 1: Accountability Arrangements
Responsibility for safety, health and welfare is clearly defined and there are clear lines of accountability for safety, health and welfare matters throughout the organisation.
Summary of Documentation Audited and Referenced
<i>Safety Statement, Reports, Training Records</i>
Summary of Main Findings of the Audit
<p>Compliance in the area <i>Managers are aware of responsibilities</i></p> <p>Non-compliance in the area <i>There is no documented safety and health policy.</i> <i>There are no safety and health objectives</i></p>
Criterion Score: <i>100/130 76.9%</i>

Step 7:

The areas of non-compliance in each criterion report form should be transferred to a Quality Improvement Action Plan. An example of a blank Quality Improvement Action plan is detailed in Appendix 1. Below is an example of the type of information that would be documented in this quality improvement action plan by the auditor

Criterion	Area of Non Compliance	Corrective Action	Responsible person	Timeframe	Review
1	<i>No safety and health policy</i>	<i>Need to develop</i>	<i>Managing Director</i>	<i>Dec 2006</i>	<i>Feb 2007</i>

The auditor may have a number of areas of non-compliance for each criterion. The Quality Improvement Action Plan will need to be agreed in consultation with the senior management team. This action plan is used to summarise the main findings of the audit and it is used as a tool for continuous improvement.

Note: The auditor may use the Auditors Note section in Appendix 3 to compile further relevant information.

INSTRUCTIONS ON CRITERION SCORING

In the previous section there is instruction to allow the auditor to fill in sections of the criterion worksheet. The auditor has the option to use the score section for each question.

Below is an explanation of the scoring system.

Step 1:

The auditor can use an "X" to indicate the appropriate answer for each question, which will be "Yes", "Partial" or "No".

In this example the auditor uses an "X" to select "No" as the answer to the question and uses an "X" to select "No" in the score table.

The auditor then enters a total score of "0" in the score table.

1								Y	P	N
I	<input type="checkbox"/>	Does the organisation have a documented safety and health policy?								X
O	<input type="checkbox"/>	Yes	No X	PARTIAL	A	B	C	Total score		
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2	0		
		Supporting Evidence/Comments:								

The different scoring options are as set out below:

If the auditor selects "Yes" as his/her answer to the question, then the auditor uses an "X" to select "Yes" in the score table and enters a total score of "10" in the score table. An answer of "Yes" means there is full evidence of compliance and this is allocated a score of 10.

YES X
Score 10

If the auditor selects "No" as his/her answer to the question, then the auditor uses an "X" to select "No" in the score table and enters a total score of "0" in the score table. An answer of "No" means there is no evidence of compliance and this will be allocated a score of "0".

NO X
Score 0

If the auditor selects "Partial" as his/her answer to the question, then the auditor must choose from one of three options.

There are three options in this category A, B and C. the categories have the meaning as follows;

- A: Evidence of significant level of compliance
- B: Evidence of a reasonable level of compliance
- C: Very little evidence of compliance

The auditor uses an "X" to select the appropriate option A, B or C.

A	B	C
Score 8	Score 5	Score 2

Step 2:

The auditor should check that he/she has entered the appropriate total score in the score table for each question.

Yes	No <input checked="" type="checkbox"/>	PARTIAL	A	B	C	Total score
Score 10	Score 0		Score 8	Score 5	Score 2	0

Step 3:

The auditor should calculate the criterion score as a percentage. This is explained by a worked example below:

Number of Questions in Criterion: 13

Maximum Criterion Score (**MC**)
(Total Number of Questions x Maximum Score (10)): 130 (13 x 10)

Actual Criterion Score (**AC**) (Sum of the total scores for each question) 100

Note: In this example the actual score used was 100, however the actual score will vary depending on the scores allocated to each question.

Criterion Score as a percentage = **AC/MC x 100/1**

In this example Criterion Score as a percentage = 100/130 x 100/1 = 76.92%

Note: Where a question in a criterion is not applicable, it will not be given a score.

Example:

In the above case; if there were only 12 questions applicable then the maximum criterion score (MC) would be 120 (12 x 10).

Step 4:

The auditor should enter the calculated criterion score as a percentage in each Criterion Report Form.

Criterion 1: Accountability Arrangements
Responsibility for safety, health and welfare is clearly defined and there are clear lines of accountability for safety, health and welfare matters throughout the organisation.
Summary of Documentation Audited and Referenced
<i>Safety Statement, Reports, Training Records</i>
Summary of Main Findings of the Audit
<p>Compliance in the area <i>Managers are aware of responsibilities</i></p> <p>Non-compliance in the area <i>There is no documented safety and health policy.</i> <i>There are no safety and health objectives</i></p>
Criterion Score: 100/130: 76.92%

Step 5:

The auditor should detail the scoring for each criterion in a Criterion Scoring Summary Sheet. A completed Criterion Scoring Summary sheet is detailed below and a blank Criterion Scoring Summary sheet is detailed in Appendix 2.

CRITERION SCORING SUMMARY SHEET

Criterion	Actual Criterion Score (AC)	Maximum Criterion Score (MC) Total Number of Question x Maximum Score (10)	Criterion Score as a percentage (AC/MC x 100/1)
1	100	130	76.9
2	90	90	100
3	60	70	85.7
4	50	60	83.3
5	165	170	97.05
6	120	120	100
7	190	200	95
8	110	110	100
9	70	70	100
10	60	70	85.7
11	150	150	100
12	50	60	83.3
13	170	180	94.44
14	110	110	100
15	40	50	80
16	45	50	90
17	68	70	97.14
18	82	90	91.11
Overall Audit Score	1730	1850	93.51

Step 6

Using the example above the auditor needs to calculate the Overall Audit Score.

Overall

Audit Score = Sum of all actual criterion scores (AC)/Sum of all maximum criterion scores (MC) x 100/1

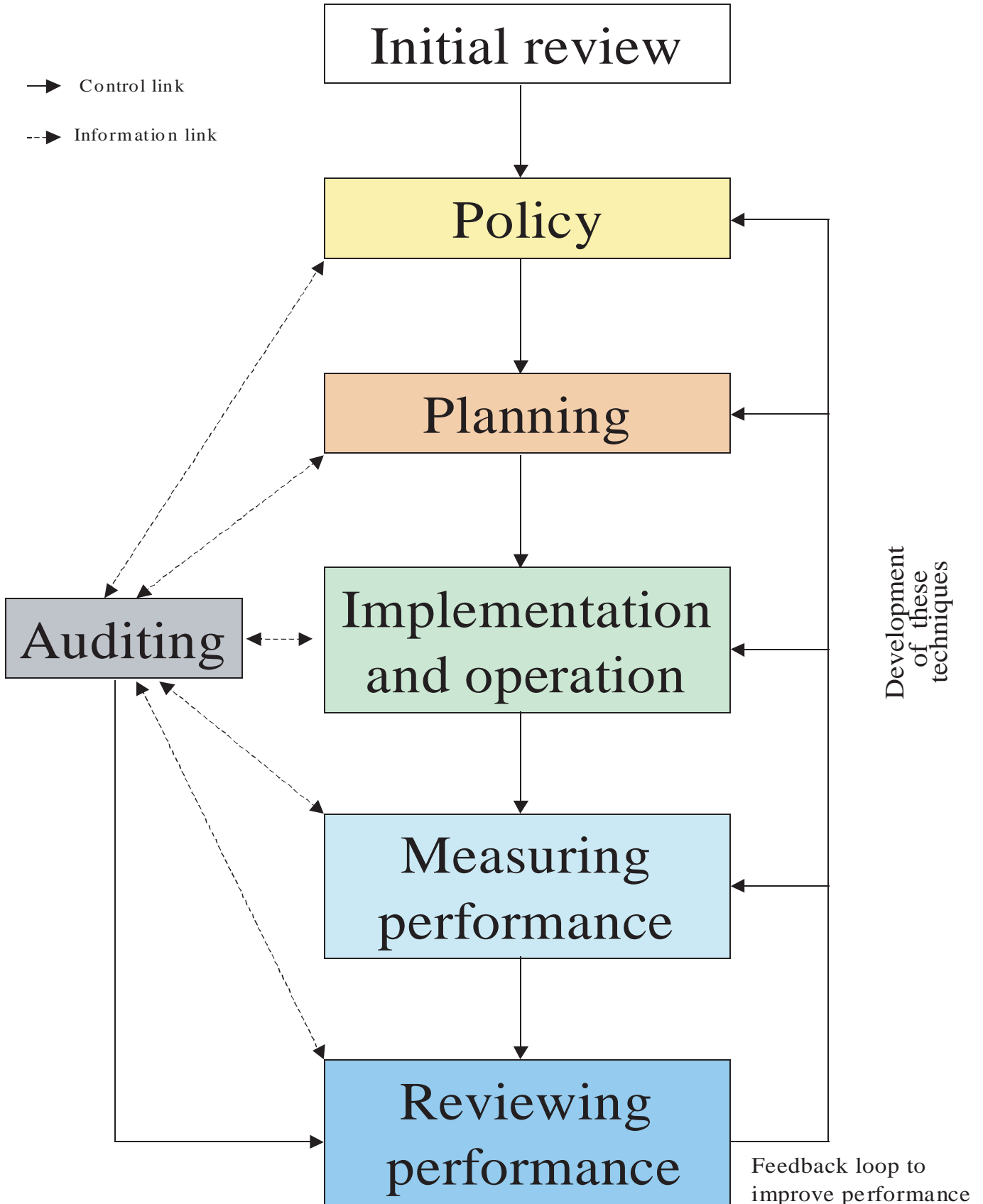
Overall Audit Score = 1730/1850 x 100/1 = 93.51%

This Overall Audit Score can be used to benchmark performance from year to year and the individual criterion score allows the auditor to identify areas where most attention is needed.

A summary sheet with the Criterion and Overall Audit Score could be attached to the Quality Improvement Action Plan as a full Audit Report.

KEY ELEMENTS OF THE SAFETY AND HEALTH MANAGEMENT SYSTEM

Figure 1



Criteria of the Safety and Health Management System

Criterion 1: Accountability Arrangements

Responsibility for safety, health and welfare is clearly defined and there are clear lines of accountability for safety and health matters throughout the organisation.

Criterion 2: Safety Statement

The organisation has a Safety Statement that complies with the requirements of the Safety, Health and Welfare at Work Act 2005.

Criterion 3: Monitoring Legal Compliance

Compliance with safety, health and welfare legislation is routinely monitored. There is access to up to date information on safety, health and welfare legislation and guidance, e.g. Health and Safety Authority, Department of Health and Children Guidance, Health Services Executive to all within the organisation that require the information.

Criterion 4: Competent Persons

There are sufficient competent persons to provide safety, health and welfare advice and assistance to the organisation.

Criterion 5: Consultation

Employees and occupational safety, health and welfare representatives are properly consulted on all relevant matters.

Criterion 6: Communication

All employees are made aware of the organisations' Safety Statement, policies and procedures and, where appropriate any department or service policies required to support the safety and health management system.

Criterion 7: Instruction, Training and Supervision

Employees and managers are provided with adequate information, instruction and training on safety and health matters.

Criterion 8: Hazard Identification and Risk Assessment

All hazards to employees and to any other persons affected by the activity of the organisation are identified and subject to dynamic assessment.

The risk control measures identified during risk assessments are implemented. All identified safety, health and welfare hazards and the effectiveness of implemented risk controls are monitored and reviewed.

Criterion 9: Service User Safety

All hazards to service users affected by the activity of the organisation are identified and subject to dynamic assessment.

The risk control measures identified during risk assessments are implemented. All identified safety, health and welfare hazards and the effectiveness of implemented risk controls are monitored and reviewed.

Criterion 10: Public Safety

All hazards to the public affected by the activity of the organisation are identified and subject to dynamic assessment.

The risk control measures identified during risk assessments are implemented. All identified safety, health and welfare hazards and the effectiveness of implemented risk controls are monitored and reviewed.

Criterion 11: Co-operation and Co-ordination with Contractors and Others

Where the employees of two or more employers share the workplace, there is demonstrable evidence of co-operation, and co-ordination of safety, health and welfare measures.

Criterion 12: Safety, Health and Welfare Procedures

Individual departments and services have documented risk assessments, policies and procedures which address their own specific safety, health and welfare concerns and implement the organisations' overall policies and procedures.

Criterion 13: Occupational Health Services

Employees should have access to a comprehensive and competent occupational healthcare service.

Criterion 14: Emergency Plans

Management plans are in place to address all situations that pose serious or imminent danger to employees and the organisation.

Criterion 15: Adverse Events, Near Misses and Ill Health Occurrences

Occupational safety, health and welfare, adverse events and near misses and ill health, including injuries, diseases and dangerous occurrences are dealt with in accordance with the processes contained in the organisation's policies and procedures.

Criterion 16: Key Performance Indicators

Key Performance indicators capable of showing improvements in occupational safety, health and welfare management and / or providing early warning of risk are used at all levels of the organisation, and the efficacy and usefulness of the indicators is reviewed regularly.

Criterion 17: Reviewing Performance

The system in place for occupational safety, health and welfare management, including risk management arrangements, is monitored and reviewed by management in order to make improvements to the system.

Criterion 18: Audit

The organisation's management seek independent assurance that an appropriate and effective system of managing occupational safety, health and welfare is in place and that the necessary level of controls and monitoring are being implemented.

POLICY

CRITERION 1: ACCOUNTABILITY ARRANGEMENTS

Responsibility for safety, health and welfare is clearly defined and there are clear lines of accountability for safety, health and welfare matters throughout the organisation.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: Internal Control, Guidance for Directors on the Combined Code,1999¹, Good Governance Standard for Public Services, 2004²

1								Y	P	N		
I O D	<input type="checkbox"/>	Does the organisation have a documented safety and health policy?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
2								Y	P	N		
I O D	<input type="checkbox"/>	Is the safety and health policy signed off by the Chief Executive or his/her designate?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
3								Y	P	N		
I O D	<input type="checkbox"/>	Is safety and health effectively integrated into the organisations strategic plan?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
4								Y	P	N		
I O D	<input type="checkbox"/>	Are reporting relationships clearly defined in the organisation?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
5								Y	P	N		
I O D	<input type="checkbox"/>	Are managers, supervisors and employees made aware of their responsibilities with regard to safety and health?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
6								Y	P	N		
I O D	<input type="checkbox"/>	Do managers, supervisors and employees have a clear understanding of their responsibilities with regard to safety and health?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											

7		Y	P	N														
I O D	<p>Are managers, supervisors and employees accountable for not meeting their responsibilities for workplace safety and health?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
8		Y	P	N														
I O D	<p>Are safety and health responsibilities detailed in the job descriptions of managers, supervisors and employees?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
9		Y	P	N														
I O D	<p>Has management ensured that adequate resources are provided to ensure that protective and preventive measures are in place to manage safety and health?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
10		Y	P	N														
I O D	<p>Is safety and health an agenda at management team meetings?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
11		Y	P	N														
I O D	<p>Are safety and health objectives incorporated as part of the safety and health policy?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
12		Y	P	N														
I O D	<p>Does the safety and health policy express a clear commitment to the safety of employees, service users, contractors and visitors?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
13		Y	P	N														
I O D	<p>Do the management team have a mechanism in place to facilitate planning, implementation, monitoring, control and consultation processes required for effective safety and health management?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

POLICY**CRITERION 2: SAFETY STATEMENT**

The organisation has a safety statement in writing that complies with the requirements of the Safety, Health and Welfare at Work Act 2005 and associated regulations.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: Guidelines on Preparing your Safety Statement and Carrying out Risk Assessments, 2006³

1							Y	P	N
I O D	<input type="checkbox"/>	Does the organisation have a documented safety and health policy?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
2							Y	P	N
I O D	<input type="checkbox"/>	Has the content of the safety statement been brought to the attention of all employees at least annually?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
3							Y	P	N
I O D	<input type="checkbox"/>	Is there a revision history of the safety statement to reflect evidence of regular review and update?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
4							Y	P	N
I O D	<input type="checkbox"/>	Does the safety statement include a review mechanism, which recognises the need to monitor and review performance?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
5							Y	P	N
I O D	<input type="checkbox"/>	Is there a clear commitment in the safety statement to allocate appropriate resources to manage safety and health?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
6							Y	P	N
I O D	<input type="checkbox"/>	Does the safety statement specify the process in place for identifying hazards, assessing risks, implementing controls and review?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								

7		Y	P	N				
I	<input type="checkbox"/>	Does the safety statement state the means by which information on safety and health is communicated to all employees?						
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
D	<input type="checkbox"/>	Supporting Evidence/Comments:						

8		Y	P	N				
I	<input type="checkbox"/>	Does the safety statement specify the arrangements in which the safety, health & welfare of employees are secured and managed?						
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
D	<input type="checkbox"/>	Supporting Evidence/Comments:						

9		Y	P	N				
I	<input type="checkbox"/>	Does the safety statement specify the arrangements in which the safety, health & welfare of other persons are secured and managed?						
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
D	<input type="checkbox"/>	Supporting Evidence/Comments:						

CRITERION 2 REPORT FORM

Criterion 2: Safety Statement
The organisation has a safety statement in writing that complies with the requirements of the Safety, Health and Welfare at Work Act 2005 and associated regulations.
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Criterion Score:

POLICY

CRITERION 3: MONITORING LEGAL COMPLIANCE

There is access to up to date information on safety, health and welfare legislation and guidance. Compliance with safety, health and welfare legislation is routinely monitored.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety, Health and Welfare at Work Act 2005⁴ and associated regulations, The Guide to the Safety, Health and Welfare at Work Act 2005⁵

1							Y	P	N
I	<input type="checkbox"/>	Is there a procedure to keep updated on safety and health legislation, codes of practice, and other relevant safety and health guidance?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

2							Y	P	N
I	<input type="checkbox"/>	Is there a regular review carried out to ensure appropriate legislation is available and up to date?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

3							Y	P	N
I	<input type="checkbox"/>	Is there evidence of monitoring compliance with statutory requirements?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

4							Y	P	N
I	<input type="checkbox"/>	Is there evidence of a process for systematically inspecting premises, plant, equipment and substances?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

5							Y	P	N
I	<input type="checkbox"/>	Is there evidence of health surveillance to check the effectiveness of control measures?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

6		Y	P	N				
I O D	<input type="checkbox"/>	Is there follow up to HSA inspection reports/enforcement notices?						
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
	<input type="checkbox"/>	Supporting Evidence/Comments:						

7		Y	P	N				
I O D	<input type="checkbox"/>	Are HSA inspector's reports available (if conducted over the last year)?						
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
	<input type="checkbox"/>	Supporting Evidence/Comments:						

POLICY**CRITERION 4: COMPETENT PERSONS**

There are sufficient competent persons to provide safety, health and welfare assistance to the healthcare organisation.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety, Health and Welfare at Work Act 2005⁴, The Guide to the Safety, Health and Welfare at Work Act 2005⁵, Fire Services Act 1981⁶

1							Y	P	N
I	<input type="checkbox"/>	Are there sufficient competent persons to provide safety, health and welfare assistance to the organisation?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
2							Y	P	N
I	<input type="checkbox"/>	Is there a competent person appointed to oversee emergency planning within the organisation?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
3							Y	P	N
I	<input type="checkbox"/>	Are there an adequate number of employees trained to implement emergency plans within the organisation?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
4							Y	P	N
I	<input type="checkbox"/>	Where required, are there an adequate number of occupational first-aiders in the organisation?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

5							Y	P	N									
I	<input type="checkbox"/>	Are there competent persons to manage/advise on safety and health in the following? (This is a non exhaustive list): <ul style="list-style-type: none"> ● technical services ● back care management/moving and handling co-ordinator ● medical equipment ● infection control ● fire safety ● safety and health ● occupational health ● occupational hygiene ● display screens ● transport ● waste management 																
O	<input type="checkbox"/>																	
D	<input type="checkbox"/>																	
<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 15%;">Yes</td> <td style="width: 15%;">No</td> <td style="width: 15%;">PARTIAL</td> <td style="width: 15%;">A</td> <td style="width: 15%;">B</td> <td style="width: 15%;">C</td> <td style="width: 15%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>		Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2		Supporting Evidence/Comments:		
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

6							Y	P	N									
I	<input type="checkbox"/>	Are arrangements in place for ensuring adequate co-operation between the competent persons?																
O	<input type="checkbox"/>																	
D	<input type="checkbox"/>																	
<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 15%;">Yes</td> <td style="width: 15%;">No</td> <td style="width: 15%;">PARTIAL</td> <td style="width: 15%;">A</td> <td style="width: 15%;">B</td> <td style="width: 15%;">C</td> <td style="width: 15%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>		Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2		Supporting Evidence/Comments:		
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

CRITERION 4 REPORT FORM

Criterion 4: Competent Persons
There are sufficient competent persons to provide safety, health and welfare assistance to the healthcare sector organisation.
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Criterion Score:

PLANNING

CRITERION 5: CONSULTATION

The organisation has specific duties under legislation to consult with employees on safety, health and welfare matters. In addition employees can select and appoint a safety representative to consult with their employer on these matters. Employers and employees can form a committee to progress the consultation process.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety, Health and Welfare at Work Act 2005⁴, The Guide to the Safety, Health and Welfare at Work Act 2005⁵, Guidelines on Safety Consultation and Safety Representatives⁷

1								Y	P	N	
Is there a mechanism in place for consultation on safety, health and welfare?											
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C				Total score
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2				
D	<input type="checkbox"/>	Supporting Evidence/Comments:									
2								Y	P	N	
Does the employer consult with his/her employees on safety, health and welfare?											
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C				Total score
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2				
D	<input type="checkbox"/>	Supporting Evidence/Comments:									
3								Y	P	N	
Does the employer consider representations from employees on safety, health and welfare?											
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C				Total score
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2				
D	<input type="checkbox"/>	Supporting Evidence/Comments:									
4								Y	P	N	
Does management evaluate the effectiveness of its safety, health and welfare consultative processes?											
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C				Total score
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2				
D	<input type="checkbox"/>	Supporting Evidence/Comments:									
5								Y	P	N	
Is there a committee in place to ensure effective consultation on safety, health and welfare matters?											
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C				Total score
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2				
D	<input type="checkbox"/>	Supporting Evidence/Comments:									
6								Y	P	N	
Is there balanced participation on this committee?											
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C				Total score
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2				
D	<input type="checkbox"/>	Supporting Evidence/Comments:									

7		Y	P	N														
I O D	<p>Are there clearly defined safety, health and welfare terms of reference for the committee?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

8		Y	P	N														
I O D	<p>Is there evidence of follow up to actions decided at the meetings of the committee within a responsible time frame?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

9		Y	P	N														
I O D	<p>Do all employees have access to the minutes of committee meetings?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

10		Y	P	N														
I O D	<p>Is there evidence that the committee operates in accordance with its terms of reference?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

11		Y	P	N														
I O D	<p>Is the safety representative a member of the committee?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

12		Y	P	N														
I O D	<p>Is there a mechanism in place for the appointment of a safety representative(s)?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

13		Y	P	N														
I O D	<p>Has a safety representative been appointed?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Yes</td> <td style="width: 15%; text-align: center;">No</td> <td style="width: 15%; text-align: center;">PARTIAL</td> <td style="width: 15%; text-align: center;">A</td> <td style="width: 15%; text-align: center;">B</td> <td style="width: 15%; text-align: center;">C</td> <td style="width: 15%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

14							Y	P	N
I O D	<input type="checkbox"/>	Has the safety representative received appropriate training?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								

15							Y	P	N
I O D	<input type="checkbox"/>	Is the role of the safety representative(s) understood by all?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								

16							Y	P	N
I O D	<input type="checkbox"/>	Is the safety representative(s) allowed to perform and discharge his/her representative functions?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								

17							Y	P	N
I O D	<input type="checkbox"/>	Is the safety representative(s) provided with adequate time to perform and discharge his/her representative functions?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								

CRITERION 5 REPORT FORM

Criterion 5: Consultation
<p>The organisation has specific duties under legislation to consult with employees on safety, health and welfare matters. In addition employees can select and appoint a safety representative to consult with their employer on these matters. Employers and employees can form a safety committee to progress the consultation process.</p>
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Criterion Score:

PLANNING

CRITERION 6: COMMUNICATION

Communication is the key factor in ensuring the success of the safety and health management system. The organisation must have a communications process developed with the input of management and employees to facilitate both up and down communication and also communication across the organisation.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References:

1							Y	P	N
I	<input type="checkbox"/>	Is there an effective communication procedure set out in the safety statement?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
2							Y	P	N
I	<input type="checkbox"/>	Are employees knowledgeable about the safety and health management system?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
3							Y	P	N
I	<input type="checkbox"/>	Are managers aware of their safety and health role and responsibilities?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
4							Y	P	N
I	<input type="checkbox"/>	Are managers role and responsibilities for safety and health communicated to them formally?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
5							Y	P	N
I	<input type="checkbox"/>	Are employees roles and responsibilities for safety and health communicated to them formally?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
6							Y	P	N
I	<input type="checkbox"/>	Are employees made aware of relevant safety and health accountability arrangements?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

7							Y	P	N
I	<input type="checkbox"/>	Are the relevant safety and health policies & procedures communicated to employees?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

8							Y	P	N
I	<input type="checkbox"/>	Is there a mechanism in place for informing employees of revisions and amendments to policies and procedures?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

9							Y	P	N
I	<input type="checkbox"/>	Are employees aware of revisions and amendments to policies and procedures?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

10							Y	P	N
I	<input type="checkbox"/>	Are policies and procedures easily accessible at the workplace?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

11							Y	P	N
I	<input type="checkbox"/>	Are the results of a risk assessment communicated to relevant employees?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

12							Y	P	N
I	<input type="checkbox"/>	Is there evidence that employees understand the content of the risk assessment(s)?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

CRITERION 6 REPORT FORM

Criterion 6: Communication
<p>Communication is the key factor in ensuring the success of the safety and health management system. The organisation must have a communications process developed with the input of management and employees to facilitate both up and down communication and also communication across the organisation.</p>
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
<p>Compliance in the area</p> <p>Non-compliance in the area</p>
Criterion Score:

PLANNING**CRITERION 7: INSTRUCTION, TRAINING AND SUPERVISION**

Employees are provided with adequate instruction, training and supervision on safety, health and welfare matters.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety Health and Welfare at Work Act 2005⁴, The Guide to the Safety, Health and Welfare at Work Act 2005⁵, Action Plan for People Management in the Health Service 2002⁸

1								Y	P	N		
I O D	<input type="checkbox"/>	Is safety and health training made available for all employees?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
2								Y	P	N		
I O D	<input type="checkbox"/>	Are all employees aware of their duties to attend safety and health training?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
3								Y	P	N		
I O D	<input type="checkbox"/>	Are employees released from their duties to attend safety and health training?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
4								Y	P	N		
I O D	<input type="checkbox"/>	Is non-attendance at training programmes recorded/managed?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
5								Y	P	N		
I O D	<input type="checkbox"/>	Is there a training needs analysis carried out for all employees?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											
6								Y	P	N		
I O D	<input type="checkbox"/>	Do all employees understand the training/instruction provided?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C					Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2					
<input type="checkbox"/>	Supporting Evidence/Comments:											

7		Y	P	N														
I O D	<p>Do all employees understand the limitations and uses of personal protective equipment?</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; text-align:center;">Yes</td> <td style="width:15%; text-align:center;">No</td> <td style="width:15%; text-align:center;">PARTIAL</td> <td style="width:15%; text-align:center;">A</td> <td style="width:15%; text-align:center;">B</td> <td style="width:15%; text-align:center;">C</td> <td style="width:15%; text-align:center;">Total score</td> </tr> <tr> <td style="text-align:center;">Score 10</td> <td style="text-align:center;">Score 0</td> <td></td> <td style="text-align:center;">Score 8</td> <td style="text-align:center;">Score 5</td> <td style="text-align:center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
8		Y	P	N														
I O D	<p>Is there a training programme in place?</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; text-align:center;">Yes</td> <td style="width:15%; text-align:center;">No</td> <td style="width:15%; text-align:center;">PARTIAL</td> <td style="width:15%; text-align:center;">A</td> <td style="width:15%; text-align:center;">B</td> <td style="width:15%; text-align:center;">C</td> <td style="width:15%; text-align:center;">Total score</td> </tr> <tr> <td style="text-align:center;">Score 10</td> <td style="text-align:center;">Score 0</td> <td></td> <td style="text-align:center;">Score 8</td> <td style="text-align:center;">Score 5</td> <td style="text-align:center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
9		Y	P	N														
I O D	<p>Does management ensure the implementation of the training programme?</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; text-align:center;">Yes</td> <td style="width:15%; text-align:center;">No</td> <td style="width:15%; text-align:center;">PARTIAL</td> <td style="width:15%; text-align:center;">A</td> <td style="width:15%; text-align:center;">B</td> <td style="width:15%; text-align:center;">C</td> <td style="width:15%; text-align:center;">Total score</td> </tr> <tr> <td style="text-align:center;">Score 10</td> <td style="text-align:center;">Score 0</td> <td></td> <td style="text-align:center;">Score 8</td> <td style="text-align:center;">Score 5</td> <td style="text-align:center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
10		Y	P	N														
I O D	<p>Are training programmes evaluated?</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; text-align:center;">Yes</td> <td style="width:15%; text-align:center;">No</td> <td style="width:15%; text-align:center;">PARTIAL</td> <td style="width:15%; text-align:center;">A</td> <td style="width:15%; text-align:center;">B</td> <td style="width:15%; text-align:center;">C</td> <td style="width:15%; text-align:center;">Total score</td> </tr> <tr> <td style="text-align:center;">Score 10</td> <td style="text-align:center;">Score 0</td> <td></td> <td style="text-align:center;">Score 8</td> <td style="text-align:center;">Score 5</td> <td style="text-align:center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
11		Y	P	N														
I O D	<p>Are training records maintained?</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; text-align:center;">Yes</td> <td style="width:15%; text-align:center;">No</td> <td style="width:15%; text-align:center;">PARTIAL</td> <td style="width:15%; text-align:center;">A</td> <td style="width:15%; text-align:center;">B</td> <td style="width:15%; text-align:center;">C</td> <td style="width:15%; text-align:center;">Total score</td> </tr> <tr> <td style="text-align:center;">Score 10</td> <td style="text-align:center;">Score 0</td> <td></td> <td style="text-align:center;">Score 8</td> <td style="text-align:center;">Score 5</td> <td style="text-align:center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
12		Y	P	N														
I O D	<p>Is there a system for flagging refresher training?</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; text-align:center;">Yes</td> <td style="width:15%; text-align:center;">No</td> <td style="width:15%; text-align:center;">PARTIAL</td> <td style="width:15%; text-align:center;">A</td> <td style="width:15%; text-align:center;">B</td> <td style="width:15%; text-align:center;">C</td> <td style="width:15%; text-align:center;">Total score</td> </tr> <tr> <td style="text-align:center;">Score 10</td> <td style="text-align:center;">Score 0</td> <td></td> <td style="text-align:center;">Score 8</td> <td style="text-align:center;">Score 5</td> <td style="text-align:center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
13		Y	P	N														
I O D	<p>Is this refresher training provided?</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; text-align:center;">Yes</td> <td style="width:15%; text-align:center;">No</td> <td style="width:15%; text-align:center;">PARTIAL</td> <td style="width:15%; text-align:center;">A</td> <td style="width:15%; text-align:center;">B</td> <td style="width:15%; text-align:center;">C</td> <td style="width:15%; text-align:center;">Total score</td> </tr> <tr> <td style="text-align:center;">Score 10</td> <td style="text-align:center;">Score 0</td> <td></td> <td style="text-align:center;">Score 8</td> <td style="text-align:center;">Score 5</td> <td style="text-align:center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
14		Y	P	N														
I O D	<p>Is there a formal induction program for all new employees?</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; text-align:center;">Yes</td> <td style="width:15%; text-align:center;">No</td> <td style="width:15%; text-align:center;">PARTIAL</td> <td style="width:15%; text-align:center;">A</td> <td style="width:15%; text-align:center;">B</td> <td style="width:15%; text-align:center;">C</td> <td style="width:15%; text-align:center;">Total score</td> </tr> <tr> <td style="text-align:center;">Score 10</td> <td style="text-align:center;">Score 0</td> <td></td> <td style="text-align:center;">Score 8</td> <td style="text-align:center;">Score 5</td> <td style="text-align:center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

	15		Y	P	N														
I O D	<input type="checkbox"/>	Is safety and health adequately addressed in this induction program?																	
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
	Yes	No				PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2														
<input type="checkbox"/>	Supporting Evidence/Comments:																		

	16		Y	P	N														
I O D	<input type="checkbox"/>	Is there a mechanism in place to ensure that those providing training are competent?																	
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
	Yes	No				PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2														
<input type="checkbox"/>	Supporting Evidence/Comments:																		

	17		Y	P	N														
I O D	<input type="checkbox"/>	Is there evidence of manager support for training?																	
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
	Yes	No				PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2														
<input type="checkbox"/>	Supporting Evidence/Comments:																		

	18		Y	P	N														
I O D	<input type="checkbox"/>	Are employees given instruction, training and supervision in a form, manner and as appropriate, language that is reasonably likely to be understood by the employee?																	
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
	Yes	No				PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2														
<input type="checkbox"/>	Supporting Evidence/Comments:																		

	19		Y	P	N										
I O D	<input type="checkbox"/>	Is instruction, training and supervision provided to employees in the following situations:													
	<input type="checkbox"/>	<ul style="list-style-type: none"> ● recruitment ● transfer ● change of task ● on the introduction of new work equipment ● changes in work equipment or systems of work ● introduction of new technology 													
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0	
Yes	No	PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2										
		Supporting Evidence/Comments:													

	20		Y	P	N														
I O D	<input type="checkbox"/>	Is there adequate supervision in place to ensure the safety and health of employees?																	
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
	Yes	No				PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2														
<input type="checkbox"/>	Supporting Evidence/Comments:																		

CRITERION 7 REPORT FORM

<p>Criterion 7: Instruction, Training and Supervision</p>
<p>Employees are provided with adequate instruction, training and supervision on safety, health and welfare matters.</p>
<p>Summary of Documentation Audited and Referenced</p>
<p>Summary of Main Findings of the Audit</p>
<p>Compliance in the area</p> <p>Non-compliance in the area</p>
<p>Criterion Score:</p>

IMPLEMENTATION AND OPERATION**CRITERION 8:HAZARD IDENTIFICATION AND RISK ASSESSMENT**

All hazards to employees and to any other persons affected by the activity of the organisation must be identified. The risk assessments should identify the significant hazards, and assess the potential for them to cause harm. Appropriate controls should be identified, documented, communicated and implemented. The risk assessment should be reviewed and updated on a regular basis.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety, Health and Welfare at Work Act 2005⁴ and associated regulations, The Guide to the Safety, Health and Welfare at Work Act 2005⁵, Guidelines on Risk Assessments and Safety Statements 2006³

1		Y	P	N				
I	<input type="checkbox"/>	Is there an adequate system in place for carrying out hazard identification and risk assessment?						
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
D	<input type="checkbox"/>	Supporting Evidence/Comments:						
2		Y	P	N				
I	<input type="checkbox"/>	Have appropriate employees been trained to carry out hazard identification and risk assessment?						
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
D	<input type="checkbox"/>	Supporting Evidence/Comments:						
3		Y	P	N				
I	<input type="checkbox"/>	Have employees been consulted as part of the process of risk assessment?						
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
D	<input type="checkbox"/>	Supporting Evidence/Comments:						
4		Y	P	N				
I	<input type="checkbox"/>	Does the organisation refer to the principles of prevention, (see Guidance Document) when deciding on the most appropriate control measures?						
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
D	<input type="checkbox"/>	Supporting Evidence/Comments:						
5		Y	P	N				
I	<input type="checkbox"/>	Are the control measures documented in the risk assessment being implemented?						
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
D	<input type="checkbox"/>	Supporting Evidence/Comments:						

6							Y	P	N
I O D	<input type="checkbox"/>	Is there a review carried out to ensure that control measures are effective?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							

7							Y	P	N
I O D	<input type="checkbox"/>	Does management have a thorough understanding of the hazards in the workplace?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							

8							Y	P	N
I O D	<input type="checkbox"/>	Is there a system in place to ensure that a risk assessment is carried out when purchasing new materials or equipment or implementing new processes?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							

9							Y	P	N
I O D	<input type="checkbox"/>	Is there a system in place to ensure that a risk assessment is carried out when implementing/introducing non-routine tasks, materials or equipment?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							

10							Y	P	N
I O D	<input type="checkbox"/>	Are timescales clearly defined for each action identified as part of the risk assessment process?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							

11							Y	P	N
I O D	<input type="checkbox"/>	Where required by regulations, have mandatory risk assessments been carried out, e.g. manual handling, display screen equipment, chemical agents, biological agents, pregnant employees, carcinogens, noise etc.?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							

CRITERION 8 REPORT FORM**Criterion 8: Hazard Identification and Risk Assessment**

All hazards to employees and to any other persons affected by the activity of the organisation must be identified. The risk assessments should identify the significant hazards, and assess the potential for them to cause harm. Appropriate controls should be identified, documented, communicated and implemented. The risk assessment should be reviewed and updated on a regular basis.

Summary of Documentation Audited and Referenced**Summary of Main Findings of the Audit****Compliance in the area****Non-compliance in the area****Criterion Score:**

IMPLEMENTATION AND OPERATION

CRITERION 9: SERVICE USER SAFETY

Service user safety is addressed as part of the hazard identification and risk assessment process.

Note: where the term "service user" is used it can mean patient, resident, client, consumer etc.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: Quality and Fairness: A Health System for You 2001⁹, Action Plan for People Management in the Health Service⁸

1							Y	P	N
I	<input type="checkbox"/>	Is there evidence that the risk assessment process takes account of risks to service users?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									
2							Y	P	N
I	<input type="checkbox"/>	Are the control measures, for service user safety, documented in the risk assessment being implemented?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									
3							Y	P	N
I	<input type="checkbox"/>	Is there a review carried out to ensure that these control measures are effective?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									
4							Y	P	N
I	<input type="checkbox"/>	Does management have a thorough understanding of the hazards to service users?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									
5							Y	P	N
I	<input type="checkbox"/>	Is there a system for adverse event and near miss reporting for service users?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									

	6		Y	P	N														
I	<input type="checkbox"/>	Have service users a means of bringing safety and health issues to the attention of management for action?																	
O	<input type="checkbox"/>																		
D	<input type="checkbox"/>																		
		<table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 5px;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> Supporting Evidence/Comments:	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score													
Score 10	Score 0		Score 8	Score 5	Score 2														

	7		Y	P	N														
I	<input type="checkbox"/>	Where there is a risk, are service users informed of workplace hazards?																	
O	<input type="checkbox"/>																		
D	<input type="checkbox"/>																		
		<table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 5px;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> Supporting Evidence/Comments:	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score													
Score 10	Score 0		Score 8	Score 5	Score 2														

CRITERION 9 REPORT FORM

Criterion 9: Service User Safety
Service user safety is addressed as part of the hazard identification and risk assessment process.
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Criterion Score:

IMPLEMENTATION AND OPERATION**CRITERION 10: PUBLIC SAFETY**

Public safety will be addressed as part of the hazard identification and risk assessment process. Therefore management must have procedures in place to protect the public and prevent accidents and ill health to them on their visits to healthcare premises.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety, Health and Welfare at Work Act 2005⁴, The Guide to the Safety, Health and Welfare at Work Act 2005⁵

1							Y	P	N
I	<input type="checkbox"/>	Is there evidence that the risk assessment process takes account of risks to the public?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
2							Y	P	N
I	<input type="checkbox"/>	Are the control measures, for public safety, documented in the risk assessment being implemented?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
3							Y	P	N
I	<input type="checkbox"/>	Is there a review carried out to ensure that these control measures are effective?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
4							Y	P	N
I	<input type="checkbox"/>	Does management have a thorough understanding of the hazards to members of the public?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							
5							Y	P	N
I	<input type="checkbox"/>	Is there a system for adverse event and near miss reporting for members of the public?							
O	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

6							Y	P	N
I O D	<input type="checkbox"/>	Are appropriate measures in place to address the potential risks to the public from the following hazards? (This is a non exhaustive list):							
	<input type="checkbox"/>	<ul style="list-style-type: none"> ● access routes ● evacuation procedure ● lifts used by the public ● traffic control ● infection control ● environmental tobacco smoke 							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B			
		Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									

7							Y	P	N		
I O D	<input type="checkbox"/>	Have the public a means of bringing safety and health issues to the attention of management for action?									
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B				C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5				Score 2	
Supporting Evidence/Comments:											

CRITERION 10 REPORT FORM

Criterion 10: Public Safety
Public safety will be addressed as part of the hazard identification and risk assessment process. Therefore management must have procedures in place to protect the public and prevent accidents and ill health to them on their visits to healthcare premises.
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Criterion Score:

IMPLEMENTATION AND OPERATION

CRITERION 11: CO-OPERATION AND CO-ORDINATION WITH CONTRACTORS AND OTHERS

Where the employees of two or more employers share the workplace or where the workplace is used by others, there is demonstrable evidence of co-operation on, and co-ordination of safety and health measures.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety, Health and Welfare at Work Act 2005⁴, Guide to the Safety, Health and Welfare at Work Act 2005⁵

1							Y	P	N
I O D	<input type="checkbox"/>	When selecting onsite contractors, does the organisation evaluate the contractor's safety and health performance?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
2							Y	P	N
I O D	<input type="checkbox"/>	Is there a formal process for controlling contractors who work on site?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
3							Y	P	N
I O D	<input type="checkbox"/>	Is there a responsible person identified for liaising with the contractor(s)?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
4							Y	P	N
I O D	<input type="checkbox"/>	Are arrangements in place to provide contractors with safety and health information prior to commencing work?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
5							Y	P	N
I O D	<input type="checkbox"/>	Are risk assessments obtained, from contractors, for work being carried out on site?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							

6		Y	P	N														
I O D	<p>Are method statements obtained, from contractors, for work being carried out on site?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; text-align: center;">Yes</td> <td style="width: 25%; text-align: center;">No</td> <td style="width: 25%; text-align: center;">PARTIAL</td> <td style="width: 12.5%; text-align: center;">A</td> <td style="width: 12.5%; text-align: center;">B</td> <td style="width: 12.5%; text-align: center;">C</td> <td style="width: 12.5%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
I O D	<p>Are arrangements in place to review risk assessments and method statements received from contractors?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; text-align: center;">Yes</td> <td style="width: 25%; text-align: center;">No</td> <td style="width: 25%; text-align: center;">PARTIAL</td> <td style="width: 12.5%; text-align: center;">A</td> <td style="width: 12.5%; text-align: center;">B</td> <td style="width: 12.5%; text-align: center;">C</td> <td style="width: 12.5%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
I O D	<p>Are arrangements in place to ensure ongoing consultation with contractors on safety and health related issues?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; text-align: center;">Yes</td> <td style="width: 25%; text-align: center;">No</td> <td style="width: 25%; text-align: center;">PARTIAL</td> <td style="width: 12.5%; text-align: center;">A</td> <td style="width: 12.5%; text-align: center;">B</td> <td style="width: 12.5%; text-align: center;">C</td> <td style="width: 12.5%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
I O D	<p>Are arrangements in place to ensure co-operation between contractors?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; text-align: center;">Yes</td> <td style="width: 25%; text-align: center;">No</td> <td style="width: 25%; text-align: center;">PARTIAL</td> <td style="width: 12.5%; text-align: center;">A</td> <td style="width: 12.5%; text-align: center;">B</td> <td style="width: 12.5%; text-align: center;">C</td> <td style="width: 12.5%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
I O D	<p>Are safety statements available for all contractors working on site?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; text-align: center;">Yes</td> <td style="width: 25%; text-align: center;">No</td> <td style="width: 25%; text-align: center;">PARTIAL</td> <td style="width: 12.5%; text-align: center;">A</td> <td style="width: 12.5%; text-align: center;">B</td> <td style="width: 12.5%; text-align: center;">C</td> <td style="width: 12.5%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
I O D	<p>Is the contractor(s) safety statement brought to the attention of all who may be affected by their activities while working on the premises?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; text-align: center;">Yes</td> <td style="width: 25%; text-align: center;">No</td> <td style="width: 25%; text-align: center;">PARTIAL</td> <td style="width: 12.5%; text-align: center;">A</td> <td style="width: 12.5%; text-align: center;">B</td> <td style="width: 12.5%; text-align: center;">C</td> <td style="width: 12.5%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													
I O D	<p>Are relevant sections of the organisations safety and health statement brought to the attention of contractors and others working on site?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; text-align: center;">Yes</td> <td style="width: 25%; text-align: center;">No</td> <td style="width: 25%; text-align: center;">PARTIAL</td> <td style="width: 12.5%; text-align: center;">A</td> <td style="width: 12.5%; text-align: center;">B</td> <td style="width: 12.5%; text-align: center;">C</td> <td style="width: 12.5%; text-align: center;">Total score</td> </tr> <tr> <td style="text-align: center;">Score 10</td> <td style="text-align: center;">Score 0</td> <td></td> <td style="text-align: center;">Score 8</td> <td style="text-align: center;">Score 5</td> <td style="text-align: center;">Score 2</td> <td></td> </tr> </table> <p>Supporting Evidence/Comments:</p>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2				
Yes	No	PARTIAL	A	B	C	Total score												
Score 10	Score 0		Score 8	Score 5	Score 2													

13							Y	P	N		
I O D	<input type="checkbox"/>	Are relevant sections of the organisations safety and health statement brought to the attention of employment agencies who provide agency and relief staff?									
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B				C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5				Score 2	
	<input type="checkbox"/>	Supporting Evidence/Comments:									

14							Y	P	N		
I O D	<input type="checkbox"/>	Are arrangements in place for the reporting and reviewing of incidents involving contractors?									
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B				C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5				Score 2	
	<input type="checkbox"/>	Supporting Evidence/Comments:									

15							Y	P	N		
I O D	<input type="checkbox"/>	Are relevant employees notified that a contractor is coming on site?									
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B				C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5				Score 2	
	<input type="checkbox"/>	Supporting Evidence/Comments:									

CRITERION 11 REPORT FORM

Criterion 11: Co-operation and Co-ordination with Contractors

Where the employees of two or more employers share the workplace or where the workplace is used by others, there is demonstrable evidence of co-operation on, and co-ordination of safety and health measures.

Summary of Documentation Audited and Referenced

Summary of Main Findings of the Audit

Compliance in the area

Non-compliance in the area

Criterion Score:

IMPLEMENTATION AND OPERATION

CRITERION 12: SAFETY, HEALTH AND WELFARE PROCEDURES

Individual directorates, departments and services have documented risk assessments supported by relevant systems of work and procedures, which address their own specific safety, health and welfare concerns, and implement the organisation's overall procedures.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety, Health and Welfare at Work Act 2005⁴, Guide to the Safety, Health and Welfare at Work Act 2005⁵

1							Y	P	N
I	<input type="checkbox"/>	Is there a system in place to produce and manage policies and procedures?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									

2							Y	P	N
I	<input type="checkbox"/>	Are relevant employees involved in the development of the policies and procedures?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									

3							Y	P	N
I	<input type="checkbox"/>	Are there adequate policies in place for the following? (This is a non exhaustive list):							
O	<input type="checkbox"/>	<ul style="list-style-type: none"> ● selection of personal protective equipment ● management of moving and handling ● pregnant workers ● use of hazardous chemicals ● infection control ● occupational health services ● cleaning ● biological agents ● carcinogens ● transport ● reporting of incidents 							
D	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
Supporting Evidence/Comments:									

	4		Y	P	N														
I O D	<input type="checkbox"/>	Are policies and procedures brought to the attention of relevant employees?																	
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
	Yes	No				PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2														
<input type="checkbox"/>	Supporting Evidence/Comments:																		

	5		Y	P	N														
I O D	<input type="checkbox"/>	Are policies and procedures reviewed?																	
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
	Yes	No				PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2														
<input type="checkbox"/>	Supporting Evidence/Comments:																		

	6		Y	P	N														
I O D	<input type="checkbox"/>	Where required, are policies and procedures updated after review?																	
	<input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 16.6%;">Yes</td> <td style="width: 16.6%;">No</td> <td style="width: 16.6%;">PARTIAL</td> <td style="width: 16.6%;">A</td> <td style="width: 16.6%;">B</td> <td style="width: 16.6%;">C</td> <td style="width: 16.6%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
	Yes	No				PARTIAL	A	B	C	Total score									
Score 10	Score 0		Score 8	Score 5	Score 2														
<input type="checkbox"/>	Supporting Evidence/Comments:																		

CRITERION 12 REPORT FORM

Criterion 12: Safety, Health and Welfare Procedures
Individual directorates, departments and services have documented risk assessments supported by relevant systems of work and procedures, which address their own specific safety, health and welfare concerns, and implement the organisation's overall procedures.
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Criterion Score:

IMPLEMENTATION AND OPERATION**CRITERION 13: OCCUPATIONAL HEALTH SERVICES**

Employees should have access to comprehensive and competent occupational health services.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References:

1							Y	P	N
I O D	<input type="checkbox"/>	Is there a policy in relation to the provision of occupational health services (OHS)?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
2							Y	P	N
I O D	<input type="checkbox"/>	Are occupational health services available?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
3							Y	P	N
I O D	<input type="checkbox"/>	Do all employees have access to occupational health services where appropriate?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
4							Y	P	N
I O D	<input type="checkbox"/>	Is appropriate pre employment screening available to employees?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
5							Y	P	N
I O D	<input type="checkbox"/>	Is there a programme in place for the rehabilitation of employees?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							
6							Y	P	N
I O D	<input type="checkbox"/>	Does the OHS advise on modifications to a job to facilitate an employee returning to work?							
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score	
	<input type="checkbox"/>	Supporting Evidence/Comments:							

7							Y	P	N			
I O D	<input type="checkbox"/>	Is the requirement for health surveillance identified through risk assessment?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B					C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5					Score 2	
Supporting Evidence/Comments:												

8							Y	P	N			
I O D	<input type="checkbox"/>	Does the organisation have specific objectives and targets for the OHS?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B					C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5					Score 2	
Supporting Evidence/Comments:												

9							Y	P	N			
I O D	<input type="checkbox"/>	Are there clear lines of accountability for the OHS?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B					C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5					Score 2	
Supporting Evidence/Comments:												

10							Y	P	N			
I O D	<input type="checkbox"/>	Is the service available during normal working hours?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B					C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5					Score 2	
Supporting Evidence/Comments:												

11							Y	P	N			
I O D	<input type="checkbox"/>	Is the service available outside normal working hours?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B					C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5					Score 2	
Supporting Evidence/Comments:												

12							Y	P	N			
I O D	<input type="checkbox"/>	Are appropriate facilities in place for the provision of the OHS?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B					C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5					Score 2	
Supporting Evidence/Comments:												

13							Y	P	N			
I O D	<input type="checkbox"/>	Does the OHS advise on hazard identification and risk assessment where appropriate?										
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B					C	Total score
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5					Score 2	
Supporting Evidence/Comments:												

14							Y	P	N
Does the OHS advise on fitness for work?									
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

15							Y	P	N
Does the OHS participate in relevant committees where appropriate?									
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

16							Y	P	N
Does the OHS work in conjunction with other disciplines in preventative safety and health management programmes where appropriate?									
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

17							Y	P	N
Does the OHS have access to employee accident and ill health records?									
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

18							Y	P	N
Is there a formal review of the effectiveness of OHS?									
I	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
O	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
D	<input type="checkbox"/>	Supporting Evidence/Comments:							

IMPLEMENTATION AND OPERATION**CRITERION 14: EMERGENCY PLANS**

Emergency plans are in place to address all situations that pose serious or imminent danger.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: Fire Services Act 1981⁶, Code of Practice for Fire Safety in Nursing Homes¹⁰

1							Y	P	N
I	<input type="checkbox"/>	Are competent persons appointed to oversee the development of emergency plans?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							
2							Y	P	N
I	<input type="checkbox"/>	Are there emergency plans in place?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							
3							Y	P	N
I	<input type="checkbox"/>	Are emergency plans communicated to employees?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							
4							Y	P	N
I	<input type="checkbox"/>	Are competent persons nominated and trained to implement emergency plans?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							
5							Y	P	N
I	<input type="checkbox"/>	Does management evaluate the effectiveness of the emergency plans?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

6			Y	P	N														
I O D	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Are suitable and effective plans and procedures in place for all foreseeable events of serious or imminent danger? (This is a non exhaustive list):</p> <ul style="list-style-type: none"> ● fire ● water – no mains supply ● flooding ● power cut – electricity ● transportation ● burglary (vacant/occupied house) ● outbreak of illness e.g. winter vomiting bug, food poisoning etc. ● service user absconding ● major incident of challenging behaviour 																	
		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">Yes</td> <td style="width:15%;">No</td> <td style="width:15%;">PARTIAL</td> <td style="width:15%;">A</td> <td style="width:15%;">B</td> <td style="width:15%;">C</td> <td style="width:15%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
		Yes				No	PARTIAL	A	B	C	Total score								
Score 10	Score 0		Score 8	Score 5	Score 2														
Supporting Evidence/Comments:																			

7			Y	P	N														
I O D	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Have a sufficient number of competent persons been nominated and trained to implement procedures relating to evacuation of people from the premises?</p>																	
		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">Yes</td> <td style="width:15%;">No</td> <td style="width:15%;">PARTIAL</td> <td style="width:15%;">A</td> <td style="width:15%;">B</td> <td style="width:15%;">C</td> <td style="width:15%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
		Yes				No	PARTIAL	A	B	C	Total score								
Score 10	Score 0		Score 8	Score 5	Score 2														
Supporting Evidence/Comments:																			

8			Y	P	N														
I O D	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Is there liaison with the local fire authority in relation to the fire safety plan?</p>																	
		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">Yes</td> <td style="width:15%;">No</td> <td style="width:15%;">PARTIAL</td> <td style="width:15%;">A</td> <td style="width:15%;">B</td> <td style="width:15%;">C</td> <td style="width:15%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
		Yes				No	PARTIAL	A	B	C	Total score								
Score 10	Score 0		Score 8	Score 5	Score 2														
Supporting Evidence/Comments:																			

9			Y	P	N														
I O D	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Are the emergency plans tested periodically?</p>																	
		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">Yes</td> <td style="width:15%;">No</td> <td style="width:15%;">PARTIAL</td> <td style="width:15%;">A</td> <td style="width:15%;">B</td> <td style="width:15%;">C</td> <td style="width:15%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
		Yes				No	PARTIAL	A	B	C	Total score								
Score 10	Score 0		Score 8	Score 5	Score 2														
Supporting Evidence/Comments:																			

10			Y	P	N														
I O D	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Are there adequate first-aid arrangements in place?</p>																	
		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">Yes</td> <td style="width:15%;">No</td> <td style="width:15%;">PARTIAL</td> <td style="width:15%;">A</td> <td style="width:15%;">B</td> <td style="width:15%;">C</td> <td style="width:15%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
		Yes				No	PARTIAL	A	B	C	Total score								
Score 10	Score 0		Score 8	Score 5	Score 2														
Supporting Evidence/Comments:																			

11			Y	P	N														
I O D	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Are all employees aware of arrangements in place for the provision of first-aid, including the location of equipment, facilities and personnel?</p>																	
		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">Yes</td> <td style="width:15%;">No</td> <td style="width:15%;">PARTIAL</td> <td style="width:15%;">A</td> <td style="width:15%;">B</td> <td style="width:15%;">C</td> <td style="width:15%;">Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
		Yes				No	PARTIAL	A	B	C	Total score								
Score 10	Score 0		Score 8	Score 5	Score 2														
Supporting Evidence/Comments:																			

IMPLEMENTATION AND OPERATION

CRITERION 15: ADVERSE EVENTS, NEAR MISSES AND ILL HEALTH OCCURRENCES

Adverse events and near misses, including injuries, ill health, diseases and dangerous occurrences, are dealt with in accordance with the processes contained within the organisation's policies and procedures.

Any event or circumstance, which could have or did lead to actual or possible personal injury, personal harm, property damage or loss can be defined as an Adverse Event.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Safety, Health and Welfare at Work Act 2005⁴, Guide to the Safety, Health and Welfare at Work Act 2005⁵

1							Y	P	N
I	<input type="checkbox"/>	Is there a policy and procedure in place for reporting incidents and near misses?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									
2							Y	P	N
I	<input type="checkbox"/>	Is there an effective system in place for reviewing incidents and near misses?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									
3							Y	P	N
I	<input type="checkbox"/>	Is safety and health effectively integrated into the organisations strategic plan?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									
4							Y	P	N
I	<input type="checkbox"/>	Is there a system in place for the statutory reporting of incidents to the HSA?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									
5							Y	P	N
I	<input type="checkbox"/>	Are trend analysis completed on injuries/ill health absence?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
Supporting Evidence/Comments:									

CRITERION 15 REPORT FORM

Criterion 15: Adverse Events, Near Misses and Ill Health Occurrences

Adverse events and near misses, including injuries, ill health, diseases and dangerous occurrences, are dealt with in accordance with the processes contained within the organisation's policies and procedures.

Any event or circumstance, which could have or did lead to actual or possible personal injury or illness, personal harm, property damage or loss can be defined as an Adverse Event

Summary of Documentation Audited and Referenced

Summary of Main Findings of the Audit

Compliance in the area

Non-compliance in the area

Criterion Score:

MEASURING PERFORMANCE

CRITERION 16: KEY PERFORMANCE INDICATORS

Key performance indicators capable of showing improvements in safety, health, welfare management and/or providing early warning of risk are used at all levels of the organisation, and efficacy and usefulness of the indicators is reviewed regularly.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References:

1							Y	P	N	
I	<input type="checkbox"/>	Does management have a set of agreed performance indicators in place to monitor safety and health performance?								
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score		
		Score 10	Score 0		Score 8	Score 5	Score 2			
D	<input type="checkbox"/>	Supporting Evidence/Comments:								
2							Y	P	N	
I	<input type="checkbox"/>	Are the safety and health goals and objectives SMART (Specific, Measureable, Attainable, Relevant, Timebound)?								
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score		
		Score 10	Score 0		Score 8	Score 5	Score 2			
D	<input type="checkbox"/>	Supporting Evidence/Comments:								
3							Y	P	N	
I	<input type="checkbox"/>	Is there a system in place to evaluate the effectiveness of performance indicators?								
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score		
		Score 10	Score 0		Score 8	Score 5	Score 2			
D	<input type="checkbox"/>	Supporting Evidence/Comments:								
4							Y	P	N	
I	<input type="checkbox"/>	Does the organisation measure its progress towards the safety and health goals and objectives?								
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score		
		Score 10	Score 0		Score 8	Score 5	Score 2			
D	<input type="checkbox"/>	Supporting Evidence/Comments:								

5		Y	P	N														
I O D	<p>Is there evidence that key indicators are being used? (This is a non exhaustive list):</p> <ul style="list-style-type: none"> percentage of attendance at mandatory training percentage of attendees at induction training within one month of appointment percentage of employees attending all safety and health training programmes including refresher training, as appropriate percentage of managers trained in risk assessment process number of 3 day incidents expressed as a percentage of total incidents reported number of incidents relating to employees, service users, contractors and members of the public expressed as a percentage of total incidents reported number of incident review recommendations implemented expressed as a percentage of total incident review recommendations trends in incidents number of proactive departmental risk assessments carried out, as a percentage of total number of departments in the organisation number of mandatory risk assessments carried out as a percentage of total number required, e.g. manual handling, display screen equipment, chemical agents, biological agents, pregnant employees, carcinogens, noise etc. percentage of control measures (identified in the hazard identification and risk assessment process) implemented, represented as a percentage of total number of control measures identified 																	
					<table border="1"> <thead> <tr> <th>Yes</th> <th>No</th> <th rowspan="2">PARTIAL</th> <th>A</th> <th>B</th> <th>C</th> <th>Total score</th> </tr> </thead> <tbody> <tr> <td>Score 10</td> <td>Score 0</td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </tbody> </table>	Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0	Score 8	Score 5	Score 2	
					Yes	No	PARTIAL		A	B	C	Total score						
Score 10	Score 0	Score 8	Score 5	Score 2														
Supporting Evidence/Comments:																		

REVIEWING PERFORMANCE**CRITERION 17: REVIEWING PERFORMANCE**

The safety and health management system is monitored and reviewed in order to make continuous improvements to the effectiveness of the system.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: Safety, Health and Welfare at Work Act 2005⁴, Guide to the Safety, Health and Welfare at Work Act 2005⁵

1							Y	P	N
I	<input type="checkbox"/>	Is there a formal method in place for the periodic review of the safety and health management system?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

2							Y	P	N
I	<input type="checkbox"/>	Does the review cover all key elements of the safety and health management system?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

3							Y	P	N
I	<input type="checkbox"/>	Does the review of the safety and health management system involve all appropriate personnel?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

4							Y	P	N
I	<input type="checkbox"/>	Is there evidence that the organisation responded adequately to the recommendations in the most recent review of the system?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

5							Y	P	N
I	<input type="checkbox"/>	Are review meetings documented?							
O	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
D	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
	<input type="checkbox"/>	Supporting Evidence/Comments:							

6		Y	P	N				
I O D	<input type="checkbox"/>	Are arrangements in place for ongoing review of the risk assessment process?						
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
	<input type="checkbox"/>	Supporting Evidence/Comments:						

7		Y	P	N				
I O D	<input type="checkbox"/>	Is safety and health performance measured against internal key performance indicators?						
	<input type="checkbox"/>	Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score
	<input type="checkbox"/>	Supporting Evidence/Comments:						

AUDITING

CRITERION 18: AUDIT

The Chief Executive, or his/her designate, seeks independent assurance that an appropriate and effective system of managing safety, health and welfare is in place and that the necessary level of controls and monitoring are being implemented.

REFERENCE APPENDIX 1 OF GUIDANCE DOCUMENT:

Other Key References: The Report of the Advisory Committee on Health Services 2001¹¹

1							Y	P	N
I O D	<input type="checkbox"/>	Does the organisation have a system in place for performing safety and health audits?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
2							Y	P	N
I O D	<input type="checkbox"/>	Is there a safety and health audit schedule in place?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
3							Y	P	N
I O D	<input type="checkbox"/>	Have appropriate employees been trained competently to carry internal audits?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
4							Y	P	N
I O D	<input type="checkbox"/>	Are external audits carried out by competent persons?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
5							Y	P	N
I O D	<input type="checkbox"/>	Are the findings of these audits recorded?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								
6							Y	P	N
I O D	<input type="checkbox"/>	Are follow up actions of the audit signed off by an appropriate manager?							
	<input type="checkbox"/>	Yes	No	PARTIAL	A	B	C	Total score	
	<input type="checkbox"/>	Score 10	Score 0		Score 8	Score 5	Score 2		
<input type="checkbox"/>	Supporting Evidence/Comments:								

7		Y	P	N															
I	<input type="checkbox"/>	Does the auditing system critically appraise the key elements of the safety and health management system?																	
O	<input type="checkbox"/>	<table border="1"> <tr> <td>Yes</td> <td>No</td> <td>PARTIAL</td> <td>A</td> <td>B</td> <td>C</td> <td>Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
Yes	No	PARTIAL	A	B	C	Total score													
Score 10	Score 0		Score 8	Score 5	Score 2														
D	<input type="checkbox"/>	Supporting Evidence/Comments:																	

8		Y	P	N															
I	<input type="checkbox"/>	Are the results of audits fed back to senior management and relevant stakeholders to allow for corrective action?																	
O	<input type="checkbox"/>	<table border="1"> <tr> <td>Yes</td> <td>No</td> <td>PARTIAL</td> <td>A</td> <td>B</td> <td>C</td> <td>Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
Yes	No	PARTIAL	A	B	C	Total score													
Score 10	Score 0		Score 8	Score 5	Score 2														
D	<input type="checkbox"/>	Supporting Evidence/Comments:																	

9		Y	P	N															
I	<input type="checkbox"/>	Is there a system in place to ensure that the corrective actions resulting from an audit are implemented?																	
O	<input type="checkbox"/>	<table border="1"> <tr> <td>Yes</td> <td>No</td> <td>PARTIAL</td> <td>A</td> <td>B</td> <td>C</td> <td>Total score</td> </tr> <tr> <td>Score 10</td> <td>Score 0</td> <td></td> <td>Score 8</td> <td>Score 5</td> <td>Score 2</td> <td></td> </tr> </table>				Yes	No	PARTIAL	A	B	C	Total score	Score 10	Score 0		Score 8	Score 5	Score 2	
Yes	No	PARTIAL	A	B	C	Total score													
Score 10	Score 0		Score 8	Score 5	Score 2														
D	<input type="checkbox"/>	Supporting Evidence/Comments:																	

APPENDIX 1

QUALITY IMPROVEMENT ACTION PLAN

Criterion	Area of Non Compliance	Corrective Action to be Taken	Responsible Person	Timeframe	Review of Implementation of Action
Criterion 1					
Criterion 2					
Criterion 3					
Criterion 4					
Criterion 5					
Criterion 6					
Criterion 7					
Criterion 8					
Criterion 9					

APPENDIX 1 (continued)

QUALITY IMPROVEMENT ACTION PLAN

Criterion	Area of Non Compliance	Corrective Action to be Taken	Responsible Person	Timeframe	Review of Implementation of Action
Criterion 10					
Criterion 11					
Criterion 12					
Criterion 13					
Criterion 14					
Criterion 15					
Criterion 16					
Criterion 17					
Criterion 18					

APPENDIX 2**CRITERION SCORING SUMMARY SHEET**

Criterion	Actual Criterion Score (AC)	Maximum Criterion Score (MC) Total Number of Questions x Maximum Score (10)	Criterion Score as a percentage (AC/MC x 100/1)
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
Overall Audit Score			

REFERENCES

- ¹The Institute of Chartered Accountants in England and Wales, (1999), "Internal Control, Guidance for Directors on the Combined Code"
- ²The Independent Commission on Good Governance in Public Services, (UK 2004), "Good Governance Standard for Public Services"
- ³Health and Safety Authority, (2006), "Guidelines on Preparing your Safety Statement and Carrying out Risk Assessments"
- ⁴Government Publications, (2005), "Safety, Health and Welfare at Work Act 2005"
- ⁵ Health and Safety Authority, (2005), "The Guide to the Safety, Health and Welfare at Work Act 2005"
- ⁶Government Publication, (1981), "Fire Services Act"
- ⁷Health and Safety Authority, (1994), "Guidelines on Safety Consultation and Safety Representatives"
- ⁸Department of Health and Children, The Health Service Employers Agency and The Health Services National Partnership Forum, (2002), "Action Plan for People Management in the Health Service"
- ⁹Department of Health and Children, (2001), "Quality and Fairness: A Health System for You"
- ¹⁰The Department of the Environment, (1996), "Code of Practice for Fire Safety in Nursing Homes"
- ¹¹Health and Safety Authority, (2001), "The Report of the Advisory Committee on Health Services"

A comprehensive list of up to date safety and health legislation can be accessed at the Health and Safety Authority's website at:

www.hsa.ie

Auditing a Safety and Health Management System

A Safety and Health Audit Tool for the Healthcare Sector

*Achieving a
Healthy
and Safe
Working Life
-Together*

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