

### Auditing a Safety and Health Management System

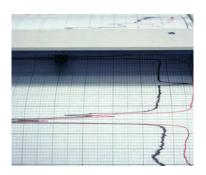












## A Safety and Health Audit Tool for the Healthcare Sector

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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 <a href="https://www.hsa.ie">www.hsa.ie</a>.

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	Р	N
Т		Does the or	oes the organisation have a documented safety and health policy?								
*	Ш	Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	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	Р	N
T	X	Does the or	oes the organisation have a documented safety and health policy?								
*		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	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	Р	N
_	₩	Does the or	ganisation	have a doo	cumented s	afety and h	ealth polic	y?			X
1	X	Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/Comments: Interviewed the Managing Director and he informed me that there was no documented safety and health policy.									

#### 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**

Safety Statement, Reports, Training Records

#### **Summary of Main Findings of the Audit**

#### Compliance in the area

Managers are aware of responsibilities

#### Non-compliance in the area

There is no documented safety and health policy. There are no safety and health objectives

**Criterion Score: 100/130** 76.9%

#### 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	<b>Corrective Action</b>	Responsible person	Timeframe	Review
1	No safety and health policy	Need to develop	Managing Director	Dec 2006	Feb 2007

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.

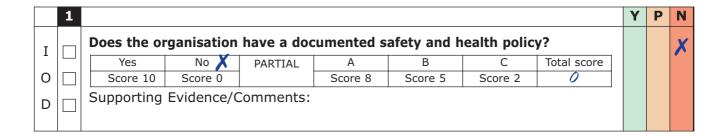
Below is an explanation of the scoring system.

#### Step 1:

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

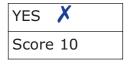
In this example the auditor uses an "X" to select "No" as the answer to the question and uses an "X" to select "No" in the score table.

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

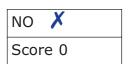


#### The different scoring options are as set out below:

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.



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".



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.

А	В	С
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 🗡	PARTIAL	А	В	С	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 =  $100/130 \times 100/1 = 76.92\%$ 

**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  $\times$  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**

Safety Statement, Reports, Training Records

#### **Summary of Main Findings of the Audit**

#### Compliance in the area

Managers are aware of responsibilities

#### Non-compliance in the area

There is no documented safety and health policy. There are no safety and health objectives

**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)  $\times$  100/1

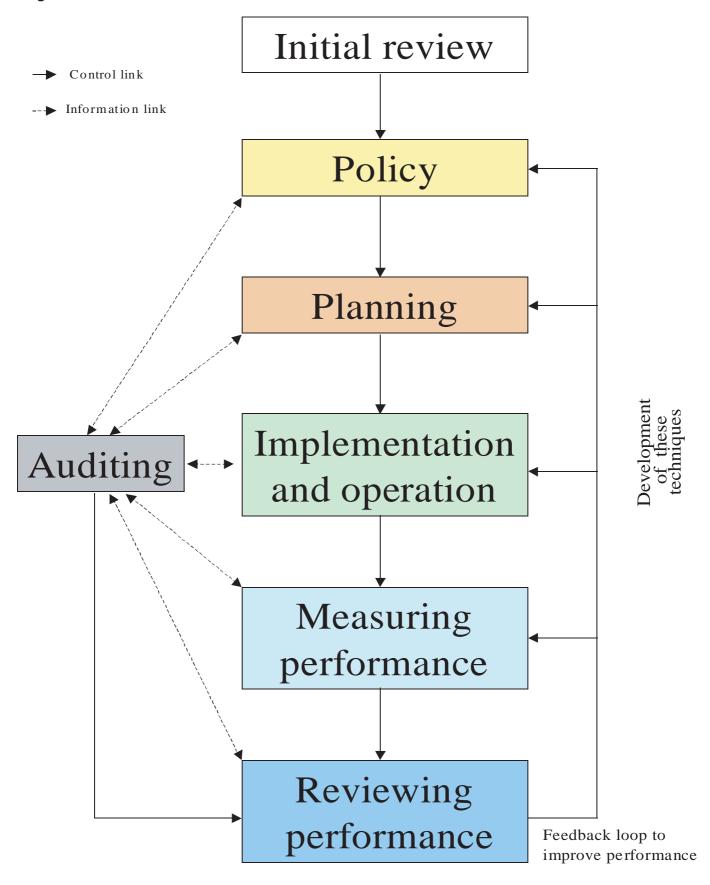
#### Overall Audit Score = $1730/1850 \times 100/1 = 93.51\%$

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.

Y P N

#### POLICY

1

#### **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,1999<sup>1</sup>, Good Governance Standard for Public Services, 2004<sup>2</sup>

	1		Y	Р	N
I		Does the organisation have a documented safety and health policy?			
1	$  \Box  $	Yes No PARTIAL A B C Total score			
0		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	2		Υ	Р	N
		Is the safety and health policy signed off by the Chief Executive or his/her			
I		designate?			
0		Yes No PARTIAL A B C Total score			
_		Score 10 Score 0 Score 8 Score 5 Score 2			
D	$  \sqcup  $	Supporting Evidence/Comments:			
	3		Y	Р	N
_		Is safety and health effectively integrated into the organisations strategic plan?			
I	$  \sqcup  $	Yes No PARTIAL A B C Total score			
0		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	4		Υ	Р	N
		And noncetion relationships also the defined in the approximation?			
I		Are reporting relationships clearly defined in the organisation?  Yes No PARTIAL A B C Total score			
0		YesNoPARTIALABCTotal scoreScore 10Score 0Score 8Score 5Score 2			
		Supporting Evidence/Comments:			
D	$  \sqcup  $				
			7.7		
	5	Ave managere companies as and ampleyees made approve of their	Y	Р	N
I		Are managers, supervisors and employees made aware of their responsibilities with regard to safety and health?			
		Yes No PARTIAL A B C Total score			
0	$  \sqcup  $	Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	6		Υ	Р	N
		Do managers, supervisors and employees have a clear understanding of their			
I		responsibilities with regard to safety and health?			
0		Yes No PARTIAL A B C Total score			
		Score 10   Score 0   Score 8   Score 5   Score 2			
D	$  \sqcup  $	Supporting Evidence/Comments:			
1	1				

	7		Y	Р	N
_		Are managers, supervisors and employees accountable for not meeting their			
I		responsibilities for workplace safety and health?  Yes No PARTIAL A B C Total score			
0		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	8		Υ	Р	N
		Are safety and health responsibilities detailed in the job descriptions of			
I		managers, supervisors and employees?			
0		Yes         No         PARTIAL         A         B         C         Total score           Score 10         Score 0         Score 8         Score 5         Score 2			
D		Supporting Evidence/Comments:			
	9		Υ	Р	N
		Has management ensured that adequate resources are provided to ensure that	•	-	
I		protective and preventive measures are in place to manage safety and health?			
0		Yes No PARTIAL A B C Total score			
D		Score 10   Score 0   Score 8   Score 5   Score 2   Supporting Evidence/Comments:			
		Supporting Evidence/Comments.			
	10		Y	Р	N
I		Is safety and health an agenda at management team meetings?  Yes No PARTIAL A B C Total score			
		Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2			
0		Supporting Evidence/Comments:			
D					
	11		Y	Р	N
_		Are safety and health objectives incorporated as part of the safety and health policy?			
1		Yes No PARTIAL A B C Total score			
0	Ш	Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	12		Υ	Р	N
		Does the safety and health policy express a clear commitment to the safety			
I		of employees, service users, contractors and visitors?			
0		Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	13		Υ	Р	N
	10	Do the management team have a mechanism in place to facilitate planning,	•		-
I		implementation, monitoring, control and consultation processes required for			
_		effective safety and health management?			
0	$  \sqcup  $	Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
1	1	· · · · · · · · · · · · · · · · · · ·			

#### **CRITERION 1 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 Summary of Main Findings of the Audit Compliance in the area** Non-compliance in the area **Criterion Score:**

Y P N

#### **POLICY**

1

#### **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,  $2006^3$ 

	_								_	_	
_		Does the or	rganisation	have a doo	cumented s	afety and h	nealth polic	cy?			
I		Yes	No	PARTIAL	А	В	C	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	2								Υ	Р	N
		Has the cor	stant of the	s cafety sta	tomont had	n brought	to the atte	ntion of all	T	P	14
I		employees			tement bec	ii biougiit	to the atte	illion or an			
0		Yes	No	PARTIAL	А	В	С	Total score			
	Ш	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	3								Υ	Р	N
		Is there a r	evision his	tory of the	safety stat	ement to re	eflect evide	ence of			
I		regular rev	·	date?							
0		Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score			
D				Commonts	Score 8	Score 5	Score 2				
	$  \Box  $	Supporting	Evidence/	comments:							
									1.7		
	4								Y	Р	N
I		need to mo				mecnanisn	ı, wnıcn re	cognises the			
-	$  \Box  $	Yes	No	PARTIAL	A	В	С	Total score			
0		Score 10	Score 0	IAKIIAL	Score 8	Score 5	Score 2	1000.00.0			
D		Supporting	Evidence/0	Comments:	•	•	•				
	5								Υ	Р	N
		Is there a c	lear comm	itment in t	he safety s	tatement to	allocate a	ppropriate			
I		resources t	o manage	safety and	health?						
0		Yes	No	PARTIAL	A	В	С	Total score			
		Score 10	Score 0	<u> </u>	Score 8	Score 5	Score 2				
D	Ш	Supporting	Evidence/0	Lomments:							
	6								Y	Р	N
		Does the sa hazards, as						ying			
I		Yes	No No		A A	rois and re	c c	Total score			
0		Score 10	Score 0	PARTIAL	Score 8	Score 5	Score 2	Total Score			
	1 1			i .				1			
D		Supporting	Evidence/0	Comments:							
D		Supporting	Evidence/0	Comments:		I					

	7							Y	Р	N
_		Does the safety sta and health is comm				formation	on safety			
I	Ш	Yes No			в:	С	Total score			
0		Score 10 Score (	PARTIAL	A Score 8	Score 5	Score 2	Total score			
D		Supporting Evidence			500.0 5	50010 2				
		Supporting Evidence	e, commence.							
	8							Y	Р	N
		Does the safety sta					safety,			
I		health & welfare of	employees ar	re secured a	and manage	ed?				
0		Yes No	PARTIAL	Α	В	С	Total score			
		Score 10 Score (		Score 8	Score 5	Score 2				
D		Supporting Evidence	e/Comments:							
	9							Υ	P	N
		Does the safety sta	tement specif	y the arran	gements in	which the	safety,			
I		health & welfare of					•			
0		Yes No	PARTIAL	Α	В	С	Total score			
	$  \square  $	Score 10 Score (	)	Score 8	Score 5	Score 2				
D		Supporting Evidence	upporting 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 2005<sup>4</sup> and associated regulations, The Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>

	1								Y	Р	N
I		Is there a postice,						tion, codes			
		Yes	No	PARTIAL	Α	В	С	Total score			
0	$  \sqcup  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	2								Y	Р	N
I		Is there a rayailable an			out to ens	ure appropi	riate legisla	ation is			
0		Yes	No	PARTIAL	Α	В	С	Total score			
	$  \Box  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
									2.5		
	3								Υ	Р	N
_	_	Is there ev	idence of m	nonitoring o	compliance	with statut	tory require	ements?			
I	Ш	Yes	No	PARTIAL	Α Α	В	C	Total score			
0		Score 10	Score 0	.,,,,,,,	Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:							
D	$  \sqcup  $	3	,								
	4								Υ	Р	N
	-	Is there ev	idence of a	nrocess fo	r systemati	cally inche	cting nrem	ises nlant	-		
I		equipment			. Systemati	cany mspe	cang prom	ises, plant,			
		Yes	No	PARTIAL	Α	В	С	Total score			
0	$  \sqcup  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:	•	•					
			•								
	5								Y	Р	N
I		Is there every measures?	idence of h	ealth surve	illance to c	heck the ef	ffectivenes	s of control			
0	_	Yes	No	PARTIAL	Α	В	С	Total score			
	$  \sqcup  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							

	6								Y	Р	N
		Is there fol	low up to H	ISA inspect	ion reports	/enforcem	ent notices	?			
I		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:							
D											
	7								Y	P	N
	7	Are HSA ins	spector's re	eports avail	able (if cor	iducted ove	er the last y	year)?	Y	P	N
I	7	Are HSA ins	spector's re	eports avail	able (if cor	iducted ove	er the last y	/ear)?    Total score	Y	P	N
	7		-	-	•	ı	cr the last y C Score 2		Y	P	N
I O	<b>7</b>	Yes	No Score 0	PARTIAL	A	В	С		Y	P	N
	<b>7</b>	Yes Score 10	No Score 0	PARTIAL	A	В	С		Y	P	N

#### **CRITERION 3 REPORT FORM**

# **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. **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 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 2005<sup>4</sup>, The Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>, Fire Services Act 1981<sup>6</sup>

	1								Y	P	N
I		Are there su assistance t			ersons to p	rovide safe	ty, health a	and welfare			
0		Yes	No	PARTIAL	А	В	С	Total score			
	$  \square  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
	2								Υ	Р	N
I		Is there a co		person app	ointed to o	versee eme	ergency pla	nning withir	1		
0		Yes	No	PARTIAL	Α	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
	3								Y	P	N
I	3	Are there ar			f employee	s trained to	implemen	t emergency	-	Р	N
	3				f employee	s trained to	implemen	t emergency  Total score	-	P	N
I O		plans within	the organ	isation?					-	P	N
		plans within	No Score 0	PARTIAL	A	В	C		-	P	N
0	3 	yes Score 10	No Score 0	PARTIAL	A	В	C		-	P	N
0		Yes Score 10	No Score 0 Evidence/C	PARTIAL Comments:	A Score 8	B Score 5	C Score 2	Total score	Y		
O D		Yes Score 10 Supporting Where requi	No Score 0 Evidence/C	PARTIAL Comments:	A Score 8	B Score 5	C Score 2	Total score	Y		
O D		Yes Score 10 Supporting Where requite organisa	No Score 0 Evidence/C	PARTIAL Comments:	A Score 8	B Score 5	C Score 2	Total score	Y		

	5		Y	P	N
I O D		Are there competent persons to manage/advise on safety and health in the following? (This is a non exhaustive list):  • 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			
		Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2			
		Supporting Evidence/Comments:			
	6		Y	P	N
I		Are arrangements in place for ensuring adequate co-operation between the competent persons?			
О	$ \Box $	Yes No PARTIAL A B C Total score			
_		Score 10   Score 0   Score 8   Score 5   Score 2			
D		Supporting Evidence/Comments:			

#### **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:

V D N

#### **PLANNING**

1

#### **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 2005<sup>4</sup>, The Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>, Guidelines on Safety Consultation and Safety Representatives<sup>7</sup>

	1	To thoro a r	nachanicm	in place for	r concultat	ion on safet	ty hoalth a	and welfare?	Y	Р	N
I							•				
1	$  \Box  $	Yes Score 10	No Score 0	PARTIAL	A Score 8	В	C Score 2	Total score			
0					Score 8	Score 5	Score 2				
_		Supporting	Evidence/0	Comments:							
D	$  \sqcup  $										
	2								Y	Р	N
Ι		Does the ewelfare?	employer o	onsult witl	h his/her	employees	on safety	, health an	d		
0		Yes	No	PARTIAL	А	В	С	Total score			
_		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
		3	•						7.7		
	3								Υ	Р	N
Ι		and welfare	e?					afety, healt	n		
0		Yes	No	PARTIAL	A	В	С	Total score			
_		Score 10	Score 0		Score 8	Score 5	Score 2				
D	$  \sqcup  $	Supporting	Evidence/(	Comments:							
	4								Y	Р	N
Ι		Does mana consultative			effectivene	ss of its saf	ety, health	and welfare	2		
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	5								Υ	Р	N
I		Is there a dhealth and			ensure effo	ective consu	Iltation on	safety,			
_		Yes	No	PARTIAL	А	В	С	Total score			
O	$  \sqcup  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D	$ \Box $	Supporting	Evidence/0	Comments:							
			7								
									V	Р	NI.
	6								Y	Р	N
	6	To those be	lancod navi	icination a							
Т	6	Is there ba									
I	6	Yes	No	PARTIAL	А	В	C	Total score			
I	6	Yes Score 10	No Score 0	PARTIAL			C Score 2	Total score			
0	6	Yes	No Score 0	PARTIAL	А	В		Total score			
	6	Yes Score 10	No Score 0	PARTIAL	А	В		Total score			

	7		Υ	Р	N
		Are there clearly defined safety, health and welfare terms of reference for the			
I		committee?			
0		Yes         No         PARTIAL         A         B         C         Total score           Score 10         Score 0         Score 8         Score 5         Score 2			
D		Supporting Evidence/Comments:			
		Supporting Evidence/comments.			
	8		Y	Р	N
I		Is there evidence of follow up to actions decided at the meetings of the committee within a responsible time frame?			
1		Yes No PARTIAL A B C Total score			
0		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	9		Υ	Р	N
			•	F	-
I		Do all employees have access to the minutes of committee meetings?			
		Yes No PARTIAL A B C Total score			
0	Ш	Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	10		Υ	Р	N
	10	Is there evidence that the committee operates in accordance with its terms of	•	r	-
I		reference?			
		Yes No PARTIAL A B C Total score			
О		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	11		Υ	Р	N
		Is the safety representative a member of the committee?		•	-
I					
_		Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2			
0		Supporting Evidence/Comments:			
D		Capperaing Endented, commented			
	12		Υ	Р	N
		Is there a mechanism in place for the appointment of a safety	-	-	
I		representative(s)?			
		Yes No PARTIAL A B C Total score			
0		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	13		Υ	Р	N
	13		-	P	14
_		Has a safety representative been appointed?			
I		Yes     No     PARTIAL     A     B     C     Total score       Score 10     Score 0     Score 8     Score 5     Score 2			
0					
D		Supporting Evidence/Comments:			

	14							Y	Р	N
		Has the safety rep	presentative red	eived appr	opriate trai	ning?				
I		Yes No	PARTIAL	А	В	С	Total score			
0		Score 10 Score	e 0	Score 8	Score 5	Score 2				
		Supporting Evider	nce/Comments:							
D										
	15							Υ	Р	N
	15	Is the role of the	safety renresen	tative(s) u	nderstood	hy all?		•		-
I		Yes No		A	В	C	Total score			
1		Score 10 Score	17(1117)	Score 8	Score 5	Score 2	Total score			
0		Supporting Evider		50010 0	30010 3	30010 2				
D		Supporting Evider	ice/comments.							
1										
	16							Y	P	N
	16	Is the safety repr		llowed to p	erform and	discharge	his/her	Y	P	N
I	16			llowed to p	erform and	discharge	his/her	Y	P	N
-	<b>16</b>	Is the safety representative full Yes No	nctions?	llowed to p	erform and	<b>discharge</b>	his/her  Total score	Y	P	N
I	<b>16</b>	Is the safety representative full	nctions?  PARTIAL					Y	P	N
-	16 	Is the safety representative full Yes No	PARTIAL 0	А	В	С		Y	P	N
0	<b>16</b>	Is the safety representative full Yes No Score 10 Score	PARTIAL 0	А	В	С		Y	P	N
0		Is the safety representative full Yes No Score 10 Score	PARTIAL 0	А	В	С				
0	16 	Is the safety representative full Yes No Score 10 Score Supporting Evider	PARTIAL PARTIA	A Score 8	B Score 5	C Score 2	Total score	Y	P	N
O D		Is the safety representative full Yes No Score 10 Score Supporting Evider	PARTIAL PARTIA	A Score 8	B Score 5	C Score 2	Total score			
0		Is the safety representative functions and series are series and series and series and series are series are series and series are series are series are s	PARTIAL PARTIA	A Score 8  rovided wit functions?	B Score 5  h adequate	C Score 2	Total score			
O D		Is the safety representative functions and series are series and series and series and series are series are series and series are series and series are series are series and series are series are series are series are series are s	PARTIAL e 0 nce/Comments: esentative(s) prepresentative	A Score 8  rovided wit functions?	B Score 5  h adequate	C Score 2	Total score			
O D		Is the safety representative functions and series are series and series and series and series are series are series and series are series are series are s	PARTIAL e 0 esentative(s) prepresentative e 0 PARTIAL	A Score 8  rovided wit functions?	B Score 5  h adequate	C Score 2	Total score			

#### **CRITERION 5 REPORT FORM**

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 safety committee to progress the consultation process.
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Non compliance in the area
Criterion Score:

Y P N

#### **PLANNING**

1

#### **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:

I		Is there an effective of statement?	ommunicat	ion proced	ure set out	in the safe	ety			
		Yes No	PARTIAL	Α	В	С	Total score			
0	Ш	Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/0	Comments:							
	2							Y	P	N
I		Are employees knowle system?	edgeable ab	out the saf	ety and he	alth manag	gement			
0		Yes No	PARTIAL	A	В	С	Total score			
		Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/0	Comments:							
	3							Υ	Р	N
I		Are managers aware of	of their safe	ety and hea	Ith role and	d responsil	oilities?			
1		Yes No	PARTIAL	А	В	С	Total score			
0		Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/0	Comments:							
	4							Υ	Р	N
I		Are managers role and them formally?	d responsib	ilities for s	afety and h	ealth com	municated to			
0		Yes No	PARTIAL	А	В	С	Total score			
	╚	Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/0	Comments:							
	5							Y	Р	N
I		Are employees roles a to them formally?	nd respons	ibilities for	safety and	l health coi	mmunicated			
0		Yes No	PARTIAL	А	В	С	Total score			
0	$  \sqcup  $	Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/0	Comments:							
	6							Υ	Р	N
		Are employees made a	aware of re	levant safe	ty and hea	Ith account	tability	_		
I		arrangements?			_					
0		Yes No	PARTIAL	Α	В	С	Total score			
	$ \Box $	0 10 0 0	1 '	2 2		6 6	+			
D		Score 10 Score 0 Supporting Evidence/0		Score 8	Score 5	Score 2				

	7								Y	P	N
I		Are the releval employees?	nt safety	y and healt	h policies 8	& procedure	es commun	icated to			
		Yes	No	PARTIAL	А	В	С	Total score			
0	$  \sqcup  $	Score 10 S	Score 0		Score 8	Score 5	Score 2				
D		Supporting Evi	idence/C	Comments:							
	8								Υ	P	N
I		Is there a med amendments t				employees	of revisio	ns and			
0		Yes	No	PARTIAL	А	В	С	Total score			
	$  \Box  $	Score 10 S	Score 0		Score 8	Score 5	Score 2				
D		Supporting Evi	idence/C	Comments:							
	9								Y	Р	N
_		Are employees	aware	of revisions	s and amer	ndments to	policies an	d			
I	$  \sqcup  $	procedures?									
0		Yes	No	PARTIAL	A	В	C	Total score			
_			Score 0		Score 8	Score 5	Score 2				
D	$  \sqcup  $	Supporting Evi	idence/C	comments:							
	10										
	EY								Y	Р	N
_		Are policies an	nd proce	dures easil	y accessibl				Y	Р	N
I		Yes	No	dures easil	A	В	С	Total score	Y	Р	N
I		Yes Score 10	No Score 0	PARTIAL				Total score	Y	Р	N
0		Yes	No Score 0	PARTIAL	A	В	С	Total score	Y	Р	N
		Yes Score 10	No Score 0	PARTIAL	A	В	С	Total score	Υ	P	N
0		Yes Score 10	No Score 0	PARTIAL	A	В	С	Total score			
0	111	Yes Score 10 Supporting Evi	No Score 0 idence/C	PARTIAL Comments:	A Score 8	B Score 5	C Score 2		Y	P	N
O D	  -  -     	Yes Score 10 S Supporting Evi	No Score 0 idence/C	PARTIAL Comments:	A Score 8 ent commu	B Score 5	C Score 2	nployees?			
0		Yes Score 10 S Supporting Evi	No Score 0 idence/C	PARTIAL Comments:	A Score 8  ent commu	B Score 5	C Score 2				
O D	  -  -	Yes Score 10 S Supporting Evi  Are the results Yes Score 10 S	No Score 0 idence/C s of a ris No Score 0	PARTIAL Comments:  k assessme	A Score 8 ent commu	B Score 5	C Score 2	nployees?			
O D	  -  -	Yes Score 10 S Supporting Evi	No Score 0 idence/C s of a ris No Score 0	PARTIAL Comments:  k assessme	A Score 8  ent commu	B Score 5	C Score 2	nployees?			
O D	  -  -	Yes Score 10 S Supporting Evi  Are the results Yes Score 10 S	No Score 0 idence/C s of a ris No Score 0	PARTIAL Comments:  k assessme	A Score 8  ent commu	B Score 5	C Score 2	nployees?			
O D I	 	Yes Score 10 S Supporting Evi  Are the results Yes Score 10 S	No Score 0 idence/C s of a ris No Score 0	PARTIAL Comments:  k assessme	A Score 8  ent commu	B Score 5	C Score 2	nployees?	Υ	P	N
O D I	  -  -	Yes Score 10 S Supporting Evi  Are the results Yes Score 10 S Supporting Evi	No Score 0 idence/C s of a ris No Score 0 idence/C	PARTIAL Comments:  Rk assessme PARTIAL Comments:	A Score 8  ent commu A Score 8	B Score 5  nicated to 1 B Score 5	C Score 2  relevant en C Score 2	nployees?  Total score			
O D I	 	Yes Score 10 S Supporting Evi  Are the results Yes Score 10 S	No Score 0 idence/Cos of a ris No Score 0 idence/Cos	PARTIAL Comments:  Rk assessme PARTIAL Comments:	A Score 8  ent commu A Score 8	B Score 5  nicated to 1 B Score 5	C Score 2  relevant en C Score 2	nployees?  Total score	Υ	P	N
O D I O D	 	Yes Score 10 S Supporting Evi  Are the results Yes Score 10 S Supporting Evi  Supporting Evi	No Score 0 idence/Cos of a ris No Score 0 idence/Cos	PARTIAL Comments:  Rk assessme PARTIAL Comments:	A Score 8  ent commu A Score 8	B Score 5  nicated to 1 B Score 5	C Score 2  relevant en C Score 2	nployees?  Total score	Υ	P	N
O D I O D	 	Yes Score 10 Supporting Evi  Are the results Yes Score 10 Supporting Evi  Yes Supporting Evi  Is there evider assessment(s) Yes	No Score 0 idence/Co s of a ris No Score 0 idence/Co nce that	PARTIAL Comments:  R assessment PARTIAL Comments:  employees	A Score 8  ent commu A Score 8	B Score 5  nicated to B Score 5	C Score 2  relevant en C Score 2	nployees?  Total score	Υ	P	N

#### **CRITERION 6 REPORT FORM**

# **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. **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 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 2005<sup>4</sup>, The Guide to the

Safety, Health and Welfare at Work Act 2005<sup>5</sup>, Action Plan for People

Management in the Health Service 20028

			Maila	igernent in	tile Health	Service 20	02				
	1								Y	Р	N
<sub>T</sub>		Is safety an	d health ti	raining mad	le available	for all em	ployees?				
I	$  \Box  $	Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	2								Y	Р	N
_		Are all empl	loyees awa	are of their	duties to a	ttend safet	y and heal	th training?	•		ï
I		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	3								Y	Р	N
		Are employe	ees release	ed from the	ir duties to	attend saf	ety and he	alth			
I		training? '					•				
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	4								Y	Р	N
		Is non-atter	ndance at	training pro	grammes i	recorded/m	nanaged?				
I	$  \sqcup  $	Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
									V		NI.
	5								Y	Р	N
I		Is there a ti		-							
		Yes Score 10	No Coore 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score			
0			Score 0	Commonter	Score 8	Score 5	Score 2				
D		Supporting	Evidence/ (	comments:							
	6								Υ	Р	N
		Do all emplo	ovees unde	erstand the	training/ir	struction r	provided?				
I		Yes	No	PARTIAL	Α Α	В	С	Total score			
0		Score 10	Score 0	IANIAL	Score 8	Score 5	Score 2				
		Supporting		Comments:	1		1				
D			,								
-											

	7		Y	P	N
I		Do all employees understand the limitations and uses of personal protective equipment?			
_		Yes No PARTIAL A B C Total score			
0		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	8		Y	Р	N
I		Is there a training programme in place?			
0		Yes     No     PARTIAL     A     B     C     Total score       Score 10     Score 0     Score 8     Score 5     Score 2			
		Supporting Evidence/Comments:			
D					
	9		Υ	Р	N
_		Does management ensure the implementation of the training programme?			
I		Yes No PARTIAL A B C Total score			
0		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	10		Y	Р	N
I		Are training programmes evaluated?			
_		Yes No PARTIAL A B C Total score			
0		Score 10   Score 0   Score 8   Score 5   Score 2   Supporting Evidence/Comments:			
D		Supporting Evidence, commenter			
	11		Υ	Р	N
_		Are training records maintained?	•		-
I		Yes No PARTIAL A B C Total score			
0		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	12		Y	Р	N
I		Is there a system for flagging refresher training?  Yes No PARTIAL A B C Total score			
0		YesNoPARTIALABCTotal scoreScore 10Score 0Score 8Score 5Score 2			
D		Supporting Evidence/Comments:			
	13		Υ	Р	N
I		Is this refresher training provided?			
1		Yes No PARTIAL A B C Total score			
0		Score 10   Score 0   Score 8   Score 5   Score 2			
D		Supporting Evidence/Comments:			
			1 2 2		_
	14	To those a formal industion program for all new ampleyees?	Y	Р	N
I		Is there a formal induction program for all new employees?  Yes No PARTIAL A B C Total score			
О		Score 10 Score 0 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	IШI				

_	15								Y	Р	N
		Is safety a	nd health a	dequately a	addressed i	n this indu	ction progr	am?			
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:							
D											
	16								Υ	Р	N
	10	Is there a r	nochaniem	in place to	ancura the	nt those pro	vidina trai	ning are	•	•	- 11
I		competent		iii piace to	ensure the	it tilose pro	widing trai	illing are			
_		Yes	No	PARTIAL	А	В	С	Total score			
0	Ш	Score 10	Score 0	1711(12712	Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:	Į.	-	1				
	7								27		
	17								Y	Р	N
_		Is there ev		nanager su <sub>l</sub>	port for tr	aining?					
I		Yes	No	PARTIAL	A	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Lomments:							
	Ш										
	18								Y	Р	N
								nanner and as			
I		l		_			· · · · · · · · · · · · · · · · · · ·	he employee?			
0		Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score			
		30016 10	30016 0		30016.0	30016 3	30016 2				
_		Supporting	Evidence/(	Comments							
D		Supporting	Evidence/0	Comments:							
D		Supporting	Evidence/0	Comments:							
D	19	Supporting	Evidence/0	Comments:					Y	P	N
D	19	Is instructi	on, training		vision prov	rided to em	ployees in	the	Y	P	N
D	19	Is instructi	on, training		vision prov	rided to em	ployees in	the	Υ	P	N
D	19	Is instructi following s	on, training ituations: iitment		vision prov	rided to em	ployees in	the	Y	P	N
D	19	Is instructifollowing some recru	on, training ituations: iitment ifer		vision prov	rided to em	ployees in	the	Y	P	N
	19	Is instructi following s recru trans chan	on, training ituations: litment ifer ge of task	g and super	·		ployees in	the	Y	P	N
I	19	Is instructi following s recru trans chan on th	on, training ituations: litment sfer ge of task se introduct	g and super	work equi	pment	ployees in	the	Y	P	N
	<b>19</b>	Is instructifollowing some recruing transome change on the change change.	on, training ituations: litment ifer ge of task le introduct ges in worl	g and super tion of new c equipmen	work equi t or systen	pment	ployees in	the	Y	P	N
I	19	Is instructifollowing some recruing transform on the change introduced introduced in the change in t	on, training ituations: litment lifer ge of task le introduct ges in work	g and super tion of new c equipmen new techno	work equi t or systen logy	pment ns of work			Y	P	N
I	19 	Is instructifollowing so recrue trans change on the introduction of the recruit o	on, training ituations: iitment ifer ge of task ie introduct ges in work duction of	g and super tion of new c equipmen	work equi t or system logy	pment ns of work	C	the  Total score	Y	P	N
I	19 	Is instructifollowing s	on, training ituations: iitment ifer ge of task ie introduct ges in worl duction of	tion of new cequipmen	work equi t or systen logy	pment ns of work			Y	P	N
I	19 	Is instructifollowing so recrue trans change on the introduction of the recruit o	on, training ituations: iitment ifer ge of task ie introduct ges in worl duction of	tion of new cequipmen	work equi t or system logy	pment ns of work	C		Y	P	N
I	19	Is instructifollowing s	on, training ituations: iitment ifer ge of task ie introduct ges in worl duction of	tion of new cequipmen	work equi t or system logy	pment ns of work	C		Y	P	N
I	19	Is instructifollowing s	on, training ituations: iitment ifer ge of task ie introduct ges in worl duction of	tion of new cequipmen	work equi t or system logy	pment ns of work	C		Y	P	N
I		Is instructifollowing service transection changes on the change introduced for the service ser	on, training ituations: iitment ifer ge of task ie introduct ges in worl duction of	tion of new cequipmen	work equi t or system logy	pment ns of work	C		Y	P	N
I	19	Is instructifollowing s	on, training ituations: litment ifer ge of task le introduct ges in worl duction of  No Score 0  Evidence/0	tion of new cequipmen new technol PARTIAL Comments:	work equi t or system logy A Score 8	pment ns of work B Score 5	C Score 2	Total score			
I O D		Is instructifollowing s	on, training ituations: litment ifer ge of task le introduct ges in worl duction of  No Score 0  Evidence/0	tion of new cequipmen new technol PARTIAL Comments:	work equi t or system logy A Score 8	pment ns of work B Score 5	C Score 2	Total score			
I		Is instructifollowing s	on, training ituations: litment ifer ge of task le introduct ges in worl duction of  No Score 0  Evidence/0	tion of new cequipmen new technol PARTIAL Comments:	work equi t or system logy A Score 8	pment ns of work B Score 5	C Score 2	Total score			
I O D		Is instructifollowing so recrue trans change on the change introduced Score 10 Supporting	on, training ituations: iitment ifer ge of task ie introduct ges in work duction of  No Score 0  Evidence/0	tion of new cequipmen new technol PARTIAL Comments:	work equi t or system logy  A Score 8	pment as of work  B Score 5	C Score 2	Total score			
I O D		Is instructifollowing so recrue trans change on the change introduced Supporting  Is there ad employees:  Yes	on, training ituations: litment ifer ge of task le introduct ges in worl duction of  No Score 0  Evidence/0  equate sup No Score 0	tion of new cequipmen new technol PARTIAL Comments:	work equi t or system logy  A Score 8	pment as of work  B Score 5	C Score 2	Total score			

#### **CRITERION 7 REPORT FORM**

Criterion 7: Instruction, Training and Supervision
Employees are provided with adequate instruction, training and supervision on safety, health and welfare matters.
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 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 2005<sup>4</sup> and associated regulations, The Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>, Guidelines on Risk Assessments and Safety Statements 2006<sup>3</sup>

	1								Υ	Р	N
I		Is there an		system in p	lace for car	rrying out h	nazard iden	tification			
1		Yes	No No	DARTIAL	Α	В	С	Total score			
0		Score 10	Score 0	PARTIAL	Score 8	Score 5	Score 2	Total score			
D		Supporting		`omments:	30010 0	30010 3	30010 2				
		Supporting	Lviderice/ C	Zomments.							
	2								Υ	Р	N
		Have appro	priate emp	lovees bee	n trained to	carry out	hazard ide	ntification	_		
I		and risk as		•		•					
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
	3								Υ	P	N
		Have emplo	vees heen	consulted :	as nart of t	he nrocess	of risk ass	essment?			
I		Yes	No No	PARTIAL	A	В	C	Total score			
0		Score 10	Score 0	FARITAL	Score 8	Score 5	Score 2	Total Score			
		Supporting	Evidence/C	Comments:							
D		3	,								
	4								Y	Р	N
I		Does the or Document)	ganisation when deci	refer to the ding on the	e principles most appr	of prevent opriate cor	tion, (see G itrol measu	Guidance Ires?			
		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
	5								Υ	Р	N
		Are the con	trol measu	res docume	ented in the	e risk asses	sment beir	ng			
I		implemente	ed?								
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							

	6								Υ	Р	N
		Is there a re	view carri	ed out to e	ensure that	control me	asures are	effective?			
I		Yes	No	PARTIAL	Α	В	С	Total score			
_		Score 10	Score 0	PARTIAL	Score 8	Score 5	Score 2	Total Score			
0		Supporting E		`omments:	000.00						
D		Supporting L	.viuerice/ c	John Herits.							
_											
	7								Y	Р	N
		Does manage	ement hav	e a thorou	gh underst	anding of t	he hazards	in the			
I		workplace?									
0		Yes	No	PARTIAL	Α	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting E	vidence/C	Comments:							
	8								Y	Р	N
		Is there a sy	ctom in n	laco to one	uro that a	rick accord	mont is sar	ried out			
		when purcha									
I		processes?	ising new	materials (	or equipme	inc or imple	menting in				
0		Yes	No	PARTIAL	Α	В	С	Total score			
	$  \Box  $	Score 10	Score 0	FARTIAL	Score 8	Score 5	Score 2	10101 30010			
D		Supporting E	vidence/C	`omments:		1					
		Supporting L	. viaciice, c	ommenes.							
	1 1										
									24		
	9								Y	P	N
_	9	Is there a sy							Y	P	N
I	9	when implen	nenting/ir		non-routin	e tasks, ma	terials or e	quipment?	Y	P	N
I	9	when implen	nenting/ir		non-routin	e tasks, ma	terials or e		Y	P	N
0	9	Yes Score 10	No Score 0	PARTIAL	non-routin	e tasks, ma	terials or e	quipment?	Y	P	N
_	9	when implen	No Score 0	PARTIAL	non-routin	e tasks, ma	terials or e	quipment?	Y	P	N
0	9	Yes Score 10	No Score 0	PARTIAL	non-routin	e tasks, ma	terials or e	quipment?	Y	P	N
0		Yes Score 10	No Score 0	PARTIAL	non-routin	e tasks, ma	terials or e	quipment?		-	
0	9	Yes Score 10 Supporting E	No Score 0 Evidence/C	PARTIAL Comments:	A Score 8	e tasks, ma	C Score 2	equipment?  Total score		P	
O D		Yes Score 10 Supporting E	No Score 0 Evidence/C	PARTIAL Comments:	A Score 8	e tasks, ma	C Score 2	equipment?  Total score		-	
0		Yes Score 10 Supporting E	No Score 0 Evidence/C es clearly process?	PARTIAL Comments:  defined for	A Score 8	B Score 5	C Score 2	rotal score  Total score  f the risk		-	
O D		Yes Score 10 Supporting E	No Score 0 Evidence/C	PARTIAL Comments:	A Score 8	e tasks, ma	C Score 2	equipment?  Total score		-	
O D		Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10	No Score 0 Evidence/C  es clearly process?  No Score 0	PARTIAL Comments:  defined for  PARTIAL	A Score 8	B Score 5	C Score 2	rotal score  Total score  f the risk		-	
O D		Yes Score 10 Supporting E  Are timescale assessment   Yes	No Score 0 Evidence/C  es clearly process?  No Score 0	PARTIAL Comments:  defined for  PARTIAL	A Score 8	B Score 5	C Score 2	rotal score  Total score  f the risk		-	
O D		Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10	No Score 0 Evidence/C  es clearly process?  No Score 0	PARTIAL Comments:  defined for  PARTIAL	A Score 8	B Score 5	C Score 2	rotal score  Total score  f the risk		-	
O D		Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10	No Score 0 Evidence/C  es clearly process?  No Score 0	PARTIAL Comments:  defined for  PARTIAL	A Score 8	B Score 5	C Score 2	rotal score  Total score  f the risk		-	
O D	10	Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10 Supporting E	No Score 0 Evidence/C  es clearly process?  No Score 0 Evidence/C	PARTIAL Comments:  defined for  PARTIAL Comments:	A Score 8  r each action  A Score 8	B Score 5  on identified  B Score 5	C Score 2  d as part of C Score 2	Total score  Total score  Total score	Y	P	N
O D I O D	10	Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10 Supporting E	nenting/ir  No Score 0 Evidence/C  es clearly process?  No Score 0 Evidence/C	PARTIAL Comments:  defined for  PARTIAL Comments:	A Score 8  r each action A Score 8	B Score 5  Don identified  B Score 5	C Score 2  d as part of C Score 2	f the risk  Total score  Total score	Y	P	N
O D	10	Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10 Supporting E	es clearly process?  No Score 0  Evidence/Co  es clearly process?  No Score 0  Evidence/Co  red by regee.g. manual	PARTIAL Comments:  defined for  PARTIAL Comments:	A Score 8  r each action  A Score 8	B Score 5  on identified  B Score 5	C Score 2  d as part of Score 2	f the risk  Total score  Total score	Y	P	N
O D I O D	10	Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10 Supporting E  Where required out, of	es clearly process?  No Score 0  Evidence/Co  es clearly process?  No Score 0  Evidence/Co  red by regee.g. manual	PARTIAL Comments:  defined for  PARTIAL Comments:	A Score 8  r each action  A Score 8	B Score 5  on identified  B Score 5	C Score 2  d as part of Score 2	f the risk  Total score  Total score	Y	P	N
O D I O D	10	Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10 Supporting E  Where required out, to biological age	es clearly process?  No Score 0 Evidence/Co es clearly process?  No Score 0 Evidence/Co ered by regels, manual ents, preg	PARTIAL Comments:  defined for  PARTIAL Comments:	r each action  A Score 8  A Score 8	B Score 5  The story risk ascreen equipsinogens, no	C Score 2  d as part of  C Score 2	f the risk  Total score  Total score  Total score	Y	P	N
O D I O D	10	Yes Score 10 Supporting E  Are timescale assessment   Yes Score 10 Supporting E  Where required out, obiological agents   Yes	es clearly process?  No Score 0  Evidence/C  es clearly process?  No Score 0  Evidence/C  red by regeleg. manualents, preg	PARTIAL Comments:  defined for  PARTIAL Comments:  ulations, h al handling partial	A Score 8  r each action  A Score 8  ave manda J, display sooyees, card	B Score 5  The story risk ascreen equiposinogens, no	C Score 2  d as part of  C Score 2	f the risk  Total score  Total score  Total score	Y	P	N

#### **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:**

VD

#### **IMLEMENTATION 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 2001<sup>9</sup>, Action Plan for People Management in the Health Service<sup>8</sup>

	1							Y	Р	N
I		Is there evidence that th service users?	e risk as	sessment p	rocess tak	es account	of risks to			
			PARTIAL	А	В	С	Total score			
0	Ш	Score 10 Score 0	, ((1), (2)	Score 8	Score 5	Score 2				
D		Supporting Evidence/Con	nments:							
	2							Υ	Р	N
		Are the control measures	s, for ser	vice user s	afetv. docu	mented in	the risk	-		
I		assessment being implen			,					
		Yes No F	PARTIAL	Α	В	С	Total score			
0	Ш	Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/Con	nments:							
	3							Υ	Р	N
		Is there a review carried	out to e	nsure that	these cont	rol measur	es are	•	•	
I	$ \Box $	effective?	out to c	insure that	these cont	ioi ilicasai	cs arc			
		Yes No F	PARTIAL	А	В	С	Total score			
О		Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/Con	nments:							
	4							Υ	Р	N
		Does management have	a thorou	ah underst	anding of t	he hazards	to service			
I		users?		•						
		Yes No F	PARTIAL	А	В	С	Total score			
0		Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/Con	nments:							
	5							Υ	Р	N
		Is there a system for adv	erse eve	ent and nea	r miss repo	orting for s	ervice			
I		users?				, , , , , , , , , , , , , , , , , , ,				
		Yes No F	PARTIAL	А	В	С	Total score			
О		Score 10 Score 0		Score 8	Score 5	Score 2				
D		Supporting Evidence/Con	nments:							

	6								Y	Р	N
I		Have service attention of				ety and hea	lth issues t	o the			
0		Yes	No	PARTIAL	Α	В	С	Total score			
	$  \Box  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
	7								Y	P	N
	7	Where ther	e is a risk,	are service	users info	rmed of wo	rkplace ha	zards?	Y	P	N
I	7	Where ther	e is a risk,	are service	users info	rmed of wo	rkplace ha	zards?	Y	P	N
I	7		·	T	1		crkplace ha		Y	P	N
I O	7	Yes	No Score 0	PARTIAL	А	В	C		Y	P	N
I O D	<b>7</b>	Yes Score 10	No Score 0	PARTIAL	А	В	C		Υ	P	N

#### **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:

V D N

#### **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:

1

Other Key References: The Safety, Health and Welfare at Work Act 2005<sup>4</sup>, The Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>

Ţ											
I		Is there evithe public?	idence that	the risk as	sessment <sub> </sub>	process tak	es account	of risks to			
		Yes	No	PARTIAL	А	В	С	Total score			
0	Ш	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	2								Υ	Р	N
_		Are the con			blic safety,	documente	ed in the ri	sk			
I	$  \sqcup  $	assessment		lemented?							
0		Yes	No	PARTIAL	A	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D	Ш	Supporting	Evidence/0	Comments:							
	3								Y	P	N
		Is there a r	eview carr	ied out to e	nsure that	these cont	rol measui	es are			
I		effective?									
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
										4	
	4								Υ	P	N
	4			ve a thorou	gh underst	anding of t	he hazards	s to members		P	N
I	4	Does mana of the publi		ve a thorou	gh underst	anding of t	he hazards	s to members		P	N
	4			ve a thorou	gh underst	В	<b>he hazards</b>	to members  Total score		P	N
I O	4	of the publi	ic?							P	N
	4	of the publi	No Score 0	PARTIAL	A	В	С			P	N
0	<b>4</b>	of the publi  Yes  Score 10	No Score 0	PARTIAL	A	В	С			P	N
0	5	of the publi  Yes  Score 10	No Score 0	PARTIAL	A	В	С			P	N
0		of the publication of the public	No Score 0 Evidence/0	PARTIAL Comments:	A Score 8	B Score 5	C Score 2				
O D		Yes Score 10 Supporting	No Score 0 Evidence/0	PARTIAL Comments:	A Score 8	B Score 5	C Score 2	Total score			
O D		Yes Score 10 Supporting  Is there a sthe public?	No Score 0 Evidence/C	PARTIAL Comments:	A Score 8  ent and nea	B Score 5	C Score 2	Total score			
O D		Yes Score 10 Supporting  Is there a sthe public?  Yes	No Score 0 Evidence/C  System for a  No Score 0	PARTIAL Comments: adverse eve	A Score 8  ent and nea	B Score 5	C Score 2  orting for I	Total score			
O D		Yes Score 10 Supporting  Is there a sthe public?  Yes Score 10	No Score 0 Evidence/C  System for a  No Score 0	PARTIAL Comments: adverse eve	A Score 8  ent and nea	B Score 5	C Score 2	Total score			

	6								Υ	Р	N
I O D		Are appropriate measures in place to address the potential risks to the public from the following hazards? (This is a non exhaustive list):									
		Yes	No	PARTIAL	Α	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/C	Comments:							
	7								Υ	Р	N
I		Have the pu of managen			ing safety a	and health	issues to th	ne attention			
0		Yes	No	PARTIAL	Α	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	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 of 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 2005<sup>4</sup>, Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>

	1								Y	P	N
I		When select contractor's					on evaluate	e the			
		Yes	No	PARTIAL	Α	В	С	Total score			
0	$  \Box  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
									_		
	2								Y	Р	N
		Is there a fo	ormal proc	ess for con	trolling cor	ntractors w	ho work on	site?			
I	$  \sqcup  $	Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/C	Comments:							
D											
	3								Y	Р	N
		Is there a re	esponsible	person ide	ntified for	liasing with	the contra	actor(s)?			
I		Yes	No	PARTIAL	Α	В	С	Total score			
		Score 10	Score 0	.,	Score 8	Score 5	Score 2				
0	$  \Box  $	Supporting	Evidence/C	Comments:	1						
D		3	,								
									Υ	Р	NI
	4	_							T	P	N
I		Are arrange information				actors with	sarety and	neaith			
0		Yes	No	PARTIAL	Α	В	С	Total score			
	$  \Box  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
_									#		
	5								Y	Р	N
I		Are risk ass on site?	essments (	obtained, f	rom contra	ctors, for w	ork being	carried out			
		Yes	No	PARTIAL	А	В	С	Total score			
0	$  \sqcup  $	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:	•	•	•				
	-	5	•								

	6		Y	Р	N
		Are method statements obtained, from contractors, for work being carried out			
I		on site?			
0		Yes         No         PARTIAL         A         B         C         Total score           Score 10         Score 0         Score 8         Score 5         Score 2			
D		Supporting Evidence/Comments:			
	7		Υ	D	NI
	7	Are arrangements in place to review risk assessments and method	Y	Р	N
I		statements received from contractors?			
		Yes No PARTIAL A B C Total score			
О		Score 10 Score 0 Score 8 Score 5 Score 2			
D		Supporting Evidence/Comments:			
	8		Υ	Р	N
		Are arrangements in place to ensure ongoing consultation with contractors on			
I		safety and health related issues?			
0		Yes No PARTIAL A B C Total score			
_		Score 10   Score 0   Score 8   Score 5   Score 2			
D		Supporting Evidence/Comments:			
	9		Y	Р	N
		Are arrangements in place to ensure co-operation between contractors?			
I		Yes         No         PARTIAL         A         B         C         Total score           Score 10         Score 0         Score 8         Score 5         Score 2			
0		Score 10   Score 0   Score 8   Score 5   Score 2   Supporting Evidence/Comments:			
D		Supporting Evidence/Comments.			
	10		Υ	Р	N
	10	Are safety statements available for all contractors working on site?	•	P	14
I		Yes No PARTIAL A B C Total score			
_		Score 10 Score 0 Score 8 Score 5 Score 2			
О	Ш	Supporting Evidence/Comments:			
D					
	11		Υ	Р	N
		Is the contractor(s) safety statement brought to the attention of all who may			
I		be affected by their activities while working on the premises?			
0		YesNoPARTIALABCTotal scoreScore 10Score 0Score 8Score 5Score 2			
D		Supporting Evidence/Comments:			
	Ш	Supporting Evidence/Comments.			
	12		Y	Р	N
		Are relevant sections of the organisations safety and health statement			
I	$ \Box $	brought to the attention of contractors and others working on site?			
0		Yes         No         PARTIAL         A         B         C         Total score           Score 10         Score 0         Score 8         Score 5         Score 2			
		Supporting Evidence/Comments:			
D	$  \sqcup  $	Supporting Evidence, commencer			

	13								Y	Р	N	
I		Are relevant brought to relief staff?	the attention									
0		Yes	No	PARTIAL	А	В	С	Total score				
D		Score 10	Score 0		Score 8	Score 5	Score 2					
		Supporting	upporting Evidence/Comments:									
	14								Υ	Р	N	
I		Are arrange involving co			e reporting	and review	ing of inci	dents				
0		Yes	No	PARTIAL	Α	В	С	Total score				
		Score 10	Score 0		Score 8	Score 5	Score 2					
D		Supporting	Evidence/0	Comments:								
	15								Υ	P	N	
		Are relevan	t employee	es notified t	that a conti	actor is co	ming on si	te?				
I		Yes	No	PARTIAL	Α	В	С	Total score				
0		Score 10	Score 0		Score 8	Score 5	Score 2					
D		Supporting	Evidence/0	Comments:								

#### **CRITERION 11 REPORT FORM**

# **Criterion 11: Co-operation and Co-ordination with Contractors** Where the employees of two of 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:**

V D N

#### **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 2005<sup>4</sup>, Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>

	1								Y	Р	N
I		Is there a s	ystem in p	lace to pro	duce and m	anage poli	cies and pr	ocedures?			
1	Ш	Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	_								V	_	NI.
	2	Aug volevous	+l		in the deve	lannant at	f kha maliai		Y	Р	N
I		Are relevan procedures		es involvea	in the deve	elopment of	tne policio	es and			
0	$ \Box$	Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	3								Υ	Р	N
		Are there a		licies in pla	ace for the	following?	(This is a r	non			
		exhaustive	•								
			•	•	ctive equip	ment					
			_	moving an	d handling						
			nant worke								
				s chemicals	5						
			tion contro								
I		· -		alth service	es						
0		• clean	-								
			gical agent	S							
D	Ш		nogens								
		• trans	-	donto							
			ting of inci								
		Yes Score 10	No Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score			
		Supporting		Comments:	Score o	30010 3	30010 2				
		Supporting	LVIGGICE/C	ZOTTITICITES.							

	4								Y	Р	N
		Are policies	and proce	dures brou	ght to the a	attention of	relevant e	employees?			
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:							
D											
	5								Υ	Р	N
		Are policies	and proce	dures revie	wed?						
I		Yes				В	С	Total score			
		Score 10	No Score 0	PARTIAL	A Score 8	Score 5	Score 2	Total score			
0	$ \Box $			Samananta.	30016 8	30016 3	30016 2				
D		Supporting	Evidence/C	comments:							
	6								Y	Р	N
		Where requ	iired, are p	olicies and	procedures	updated a	fter review	<i>i</i> ?			
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:				<u> </u>			
D	$ \Box $		•								

#### **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								Υ	Р	N
I		Is there a p (OHS)?	oolicy in rel	ation to the	e provision	of occupat	ional healt	h services			
		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	2								Υ	Р	N
		Are occupa	tional healt	th services	available?				•	-	•
Ι		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
U		Supporting	Evidence/0	Comments:							
D		3	•								
	3								Y	Р	N
		Do all empl	oyees have	access to	occupation	al health se	ervices who	ere	-	-	
Ι		appropriate	?		•						
0		Yes	No	PARTIAL	Α	В	С	Total score			
O	╎└┤	Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	$\sqsubseteq$										
	4							_	Y	Р	N
_		Is appropri	ate pre em	ployment s	creening av	vailable to	employees				
I		Yes	No	PARTIAL	A	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	╎╵										
	5								Y	Р	N
		Is there a p	rogramme	in place fo	r the rehab	ilitation of	employees	·?	-	-	
I		Yes	No	PARTIAL	A	В	С	Total score			
		Score 10	Score 0	PARTIAL	Score 8	Score 5	Score 2	Total Score			
0	$  \sqcup  $	Supporting		Comments:	1	1	1				
D		- upport9	,								
	6								Υ	Р	N
		Does the O		on modifica	tions to a j	ob to facili	tate an em	ployee			
I		returning to	D WOFK?								
		Yes	No	PARTIAL	Α	В	С	Total score			
0		Yes Score 10	No Score 0		A Score 8	B Score 5	C Score 2	Total score			
		Yes	No Score 0					Total score			

	7								Y	Р	N
		Is the requ	irement fo	r health sur	veillance i	dentified th	rough risk	assessment?			
I		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:							
D											
	8								Υ	Р	N
		Does the o	rganisation	have speci	fic objective	ves and targ	gets for the	e OHS?			
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:							
D											
	9								Υ	Р	N
		Are there of	lear lines o	f accountal	bility for th	e OHS?					
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:							
D	Ш										
	10								Υ	Р	N
		Is the serv	ice availabl	e during no	rmal work	ing hours?					
I		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:		•					
D											
	11								Υ	Р	N
		Is the serv	ice availabl	le outside n	ormal wor	king hours?	)				
I		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0	,	Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:							
D											
	12								Υ	Р	N
		Are approp	riate facilit	ies in place	for the pr	ovision of t	he OHS?				
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0	- 1711(12712	Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:			•				
D											
	13								Υ	Р	N
									•	•	
_	_	Does the O appropriate		on hazard id	dentificatio	on and risk	assessmen	t where			
I		Yes	No	DADTIAL	Α	В	С	Total score			
0		Score 10	Score 0	PARTIAL	Score 8	Score 5	Score 2	Total Score			
D		Supporting		Comments:							

	14								Y	Р	N
		Does the OF	IS advise o	n fitness f	or work?						
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting I	Evidence/C	Comments:							
D											
	16								Υ	D	B.I
	15		IC mantialm	-4- :				4-2	Y	Р	N
		Does the OF									
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting I	Evidence/C	Comments:							
D											
	16								Υ	Р	N
		Does the OF	IS work in	conjunctio	n with othe	ar discipline	es in prevei	ntative	_	-	
T		safety and h						itative			
		Yes	No	PARTIAL	A	В		Total score			
0		Score 10	Score 0	171111712	Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:		I					
			,								
	17								Y	Р	N
		Does the OF	IS have ac	cess to em	ployee acci	dent and ill	l health rec	ords?			
I		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting I	Evidence/C	Comments:							
D											
	18								Υ	Р	N
	10	Is there a fo	armal ravia	w of the o	ffactivanas	o of OUC2			•		- 1
T											
1		Yes 10	No Score 0	PARTIAL	A Score 8	В	C Score 2	Total score			
0		Score 10		`	Score 8	Score 5	Score 2				
D		Supporting I	Eviaence/C	.omments:							

#### **CRITERION 13 REPORT FORM**

Criterion 13: Occupational Health Services
Employees should have access to comprehensive and competent occupational health services.
Commenced Decommentation Audited and Referenced
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 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  $1981^6$ , Code of Practice for Fire Safety in Nursing Homes $^{10}$ 

Are competent persons appointed to oversee the development of emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 PARTIAL A B C Total score Supporting Evidence/Comments:  Are there emergency plans in place?  Yes No PARTIAL A B C Total score Score 10 Score 0 PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Y P N  Are emergency plans communicated to employees?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 0 Score 8 Score 5 Score 2  Y P N  Are emergency plans communicated to employees?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 0 Score 8 Score 5 Score 2  Y P N  Are competent persons nominated and trained to implement emergency plans?  Are competent persons nominated and trained to implement emergency plans?  Y P N  Are competent persons nominated and trained to implement emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:  Y P N  Does management evaluate the effectiveness of the emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:		1							Υ	P	N	
Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:    Y P N	I			ons appointe	d to overse	e the devel	opment of	emergency				
Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:    V P N			Yes No	PARTIAL	А	В	С	Total score				
Are there emergency plans in place?  Yes No PARTIAL A B C Total score Supporting Evidence/Comments:   Are emergency plans communicated to employees?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Y P N  Are emergency plans communicated to employees?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:   Are competent persons nominated and trained to implement emergency plans?  Y P N  Are competent persons nominated and trained to implement emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  D Does management evaluate the effectiveness of the emergency plans?  Y P N  Does management evaluate the effectiveness of the emergency plans?  Y P N  Does management evaluate the effectiveness of the emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:	0	╙	Score 10 Score 0		Score 8	Score 5	Score 2					
Are there emergency plans in place?    Yes	D		Supporting Evidence	e/Comments:								
Yes   No   PARTIAL   A   B   C   Total score		2							Y	P	N	
Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:    Score 10 Score 0 Supporting Evidence/Comments:   Y P N			Are there emergence	y plans in pla	ice?							
Supporting Evidence/Comments:    Supporting Evidence/Comments:   Y P N	1	Ш		PARTIAL				Total score				
Are emergency plans communicated to employees?   I	0	Ιп			Score 8	Score 5	Score 2					
Are emergency plans communicated to employees?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:  Are competent persons nominated and trained to implement emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  YPE NO PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  D D Does management evaluate the effectiveness of the emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:	_		Supporting Evidence	e/Comments:								
Are emergency plans communicated to employees?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:  Are competent persons nominated and trained to implement emergency plans?  YPN  Are competent persons nominated and trained to implement emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:  YPN  Does management evaluate the effectiveness of the emergency plans?  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		3							Υ	P	N	
Score 10 Score 0 Score 8 Score 2 Supporting Evidence/Comments:    A			Are emergency plan	e emergency plans communicated to employees?								
Supporting Evidence/Comments:    Are competent persons nominated and trained to implement emergency plans?   Yes   No   PARTIAL   A   B   C   Total score	I		Yes No	PARTIAL	А	В	С	Total score				
Supporting Evidence/Comments:    Are competent persons nominated and trained to implement emergency plans?   Yes   No   PARTIAL   A   B   C   Total score	0	$ \Box$	Score 10 Score 0		Score 8	Score 5	Score 2					
Are competent persons nominated and trained to implement emergency    V   P   N			Supporting Evidence	e/Comments:								
Are competent persons nominated and trained to implement emergency    Ves	D											
I Plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:  Does management evaluate the effectiveness of the emergency plans?  Y P N  Does management evaluate the effectiveness of the emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:		4							Υ	Р	N	
Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:  Does management evaluate the effectiveness of the emergency plans? Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:	Ţ			ons nominate	ed and train	ned to imple	ement eme	rgency				
Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:     Score 10 Score 0 Score 8 Score 5 Score 2	1	Ш										
Supporting Evidence/Comments:    D	0		1.00	PARTIAL				lotal score				
Does management evaluate the effectiveness of the emergency plans?  Y P N  I Does management evaluate the effectiveness of the emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:	D			/Commonts:	30016 0	Score 5	30016 2					
I Does management evaluate the effectiveness of the emergency plans?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:			Supporting Evidence	c/Comments.								
Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:		5							Y	P	N	
Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:	Т		Does management e	evaluate the	effectivene	ss of the en	nergency p	lans?				
Supporting Evidence/Comments:	1			PARTIAL			С	Total score				
D Supporting Evidence/Comments:	0				Score 8	Score 5	Score 2					
	D		Supporting Evidence	e/Comments:								
	-											

	6		Υ	Р	N
I O D	6	Are suitable and effective plans and procedures in place for all foreseeable events of serious or imminent danger? (This is a non exhaustive list):  • 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    Yes	Υ	P	N
		Supporting Evidence/Comments:			
I O D	<b>7</b>	Have a sufficient number of competent persons been nominated and trained to implement procedures relating to evacuation of people from the premises?    Yes	Y	P	N
	8		Υ	Р	N
I O D		Yes       No       PARTIAL       A       B       C       Total score         Score 10       Score 0       Score 8       Score 5       Score 2    Supporting Evidence/Comments:			
	9		Υ	Р	N
		Are the emergency plans tested periodically?	-	-	
I O D		Yes     No     PARTIAL     A     B     C     Total score       Score 10     Score 0     Score 8     Score 5     Score 2   Supporting Evidence/Comments:			
	10		Υ	Р	N
_		Are there adequate first-aid arrangements in place?			
I O D		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		Are all employees aware of arrangements in place for the provision of first-aid, including the location of equipment, facilities and personnel?  Yes No PARTIAL A B C Total score Score 10 Score 0 Score 8 Score 5 Score 2  Supporting Evidence/Comments:			

#### **CRITERION 14 REPORT FORM**

Criterion 14: Emergency Plans
Emergency plans are in place to address all situations that pose serious or imminent danger.
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Criterion Score:

Y P N

#### **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:

1

Other Key References: The Safety, Health and Welfare at Work Act 2005<sup>4</sup>, Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>

		Is there a p	oolicy and r	rocedure i	n place for	reportina i	ncidents ar	nd near	•	_	14
I		misses?	,		,	- 1					
		Yes	No	PARTIAL	А	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	2								Υ	Р	N
		Is there an	effective s	ystem in pl	ace for rev	iewing inci	dents and i	near misses?	1		
I		Yes	No	PARTIAL	А	В	С	Total score			
0	$ \Box$	Score 10	Score 0		Score 8	Score 5	Score 2				
		Supporting	Evidence/0	Comments:		•					
D											
	3								Υ	Р	N
		Is safety ar	nd health e	ffectively ir	ntegrated in	nto the org	anisations	strategic			
I		plan?									
0	$ \Box$	Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	4								Y	Р	N
_		Is there a s	system in p	lace for the	statutory	reporting o	f incidents	to the HSA?			
I	Ш	Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	Ш										
	-								37	_	B.I.
	5	_							Y	Р	N
I		Are trend a			injuries/ill						
1	╚	Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	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

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	Р	N	
I		Does mana monitor saf				formance in	ndicators ir	place to				
0		Yes	No	PARTIAL	Α	В	С	Total score				
		Score 10	Score 0		Score 8	Score 5	Score 2					
D		Supporting	Evidence/0	Comments:								
	2								Υ	Р	N	
I		Are the safe Attainable,				es SMART	(Specific, N	1easureable,				
0		Yes	No	PARTIAL	Α	В	С	Total score				
		Score 10	Score 0		Score 8	Score 5	Score 2					
D		Supporting	Supporting Evidence/Comments:									
	3								Y	Р	N	
I		Is there a s indicators?	system in p	lace to eva	luate the ef	ffectivenes	s of perfori	mance				
0		Yes	No	PARTIAL	Α	В	С	Total score				
	Ш	Score 10	Score 0		Score 8	Score 5	Score 2					
D		Supporting	Evidence/0	Comments:								
	4								Y	Р	N	
I		Does the or goals and o		measure it	s progress	towards th	e safety ar	nd health				
0		Yes	No	PARTIAL	Α	В	С	Total score				
		Score 10	Score 0		Score 8	Score 5	Score 2					
D		Supporting	Evidence/C	Comments:								

	5		Y	Р	N				
		Is there evidence that key indicators are being used? (This is a non exhaustive list):							
		percentage of attendance at mandatory training							
		<ul> <li>percentage of attendees at induction training within one month of appointment</li> </ul>							
		<ul> <li>percentage of employees attending all safety and health training programmes including refresher training, as appropriate</li> </ul>							
		percentage of managers trained in risk assessment process							
		<ul> <li>number of 3 day incidents expressed as a percentage of total incidents reported</li> </ul>							
		<ul> <li>number of incidents relating to employees, service users, contractors and members of the public expressed as a percentage of total incidents reported</li> </ul>							
I		<ul> <li>number of incident review recommendations implemented expressed as a percentage of total incident review recommendations</li> </ul>							
0		• trends in incidents							
D		<ul> <li>number of proactive departmental risk assessments carried out, as a percentage of total number of departments in the organisation</li> </ul>							
		<ul> <li>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.</li> </ul>							
		<ul> <li>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</li> </ul>							
		Yes No PARTIAL A B C Total score							
		Score 10 Score 0 Score 8 Score 5 Score 2							
		Supporting Evidence/Comments:							

#### **CRITERION 16 REPORT FORM**

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

#### **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 2005<sup>4</sup>, Guide to the Safety, Health and Welfare at Work Act 2005<sup>5</sup>

	1								Υ	P	N
ī		Is there a f	ormal meth	nod in place	e for the pe	riodic revie	ew of the s	afety and			
1		Yes	No No		Δ.	В	6	Total accus			
0		Score 10	Score 0	PARTIAL	A Score 8	B Score 5	C Score 2	Total score			
D		Supporting		`omments:	30016 0	Score 3	30016 2				
		Supporting	Lviderice/ c	comments.							
	2								Υ	Р	N
		Does the re	view cover	all kev ele	ments of th	ne safety ar	nd health n	nanagement	-	-	
I		system?		,				<b>g</b>			
		Yes	No	PARTIAL	Α	В	С	Total score			
0		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
	3								Υ	Р	N
		Does the re	view of the	safety and	d health ma	nagement	system inv	olve all		-	
I		appropriate					-,				
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
	4								Υ	Р	N
		Is there evi	idence that	the organi	sation resp	onded ade	guately to	the			
I		recommend									
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/C	Comments:							
	5								Υ	Р	N
		Are review	meetinas d	locumented	1?						
I		Yes	No	PARTIAL	Α	В	С	Total score			
		Score 10	Score 0	LUNITAL	Score 8	Score 5	Score 2	100010			
0		Supporting	Evidence/0	Comments:	1		l				
D											

	6								Y	Р	N
I		Are arrange process?	ements in p	lace for on	going revie	ew of the ri	sk assessn	nent			
0		Yes	No	PARTIAL	Α	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	7								Υ	Р	N
	7	Is safety ar	nd health p	erformance	measured	against in	ternal key	performance	Y	P	N
I	7	Is safety ar indicators?	nd health p	erformance	e measured	against in	ternal key	performance	Y	P	N
I	<b>7</b>		nd health p	erformance PARTIAL	e measured	against int	ternal key	performance	Y	P	N
I O	<b>7</b>	indicators?	•					•	Y	P	N

#### **CRITERION 17 REPORT FORM**

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

Y P N

#### **AUDITING**

1

#### **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

I		Does the organisation have a sys health audits?	tem in plac	e for perfo	rming safe	ty and			
		Yes No PARTIAL	А	В	С	Total score			
0		Score 10 Score 0	Score 8	Score 5	Score 2				
D		Supporting Evidence/Comments:							
	2						Y	P	N
		Is there a safety and health audit	t schedule	in place?					
I		Yes No PARTIAL	А	В	С	Total score			
0		Score 10 Score 0	Score 8	Score 5	Score 2				
D		Supporting Evidence/Comments:							
	3						Y	Р	N
I		Have appropriate employees been audits?	n trained c	ompetently	to carry in	iternal			
0		Yes No PARTIAL	А	В	С	Total score			
		Score 10 Score 0	Score 8	Score 5	Score 2				
D		Supporting Evidence/Comments:							
	4						Υ	P	N
ī		Are external audits carried out by	y competer	nt persons?					
-		Yes No PARTIAL	А	В	С	Total score			
О		Score 10 Score 0	Score 8	Score 5	Score 2				
D		Supporting Evidence/Comments:							
	5						Υ	P	N
_		Are the findings of these audits r	ecorded?						
I		Yes No PARTIAL	А	В	С	Total score			
0		Score 10 Score 0	Score 8	Score 5	Score 2				
D		Supporting Evidence/Comments:							
	6						Υ	P	N
I		Are follow up actions of the audit	t signed off	by an app	ropriate ma	anager?			
1		Yes No PARTIAL	А	В	С	Total score			
0	$ \Box $	Score 10 Score 0	Score 8	Score 5	Score 2				
D		Supporting Evidence/Comments:							

	7								Y	Р	N
I		Does the au health mana			y appraise	the key ele	ments of t	he safety and			
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	8								Υ	Р	N
		Are the res				managemei	nt and rele	vant			
Ι		stakeholde	rs to allow	for correct	ive action?						
0		Yes	No	PARTIAL	А	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							
	9								Υ	P	N
		Is there a s	system in p	lace to ens	ure that the	e corrective	actions re	esulting from			
I		an audit ar						-			
0		Yes	No	PARTIAL	Α	В	С	Total score			
		Score 10	Score 0		Score 8	Score 5	Score 2				
D		Supporting	Evidence/0	Comments:							

#### **CRITERION 18 REPORT FORM**

Cuitouion 10. Audit
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.
Summary of Documentation Audited and Referenced
Summary of Main Findings of the Audit
Compliance in the area
Non-compliance in the area
Criterion Score:

## **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			

#### **APPENDIX 3 AUDITORS NOTES**

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#### **REFERENCES**

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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

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