

## Stage 1 Audit – Document review and planning

Stage 1 consists of a remotely conducted audit of the schools/college H & S system. This consists primarily of an examination of all H &S documentation. The documentation list shown below is not exhaustive and is only intended as a guide. Some organizations are much larger and more complex than others, conduct more hazardous processes and therefore carry more risk. These types of organizations would be expected to hold most if not all of the below listed documentation. Smaller organizations with very little in the way of risk would require less documentation. If in doubt it is recommended that the school/college contact the assessor. If at all possible, access should be given to those health and safety sites utilized by the school/college to store or share H & S documentation/information.

Ser	Documentation	Remarks
<b>S5 PLAN – Policy/leadership/worker participation/consultation</b>		
S5	The school/college H & S policy Statement.	In date and signed by the Head of the school or college with details of where the policy can be found. It should refer to the University’s corporate H & S policy and be reviewed on an annual basis.
S5	The school/college safety manual/framework document.	Split into organization and arrangements. Organization to cover all H & S roles with arrangements covering all activities within the school/college. This document should be reviewed on an annual basis. Again, with details of how these documents can be found/accessed.
S5	Any letters of delegation in regard to responsibility for health and safety to key personnel.	
S5	Records of any key changes that have been made to the policy.	
S5	Minutes of any management meetings where the performance of the health and safety system was discussed.	
S5	The results of any management health and safety tours/inspections of the school/college.	
S5	The results of any management reviews of the health and safety system.	Usually prompted by the introduction of new equipment or processes or after an accident or incident.
S5	The minutes of any health and safety committee meetings.	Minutes must be dated and show attendance i.e., trades union and student representatives. The minutes must be easily accessible by the workforce.

<b>S6 PLAN – Risk assessments/H &amp; S objectives</b>		
S6	Any hazard analysis for the school/college	The school/college risk assessments should be directly linked to the analysis. To include any reviews of the hazard analysis.
S6	Any details of formal training for those personnel that prepare hazard analysis and risk assessments.	To include details of training for management who sign off risk assessments. To include details of any refresher training. Available on LEARN
S6	Any central register of risk analysis and risk assessments.	Registers to show review dates for analysis and assessments.
S6	Any legal compliance registers.	A legal compliance register allows the school/college to know what its legal compliance obligations are. It should have a list of the number of Suitably Qualified and Experienced People (SQEP) required within the college such as First Aiders, fire wardens, h & S advisers, those giving technical advice etc.
S6	Any health and safety objectives formulated by management.	The health and safety objectives should be smart and directly relate to both the University H & S policy and the school/college policy.
S6	The minutes of any management meetings where the progress of the objectives was discussed.	
S6	Copies of risk assessments (RA) showing signatures and review history.	To include General RA, COSHH RA, First Aid RA, manual handling RA, DSE RA, DSEAR RA etc.
S6	Details of any Apps or IT platforms used by the school/college in regard to health and safety.	
<b>S7 Do – Support/training/competency/records/document control</b>		
S7	Details of any college/school websites containing health and safety information such as bulletins, advice, courses etc.	
S7	Details of any health and safety document libraries or other source of health and safety information for the workforce.	
S7	Records to prove that mandatory training has been completed.	Induction – Given by H & S adviser H & S awareness – Given by H & S adviser Fire safety awareness – CARDINUS DSE/Laptop training - CARDINUS
S7	Records of H & S training that has been completed by the Head of school.	LEARN
S7	Records of H & S training that has been completed by PI/Supervisors.	LEARN
S7	Records of H & S training that has been completed by School/college safety advisers.	LEARN

S7	Records of any other job specific health and safety training.	First aid, fire warden, gas safety, COSHH, manual handling etc.
S7	Details of Sharepoint sites used in regard to health and safety.	
<b>S8 Do – Operations/Safe systems of work (SSoW)/Emergency response</b>		
S8	Records of training on plant and equipment.	Students and workers are to be trained on hazardous equipment before using it.
S8	A SSoW for each risk assessment.	SSoW should also cover abnormal and emergency events.
S8	Records to show that the SSoW has been communicated to the workforce.	The workforce should sign to say that they have read and understood the SSoW.
S8	Any Codes of Practice (CoP) currently utilized by the school/college	CoP's cover biological, chemical, electrical, radiation and physical hazards.
S8	Records of Portable Appliance Testing (PAT) and Inspection.	
S8	Records of preventative maintenance for plant and equipment.	Registers should illustrate what equipment requires to be inspected/maintained and when.
S8	Records of any pre-user checks for plant and equipment.	To include visual checks.
S8	Any records of communication/liaison with the emergency services.	
S8	Any records of emergency procedures having been practiced.	To include annual fire evacuation practices and spillage response plans
S8	Any school/college health and safety magazines, leaflets or other way of disseminating important H & S information.	
	Copies of any policies in regard to health and safety	
S8	Copies of any PPE registers.	
<b>S 9 Check/Act – Performance evaluation/Monitoring/Review</b>		
S9	Any audit/safety tour planning forecasts.	
S9	Any records of safety tours or housekeeping checks.	
S9	Records of any internal audits of the school/college	
S9	Any Action Plans produced as the result of an audit and their location i.e. an Action Plan tracking register.	
S9	Any records of management review of the safety management system	
S9	Details of any building or infrastructure audits.	
<b>S 10 Check/Act – Corrective action/Continual improvement</b>		
S10	Records of any accidents or incidents.	
S10	Records of any near misses.	
S10	Records of any accident/incident investigations.	