

Safety Services

Sample List of advance documentation required for HASMAP Audit

Please submit as many documents as are relevant. If a larger sample is required the number is stated.

| **Documentation/evidence required** | **Sample**  **Number**  **required** | **HASMAP**  **Ref- Auditor use only** | **Enclosed**  **Yes, No or N/a** | **Item number** | **Your comments (including links to other evidence)** |
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| **A. Leadership** | | | | | |
| Health and Safety Plan/objectives  (In addition to any contained in the monitoring report) |  | A1 |  |  |  |
| Local statement of intent re H&S |  | A1 |  |  |  |
| Local H&S arrangements document(s) |  | A1/C9 |  |  |  |
| Roles and responsibilities document (if separate) |  | A2/C9 |  |  |  |
| Local procedures relating to topic(s) selected |  | A3/A4 |  |  |  |
| Risk profile  (In addition to any contained in the monitoring report) |  | A3/D10 |  |  |  |
| **B. Planning for Emergencies** | | | | | |
| Critical incident plan/emergency management plan/business continuity plan |  | B5 |  |  |  |
| List of potential critical incidents |  | B5 |  |  |  |
| General emergency procedures |  | B6 |  |  |  |
| Emergency procedures-local procedures for area audited |  | B6 |  |  |  |
| Spillage procedure(s) |  | B6 |  |  |  |
| Training records-to demonstrate that staff been trained to respond to emergencies |  | B6 |  |  |  |
| Training records-to demonstrate that fire evacuation marshals and first aiders have been trained |  | B6 |  |  |  |
| Records of checks, inspections or tests carried out on emergency equipment e.g. spillage kit, first-aid kit |  | B6 |  |  |  |
| **C. Health and Safety Arrangements** | | | | | |
| Risk assessment procedure/ process or guidance |  | C9/D11 |  |  |  |
| Local rules (if relevant)-relating to areas being audited, or topic being considered |  | D13/C9 |  |  |  |
| **D. Risk assessment and risk controls** | | | | | |
| Hazard and risk register (for area selected for audit)  e.g. formal register, or list of risk assessments, risk mapping exercise, inventories etc |  | D10 |  |  |  |
| A small sample of risk assessments- ideally from the work area(s) being audited including the topic selected | 4 | D12 |  |  |  |
| Relevant generic risk assessments |  | D12 |  |  |  |
| Safe systems of work relating to the topic selected (eg SOPs, protocols, method statements) | 4 | D13 |  |  |  |
| Relevant work procedures incorporating health and safety aspects (if applicable) |  | D13 |  |  |  |
| **E. Training and Competence** | | | | | |
| H&S training programme or plan | As required | E14 |  |  |  |
| Training matrix -identifying requirements the job roles | Small sample | E 14 |  |  | E 14 |
| Training needs analysis/matrix-for individual people (anonymized) | Small sample | E14 |  |  |  |
| Documents demonstrating the content of general health and safety induction | As required | E14 |  |  |  |
| Sample of completed health and safety induction checklist/records for individual staff | 3 | E14 |  |  |  |
| Sample of completed health and safety local inductions for staff in areas being audited (e.g. laboratory induction) | 3 | E14 |  |  |  |
| Sample of completed general health and safety induction records for individual **students** | 3 | E14 |  |  |  |
| Sample of completed health and safety local inductions for **students** in areas being audited (e.g. laboratory induction) | 3 | E14 |  |  |  |
| Sample of completed induction records for individual contractors | 3 | E14 |  |  |  |
| Records of H&S training for staff (and students where relevant) | Small sample | E 14 |  |  |  |
| Records of H&S training for safety related staff  (eg fire marshalls/first aiders) | Small sample | E 14/B6 |  |  |  |
| H&S competency requirements for staff/safety staff and risk assessors | 3 | E 15 |  |  |  |
| Competency criteria for safety critical activities |  | E15 |  |  |  |
| Records to show staff competency assessed  (eg risk assessors, working with equipment) | Small sample | E 15 |  |  |  |
| Records to show competency of contractors has been formally assessed prior to appointment (where locally appointed) e.g. PQQ, H & S checklist and references | Small sample | E15 |  |  |  |
| Records to show local instruction/training relevant to the topic e.g. equipment use | Small sample | E14 |  |  |  |
| Job descriptions for safety related staff and letter of appointment | Small sample | E 15 |  |  |  |
| **F. Communication** | | | | | |
| Formal communications made to staff regarding H&S (eg through newsletters, meeting notes) | Small sample | F 17 |  |  |  |
| Staff and student handbooks (if they include H&S) |  | F 17 |  |  |  |
| **G. Consultation** | | | | | |
| Senior/strategic management team minutes showing discussion/decision about H&S matters (redacted if necessary) –if relevant | Small sample | G19 |  |  |  |
| H&S committee/group/forum terms of reference |  | F 17/G19 |  |  |  |
| H&S committee/group/forum sample agenda | 2 | F 17/G19 |  |  |  |
| Local H&S committee/group/forum minutes | 4 | F 17/G19 |  |  |  |
| **H. Health and Safety Monitoring** | | | | | |
| Schedule for formal inspections |  | H20 |  |  |  |
| Copies of any inspection records (both formal and self inspections) in the last 12 months | As required | H20 |  |  |  |
| Records of user checks eg. operation of equipment (if relevant) | As required | H20 |  |  |  |
| Evidence that remedial actions are being set, tracked and completed (e.g. action plans) | Small sample | H21 |  |  |  |
| Evidence of measures taken to prevent recurrence of health and safety issues e.g. after accidents or inspections or complaints from staff | Small sample | H21 |  |  |  |
| Evidence of measures taken to ensure best practice is applied across the school/service | Small sample | H21 |  |  |  |
| Inventory, asset list or registers of any equipment requiring statutory examinations | If relevant | H 22 |  |  |  |
| Written schemes of examination- If relevant | Small sample | H 22 |  |  |  |
| Records of statutory examination | Small sample | H 22 |  |  |  |
| Records of repairs undertaken when faults identified in statutory tests | Small sample | H 22 |  |  |  |
| Sample reports to local committees/SMT on H&S performance/ accidents etc | 2/3 | H23/J27 |  |  |  |
| **Reports/Data** on eg. completion of objectives, induction or ongoing training, risk assessment, occupational health referrals, health surveillance, completion of statutory checks, completion of inspections, implementation of actions | As relevant | H23 |  |  |  |
| **I Accidents and Incidents** | | | | | |
| Records of any accidents and incidents (anonymised) | 4 | I 25 |  |  |  |
| Records of near misses | If relevant | I 25 |  |  |  |
| Reports on accident and incident data-incorporating trend analysis where relevant | Sample | I 24 |  |  |  |
| Accident investigation procedure or arrangements |  | I 24 |  |  |  |
| Accident investigation reports (if available) | 4 in the past 2 years | I 26 |  |  |  |
| Records of any cases of work-related ill health (anonymised) | If relevant | I 25 |  |  |  |
| Records of Work related sickness absence (data or anonymised individual cases) | If relevant | I 25 |  |  |  |
| **J. Review** | | | | | |
| Health and safety Monitoring reports (the most recent full and alternate reports) | 2 | A3/A4/J27/J28 |  |  |  |
| Any record of health and safety performance reviews e.g. ad hoc topic-based reviews, or reviews of data collected, changes to health and safety legislation | If relevant | J27 |  |  |  |
| Any other information that you feel is relevant to support the audit process |  |  |  |  |  |

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