

Part E - Compliance Audit

Guidance:

- A tick (✓) in the Audit Status column indicates conforming items.
- A cross (X) in the Audit Status column indicates non-conforming items. Non-conformances are then graded by placing a '1' in the relevant CAT column.
- Any areas that are not audited are marked NA in the Audit Status column.
- Any areas which are not applicable which be left blank.
- Shaded items indicate an outstanding item from a previous audit.

Example:

No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
1	Poster	Is a health and safety law poster displayed?				
2	Training	Has a training matrix been developed?				

Part F - Commitment and Policy

No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
1	Access / Egress	Has a plant access survey been undertaken for maintenance duties?				
2		Have all remedial actions been put into place?				
3	Accident report and investigation	Is an accident book available on-site and are entries held in a secure location?				
4		Are all employees aware of the location of the accident book and do they have unrestricted access to its location?				
5		Does the company have a specific procedure for accident and incident reporting?				
6		Are all accidents and incidents fully investigated by competent people with remedial actions identified and implemented?				
7	Alcohol and drugs	Does the company have a clear policy on the consumption and use of alcohol and drugs?				
8		Does regular testing of employees take place to identify breaches of the alcohol and drug policy?				
9		Have employees been informed of the policy and their responsibility to ensure compliance?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
10	Asbestos	Has an asbestos survey been undertaken on the site?				
11		Has an asbestos management plan been put into place?				
12		Is a site plan available showing locations of asbestos?				
13		Is asbestos clearly marked out on-site?				
14		Is there a good system for monitoring and review in place?				
15	Authorisations / Appointments	Are all managers/supervisors authorised for the roles they undertake?				
16		Are driver/operator authorisations in place and up to date?				
17		Are authorisations in place and up to date to cover mounting, dressing and use of abrasive wheels?				
18		Has a competent person(s) been appointed to carry out daily inspections?				
19		Has a competent person been appointed to change fuses/reset overloads?				
20		Has a competent person been appointed to carry out all electrical maintenance?				
21		Are all shotfiring appointments in order?				
22	Barriers	Are suitable barriers in place around the site to prevent risk to the public or trespass?				
23		Are the barriers maintained?				
24		Are records kept to show that barriers are inspected and repaired?				
25		Are suitable signs erected and maintained?				
26	Confined spaces	Has a confined space survey been undertaken for this site/activity and remedial actions implemented?				
27		Have employees received suitable training in the safe entry of confined spaces?				
28		Have management received suitable training in the management of confined spaces?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
29	Control of contractors	Is an individual file held for each contractor working on site?				
30		Are contractor's rules available on site?				
31		Have contractors been fully inducted and authorised to work on site?				
32		Have the contractors been assessed for competence?				
33		Has information on site hazards been given to the contractor?				
34		Is a safety check list/monitoring system in place?				
35		Is a contractor's vehicle/mobile plant checklist in place?				
36		Is a certificate of competence available for each contractor's employee?				
37		Have contractors passed through the passport scheme?				
38		Have task/site specific risk assessments and method statements been made available by the contractor and approved prior to work commencing?				
39		Have permit to work documents been issued?				
40		Do all contractors currently being used have adequate level of public liability insurance?				
41		Is there a procedure for construction, design management (CDM) and are relevant employees fully aware of its requirements?				
42		Core documents	Can access be made to the health and safety management system?			
43	Are copies of the following rules available? <ul style="list-style-type: none"> • Workplace • Site specific • Vehicle, including competence, security of keys, speed limits, traffic routes, inspection & reporting of defects • Health, safety and environmental policy 					
44	Are signed receipts for rules held for all employees?					
45	Is there a company standard filing system in place?					
46	Have personal document files been issued to employees?					



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
47	COSHH	Has a product/substance list been prepared and cross-referenced for site employees?				
48		Are product data sheets held and have assessments been completed for all substances?				
49		Have all remedial actions identified been passed onto a management action plan?				
50		Are COSHH information sheets explained and provided to each employee for each product they encounter?				
51		Are survey results (personal/fixed point) available and have they been explained to employees?				
52		Are maintenance records held for all LEV & control equipment?				
53		Are all chemicals including acids, oils & lubricants and admixtures safely stored and secured?				
54	Display screen equipment	Have DSE assessments been undertaken for identified employees?				
55		Have these employees received suitable training on the safe use of their VDU and the correct set up of their workstation?				
56		Have all remedial actions identified by the DSE assessment been rectified?				
57		Are all DSE users aware of the specific procedure on display screen equipment?				
58	Electricity Low Voltage	Is there a scheme for examination and testing in place?				
59		Are reports of tests/inspection up to date?				
60		Are remedial actions being rectified in line with the stated timescales?				
61		Are all portable electrical equipment tests in date?				
62	Electricity High Voltage	Is there a scheme for examination and testing in place?				
63		Has all HV equipment been inspected/ maintained and reports held?				
64		Is all HV work undertaken under a permit to work with authorisation from the approved HV contractor?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
65	Electrical switch rooms	Are the switch rooms secure & clearly identified?				
66		Are they free from waste/rubbish and not used as a store?				
67		Are warning signs in place on electrical switchgear, resuscitation, live working/testing, fire procedures?				
68		Is suitable fire fighting equipment available?				
69		Is fire fighting equipment in close proximity to welding activities?				
70		Are screens available and routinely used?				
71	Emergency procedure	Have emergency procedures been prepared following risk assessments?				
72		Have the emergency procedures been tested within the last 12 months and shortfalls remedied?				
73		Has appropriate rescue equipment been provided and training in its use supplied?				
74		Is the rescue equipment inspected & maintained?				
75		Has contact been made with the local emergency services to ensure site procedures are adequate?				
76	Excavations	Is there a specific procedure in place for the management and control of excavations?				
77		Are relevant employees aware of this procedure and comply with its contents?				
78	Fire fighting	Have all fire and explosive risks been identified by a specific fire risk assessment?				
79		Are there rules covering hot work in place?				
80		Are fire equipment points shown on the site plan?				
81		Are the facilities adequate and appropriate?				
82		Is the equipment regularly checked both internally and externally?				
83		Is there a no smoking policy in place?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
84	First Aid	Are there an adequate number of trained personnel to provide cover (including during holidays)?				
85		Are the facilities adequate for the site?				
86	HGV Drivers	Have all drivers received site induction and safety training?				
87		Are records complete and up to date?				
88	Hired in plant	Are all items checked before being put into service and included on the daily inspection or as per the company scheme, e.g. electrical maintenance/inspection?				
89	Geotechnical	Are all inspections complete and up to date?				
90		Have appraisals been completed and passed to the geotechnical specialist?				
91		Is the assessment available on site?				
92		Have all the recommendations been acted upon?				
93		Are records held of all materials tipped?				
94		Is a site development plan available?				
95	Housekeeping	Are there any obvious housekeeping issues that require remedial works, i.e. spillage (especially taildrums), waste, workshops, and walkways?				
96	Induction and training	Has the site training been correctly identified?				
97		Is the training progressing satisfactorily?				
98		Are toolbox talks held routinely?				
99		Are employees talked through accident alerts?				
100		Is there a formal induction process in place for employees?				
101		Do employees sign to acknowledge their understanding of the induction?				
102		Do all employees have a record of all training undertaken during the course of their employment with your company?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
103	Inspection	Is there a plant inspection scheme in place?				
104		Check the static plant inspection sheet and compare against the actual physical conditions.				
105		Check remedial actions are being rectified by the site supervisor.				
106	Isolation and lock off	Is there an adequate isolation and lock off procedure in place?				
107		Have all employees and regular contractors been trained in the isolation and lock off procedure?				
108		At the time of the audit was isolation/lock off procedure being followed?				
109	Lagoons	Is there a secure boundary around the hazard and are 'Deep Water' signs in place?				
110		Is suitable rescue equipment available?				
111		Is there safe access to overflows to allow the clearing of blockages?				
112	Legionella	Are static water towers located on-site?				
113		Are they inspected routinely and identified issues rectified immediately?				
114	Lifting equipment	Are statutory test certificates held?				
115		Are inspections up to date?				
116		Is a schedule held and is it up to date?				
117		Is a system of identification & rectification of defects in place and up to date?				
118		Are all beams clearly marked with the safe working load (SWL)?				
119		Is lifting equipment correctly stored on-site?				
120		Is lifting equipment tagged and are tags up to date?				
121	Lighting	Is internal and external lighting adequate?				
122		Is emergency lighting (or are personal lamps) provided?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
123	Lone working	Is there a procedure in place for lone working?				
124		Has this procedure been communicated to all relevant people?				
125	Management review	Check that periodic health and safety reviews are being completed.				
126		Review in detail the previous review documents for accuracy.				
127		Review the management action plans and previous compliance audits to ensure actions identified are being addressed.				
128	Manual handling	Where appropriate have alternative methods/mechanical assistance been considered/ made available?				
129		Have manual handling assessments been undertaken and issues rectified as necessary?				
130		Has this been backed up by employees undertaking manual handling training?				
131	Mobile plant	Is there an inspection regime in place for inspecting all types of mobile plant?				
132		Are defects being recorded and rectified accordingly by the site supervisor?				
133		Has the machine been brake tested, and are the results satisfactory?				
134	Noise	Are noise survey results available?				
135		Has the information been explained to the workforce, issued into PDF files and training records updated?				
136		Have control measures been implemented to reduce the risk of excessive noise to relevant people?				
137	Occupational health	Are occupational health arrangements in place for the employees?				
138		Is health surveillance undertaken on a periodic basis?				
139		Are confirmed ill health cases managed in the correct manner?				
140	Permit to work	Does the site have a suitable permit to work scheme, is it clearly posted, and does it clearly outline the site specific tasks that require a permit?				
141		Are sufficient numbers of the management team trained to issue permits to work?				
142		Have all employees been trained on what tasks require a permit to work?				
143		Are signs placed on the site stating permits are required, i.e. on entry to bins/silos etc.?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
144	Plans	Are plans available that show the following (as appropriate)? <ul style="list-style-type: none"> • Site demarcation • First aid & fire points • High noise & dust levels • Overhead and underground services • Bulk tanks & cylinders • Traffic flows 				
145	PPE	Is the correct PPE available for site personnel?				
146		Is the PPE being worn?				
147		Do employees sign to acknowledge receipt of the PPE?				
148		Is the PPE suitably stored when not in use?				
149	Pressure vessels	Are statutory tests/inspections up to date?				
150		Is a system of identification & rectification of defects in place and up to date?				
151		Is a written scheme of inspection available for all systems?				
152		Is the safe working pressure clearly displayed by all receivers?				
153	Pull wires and emergency stops	Are all conveyors fitted with pull wires?				
154		Are pull wires and emergency stops tested as per the electrical maintenance schedule?				
155		Are all emergency stops accessible and correctly identified?				
156	Radiation	Has a radiation protection advisor/consultant been appointed?				
157		Are controlled areas in place where radiation levels are high?				
158		Are specific risk assessments and safe systems of work in place for working with radiation?				
159		Have all identified personnel been consulted in the preparation of the risk assessment and safe working practice?				
160	Railway sidings	Are routine inspections undertaken by a competent person?				
161		Are employees sufficiently trained on the hazards and control measures associated with working in a railway siding?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
162	Risk assessment/ SWP	Has preliminary task identification been conducted for all tasks on-site?				
163		Have risk assessments been carried out and recorded in respect of all significant hazards?				
164		Have safe working practices been prepared as a result of the risk assessment?				
165		Have safe working practices been issued to all employees' undertaken tasks. Have they been instructed in and understand the content?				
166		Are both risk assessments and safe working practices regularly reviewed?				
167		Are copies of risk assessments and safe working practices available to the workforce?				
168	Roads & stockbays	Is edge protection in place and correctly maintained?				
169		Are surfaces free of ruts & potholes?				
170		Are ramps and haul roads correctly designed, constructed and with suitable gradients?				
171	Safety representatives and safety committees	Is there a safety representative for the area?				
172		Are health and safety committee meetings held routinely and are the minutes posted on the notice board?				
173		Are employees regularly updated on the progress of items raised at the meeting?				
174		Do committee members carry out regular site inspections?				
175		Are these inspections recorded and responses placed on the site notice board?				
176	Shared sites	Is the site shared with another company? If so, is the company consulted on relevant health and safety issues?				
177	Shotfiring	Is a design and specification available for each shot?				
178		Have satisfactory drilling reports been prepared?				
179		Has the charging specification been followed?				
180		Are use and storage records accurate and up to date?				
181		Is the store licence up to date?				
182		Is the Acquire / Acquire and Keep up to date and in the company name?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
183	Shotfiring (cont.)	Are the POMSTER IDs up to date and the certificate current?				
184		Is the explosive vehicle suitably marked and the beacon working?				
185		Is the explosive store and its alarm OK, and are the keys secure?				
186		Is the shotfiring equipment suitably calibrated?				
187		Is the ammonium nitrate store of adequate construction and secure, and is it secure in line with HSE guidelines?				
188		Is the detonator box of adequate construction and secure?				
189		Are all tools acceptable?				
190		Has the manager's audit checklist been completed within the last 6 months (Form 13.8F12)?				
191	Silos	Are silos protected by high level alarms?				
192		Has the alarm been checked for correct operation independent of during delivery?				
193		Has the pressure relief valve been checked for correct operation and cleaned within the last month?				
194		Have the filters been inspected within the last 3 months?				
195	Site notice boards	Are they in a suitable location for site employees and visitors to view?				
196		<ul style="list-style-type: none"> • H & S law poster available and fully completed • Employer's liability insurance up to date • H & S structure chart (current) • Company safety policy • Emergency procedure • List of first aiders • Items requiring permit to work • Site plans • Manager's rules • List of approved contractors • Minutes of safety committee & works council meetings 				
197	Smoking	Do all smoking arrangements comply with current legislation?				
198	Static plant	Is a written scheme of site inspection & maintenance available that covers all static plant within the site?				
199		Have individuals been notified of their duties and trained accordingly?				
200		Are defects being recorded and rectified accordingly by the site supervisor?				
201		Is adequate guarding in place on all conveyors etc.?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
202	Statutory notices	Has any formal notice been issued by the Health and Safety Executive (HSE) during the last 2 years?				
203		Have all issues been rectified and corrected?				
204	Structures	Has a structural survey been completed?				
205		Are the remedial actions progressing in line with the set timescales?				
206	Tipping point - plant	Are there suitable stop blocks at plant tipping points?				
207		Is there a tipping light procedure in place?				
208		If fitted, is the chain curtain effective?				
209		Are pedestrians denied access to the tipping area during tipping operations?				
210	Traffic management	Is the traffic management obvious on arrival? Does it cover where to park and report on arrival? 1. Site speed limit 2. Traffic flow 3. Small/large vehicle/Pedestrian segregation				
211	Vibration	Are employees using vibrating tools? If so, is the exposure level reduced to an acceptable level?				
212	Visitors	Is a visitor's book held at the site reception?				
213		Are visitor's rules available for issue?				
214	Welfare facilities	Are the welfare facilities on-site in compliance with the regulations?				
215	Working at height	Have employees been adequately trained in safe working at height?				
216		Is the correct equipment available for working at height?				



Part G - Physical Conditions

No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
217	Site notice board	Are they in suitable locations for site employees and visitors to view?				
218		Are they tidy?				
219		<ul style="list-style-type: none"> • H & S law poster available and fully completed • Employer's liability insurance up to date • H & S structure chart (current) • Company safety policy • Emergency procedure • List of first aiders • Items requiring permit to work • Site plans • Manager's rules • List of approved contractors • Minutes of safety committee & works council meetings 				
Signage						
220	Traffic management scheme	Is the traffic management obvious on arrival? Does it cover: <ul style="list-style-type: none"> • Where to park and report on arrival? • Site speed limit? • Traffic flow? • Small/large vehicle/Pedestrian segregation? 				
221	General	Need for the use of PPE				
222		Location of fire fighting equipment				
223		Use of fall prevention equipment				
224		Headroom/overhead obstructions ((inc. goalposts)				
225		Evacuation or muster points				
226	Plans	Are plans available that show the following (as appropriate): <ul style="list-style-type: none"> • Site demarcation? • First aid & fire points? • High noise & dust levels? • Overhead and underground services? • Bulk tanks & cylinders? • Traffic flows? 				
227	Housekeeping	Are there any obvious housekeeping issues that require remedial works, i.e. spillage (especially tail drums), waste, workshops, walkways?				
228	Mobile plant	Check one mobile plant inspection sheet and check against the actual physical conditions including reversing aids, lights, seat, seatbelt, cab condition, etc..				
229		Check further controls are being rectified by the supervisor.				
230		Has the machine been brake tested, and are the results satisfactory?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
231	Roads and edge protection	Is edge protection in place and correctly maintained?				
232		Are surfaces free of ruts & potholes?				
233		Are ramps and haul roads correctly designed, constructed and with suitable gradients?				
Fixed Plant and Conveyors						
234	Isolation and lock off	Is there an adequate isolation and lock off procedure in place?				
235		Have all employees and regular contractors been trained in the isolation and lock off procedure?				
236		At the time of the audit was the isolation/lock off procedure being followed?				
237	Pull wires and emergency stops	Are all conveyors fitted with pull wires?				
238		Are pull wires and emergency stops tested as per the electrical maintenance schedule?				
239		Are all emergency stops accessible and correctly identified?				
240	Guarding	Are there any obvious guarding defects on the plant?				
241	Inspection	Is there a plant inspection scheme in place?				
242		Check the static plant inspection sheet and compare against the actual physical conditions.				
243		Check remedial measures are being actioned by the site supervisor.				
244	Structures	Has a structural survey been completed?				
245		Are the remedial actions progressing in line with the set timescales?				
246	Confined spaces survey	Has a confined space survey been undertaken, and are the remedial actions progressing in line with the set timescales?				
247		Is there suitable access for emergency recovery from the identified confined spaces?				
248	Lighting	Is internal and external lighting adequate?				
249		Is emergency lighting (or are personal lamps) provided?				
250	Lifting equipment	Are all beams clearly marked with the Safe Working Load (SWL)?				
251		Is lifting equipment correctly stored on-site?				
252		Is lifting equipment tagged and are tags up to date?				



No.	Subject	Item	Audit Status	Cat A	Cat B	Cat C
253	Tipping point - plant	Are there suitable stop blocks at plant tipping points?				
254		Is there a tipping light procedure in place?				
255		If fitted, is the chain curtain effective?				
256		Are pedestrians denied access to the tipping area during tipping operations?				
257	Electrical switch rooms	Are the switch rooms secure?				
258		Are they clearly identified?				
259		Are they free from waste/rubbish, and not used as a store?				
260		Are warning signs in place on electrical switchgear, resuscitation, live working/testing, fire procedures?				
261		Is suitable fire fighting equipment available?				
262		Is fire fighting equipment in close proximity to welding activities?				
263		Are screens available and routinely used?				
264	Chemicals	Are all chemicals including acids, oils & lubricants and admixtures safely and securely stored?				
265	Silos	Are silos protected by high level alarms?				
266	Lagoons	Is there a secure boundary around the hazard and are 'Deep Water' signs in place?				
267		Is suitable rescue equipment available?				
268		Is there safe access to overflows to allow the clearing of blockages?				
269	Barriers	Are suitable barriers in place around the site to prevent risk to the public or trespass?				
270		Are the barriers maintained with suitable signs erected?				
271		Are records kept to show that barriers are inspected and repaired?				

