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Health and Safety Compliance Audit

School Annual Self Evaluation Checklist Explanation and Prompts

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Explanation and Prompts to the completion of the Self Evaluation Checklist

Explanation

The left hand column (Key Aspect) is worded as a positive statement that standards are being met and that each aspect is in place. This is deliberately intended to avoid the usual YES or NO response to a question, as there will be occasions where, with further explanations and evidence, a Partial Compliance (PC) will be the more appropriate response, as opposed to a straight Compliance (C) or Non Compliance (NC).

The right hand column of this document contains prompts to the type of information that may need to be considered or evidenced when providing a response to the key aspects (the right hand column of the 'School Annual Self Evaluation Checklist' proper that you will be completing is for you to enter explanatory comments and/or action required).

As referred to above, even though you may not be able to indicate C to a key aspect, there will be occasions whereby it may not be appropriate to respond with an NC, since even though your initial feeling may be that your response should be one of NC, other procedures and arrangements may exist which indicate that a PC would be appropriate. Where this is the case, it is important to provide an explanation of what procedures or standards are in place to support the response of PC. Some examples are given below.

Example 1: The school may not have developed its own Health and Safety Policy, but it has roles and responsibilities identified in other documented format, supported by well established practices and procedures. This then could constitute a PC, whilst 'comments/action required' may then indicate the desire to develop a Health and Safety Policy in the near future, or to request further support to do so.

Example 2: There may be an occasion whereby an existing Health and Safety Policy has been signed by the Head Teacher or Governor, but it hasn't been reviewed for a number of years. Instead of indicating NC, again a PC would be more appropriate, with an explanation provided to confirm the intention to review the existing policy and revise the date accordingly.

It is not necessary for you to show that your safety management systems are perfect or 'best in class'. You just need to show that all the essential elements are there.

It is unlikely that any one person will be able to respond to all the key aspects, you may need to involve your management team and/or consult with other staff.

PLEASE ENSURE YOU COMPLETE ALL KEY ASPECT BOXES (checklists will be returned if all boxes are not completed)

Guidance

Key Aspect		C / PC / NC / NA	Prompts (Comments/action required)
1. Health and Safety Policy			
1.1	There is a Health and Safety Policy for the School.	C	If NC indicated, are there Safe Systems of Work? Consider special written arrangements or other policies Is there a responsibility document? Is support required?
1.2	It is signed by the Head Teacher/Chair of Governors and is up-to-date.	PC	Is the policy regularly reviewed?
1.3	It has been brought to the attention of all staff.	NC	Consider how this has been achieved and its effectiveness
1.4	The policy stipulates roles and responsibilities at all levels within the school i.e. School Governors Head / Deputy Head Risk Coordinator Teaching staff Support staff.		Have relevant persons been made aware of their roles and responsibilities?
2. Risk Management			
2.1	The Head Teacher can demonstrate that assessments of identified hazards are undertaken by competent persons.		Is training evidence available and up-to-date? If competent persons are designated, please indicate who. Is additional support or training required?
2.2	Risk assessments are reviewed annually and following significant changes and/or incidents and accidents.		Risk assessments should be available for viewing if necessary. Do you consider the risk assessments to be suitable and sufficient? Do they include best practice and relevant sources of information/guidance , for example CLEAPPS.
2.3	Identified control measures are being implemented.		What arrangements are in place for implementing control measures? Does monitoring take place and is it recorded?
2.4	Risk assessments are		Have significant hazards been identified and

Key Aspect		C / PC / NC / NA	Prompts (Comments/action required)
	available for relevant curricular, building and both staff and pupil activities.		taken into account within risk assessments?
3. Rules and Procedures			
3.1	Safety rules have been communicated to all relevant staff.		How is this achieved and by whom?
3.2	Staff have been informed of their responsibility to report hazards in the workplace.		How are staff informed? What are the reporting arrangements?
3.3	There is a documented procedure for dealing with reported hazards.		How are defects and hazards recorded and acted upon?
4. Building Maintenance Procedures <i>(Suitable arrangements must be in place to ensure that maintenance and inspection procedures are being undertaken by both school staff internally and external contractors where appropriate). All Registers and Fire Information are to be available and accessible at the school sites at all times.</i>			
4.1	An asbestos survey has been undertaken, is available for viewing and is regularly reviewed. <i>(NB The asbestos register must be viewed and signed by all contractor representatives. Where invasive work is planned it may be necessary to undertake an enhanced asbestos survey- refer to RCT Asbestos Team.)</i>		Is the register and survey documents periodically reviewed? Is the asbestos plan kept by designated person/s and any action taken noted and recorded?
4.2	A Legionella risk assessment has been undertaken is available for viewing and is regularly reviewed.		Has a risk assessment been undertaken by appointed consultants and is it reviewed as necessary?
4.3	A nominated person undertakes regular inspections and tests of water temperature and		Is refresher training necessary? Are records correctly recorded in the log book?

Key Aspect		C / PC / NC / NA	Prompts (Comments/action required)
	flushing and record keeping.		
4.4	A suitable and sufficient Fire Risk Assessment (FRA) has been carried out by a competent person/s.		<p>Is this periodically reviewed and kept up-to-date?</p> <p>Are designated persons fully familiar with the RAMIS system or is further support/training a requirement?</p>
4.5	There is evidence to show that fire fighting equipment, emergency lighting, fire detection and warning systems are being checked and tested by contractors and school staff (fire log book records).		<p>Has person/s been appointed to be in overall charge of fire procedures with inspections and tests undertaken in accordance with the fire log book requirements?</p>
4.6	There are records to show that staff training has taken place and periodic fire drills are carried out (fire log book records).		<p>Are training requirements periodically reviewed and up-to-date?</p> <p>Has frequency of drills been determined with responsible staff designated and trained?</p>
4.7	Any resulting issues from the Fire Risk Assessment have been addressed (FRA Action Plan).		<p>Is the action plan contained within the FRA regularly reviewed and updated on the RAMIS system?</p>
4.8	There are records to show that machinery and equipment is regularly maintained, including fixed and mobile lifting equipment, passenger lifts, mechanical hoists etc.		<p>Are records of maintenance available for inspection if necessary?</p> <p>In-house inspections/maintenance by competent persons only</p> <p>Where inspections are arranged through Estates, how are records kept and by whom?</p>
4.9	Arrangements are in place to remove/isolate defective equipment and for remedial action to take place.		<p>How are defects reported and is there written evidence of any necessary remedial action taken?</p>
4.10	Relevant safety and		<p>Are visual inspections undertaken by designated</p>

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	maintenance inspections are being undertaken in relation to any canopies, awnings, gazebos, free standing shelters and any other outdoor play covering		<p>person/s?</p> <p>Are any defects observed, recorded and reported to appropriate persons?</p> <p>Where inspections are arranged through Estates, how are records kept and by whom?</p>
4.11	There are records available to demonstrate that apparatus and play equipment is being inspected, maintained and repaired as necessary.		<p>Where necessary, are inspections carried out by external consultants?</p> <p>Has a suitable person been designated to carry out periodic inspections in accordance with the school's requirements?</p> <p>How are any defects reported, recorded and actioned?</p>
5. Training and Competence			
5.1	Documented induction is provided for all staff, including supply and contractors (where appropriate).		Have suitable induction procedures been developed with appropriate persons appointed to manage the process?
5.2	Competency requirements for all staff have been assessed and implemented via a health and safety training needs analysis/plan.		<p>Consideration should be given to such areas as:</p> <p>Risk assessment</p> <p>Machinery/equipment maintenance</p> <p>First aid</p> <p>Fire</p> <p>Formal competencies of individuals etc</p>
5.3	Training has been provided both initially and periodically in how to respond in emergency situations.		Consider fire evacuation, hazardous weather conditions, gas leaks, power failure, threats from external agents etc.
6. Information and Communication			
6.1	Necessary safety signs are prominently displayed throughout.		For example, Health and Safety Law Poster, Escape routes, First aid.
6.2	Arrangements are in place for reporting and actioning any safety concerns.		How are safety concerns reported and actioned?

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6.3	Health and safety is a standard agenda item on management, team and governor meetings.		Are minutes of meetings kept and distributed as necessary?
6.4	Regular, timely reports on health and safety performance are produced and distributed within the school's management structure.		Are in-house safety reports produced? Consideration should be given to reports and statistics provided to Education on an annual and termly basis.
6.5	Staff are fully aware of and comply with the sign in/out procedure for the school.		Are periodic checks made to ensure consistent compliance?
6.6	Staff are encouraged to report hazards and suggest methods of improvement.		Is there an in-house procedure and if so, how are staff made aware? Is there an awareness of the Council's Hazard Reporting and Employee Suggestion Schemes?
7. Accident Investigation and Analysis			
7.1	Staff are fully aware of the Council's accident reporting procedure, including deadlines.		How are staff made aware? What checks are made to ensure reporting deadlines are met and accident forms completed?
7.2	All accidents and incidents are reported and investigated with a view to putting corrective measures in place and appropriate records are kept.		How are accident prevention methods identified and who is responsible for putting corrective measures in place?
8. Employee Involvement			
8.1	Staff are consulted when there are any changes that affect workplace health and safety.		How are any changes identified and how is subsequent information and/or instruction brought to the attention of relevant staff?

Key Aspect		C / PC / NC / NA	Prompts (Comments/action required)
8.2	Employee representatives and management meet regularly about health and safety issues.		Are records kept/minutes taken?
8.3	Staff who are regular users of display screen equipment (DSE) have been assessed and had checks made to ensure workstations comply with regulations.		Is use made of the Council's Policies (HS11 and HS11A) in support of user and workstation assessments? What arrangements are in place for DSE users to be assessed?
9. Occupational Health			
9.1	There is access to the Occupational Health Unit (OHU), as required.		Is there full awareness to the support available and how to gain it if necessary?
9.2	The health of employees exposed to specific hazards e.g. noise, dusts, is monitored and recorded.		Have assessments been made to identify those staff that may be at risk from occupational health hazards as a result of their work activities? How are those staff monitored?
9.3	The OHU is consulted when dealing with work related medical issues e.g. pre employment fitness to work, return to work following illness etc.		
10. Contractor and Supplier Safety			
10.1	The school makes sure that suitable control measures (to ensure that school activities do not impinge on contractors work and vice versa) are agreed with the contractor* and implemented prior to the start of work. *applies equally to RCT or school appointed contractors.		How are the necessary control measures communicated to contractors and suppliers? Are records kept of any pre-work meetings or information provided to contractors and suppliers?

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	<i>(NB The asbestos register must be viewed and signed by contractor representative. Where invasive work is planned it may be necessary to undertake an enhanced asbestos survey- refer to RCT Asbestos Team.)</i>		
10.2	Suitable measures are in place to ensure that <u>school appointed</u> contractors can demonstrate appropriate insurance cover, competence to undertake the work and effective management of health and safety e.g. risk assessments / method statements. (Copies to be retained by school.)		<p>What information is received from contractors and supplies in respect of their insurance cover?</p> <p>How is the competence of contractors assessed?</p> <p>What arrangements are in place to ensure that visiting contractors have suitable risk control measures in place and for these control measures to be monitored and reviewed as necessary during progress and completion of the works?</p>
10.3	Appropriate information is provided for all contractors working in school e.g. signing in/out, agreed hours of work, school contact person/number, fire procedures, traffic management, asbestos.		<p>How contractors made aware of this information and who is responsible for doing so?</p>
10.4	Whilst the school may not be able to assess the quality of workmanship, suitable monitoring procedures are in place to ensure that agreed safety control measures are maintained.		<p>How are contractors monitored for the duration of their works and who is responsible to do so?</p> <p>How are any failings identified and acted upon?</p>
10.5	The school ensures that all purchases, where appropriate, comply with relevant health and safety standards for use in schools.		<p>What are the arrangements are in place? For example playground equipment or workshop equipment.</p>

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11. Hazardous Substances			
11.1	The school has an up-to-date inventory of hazardous substances and all safety data sheets have been obtained.		Manufacturers and suppliers are obligated to provide material safety data sheets (MSDS).
11.2	Substances identified as presenting a significant risk have had a specific assessment conducted.		Has a competent person been designated to undertake these assessments? (Hazard Data Sheets are not in themselves hazardous substance assessments.)
11.3	When not in use, hazardous substances are stored appropriately and are secured out of reach of children.		
12. First Aid			
12.1	There are adequate numbers and levels of first aiders on site.		Has a first aid needs assessment been carried out and appropriate person/s appointed?
12.2	Names of first aiders and how they can be contacted is prominently displayed.		Are staff fully aware of the arrangements for first aid and how it can be accessed when necessary? Are notices displayed?
12.3	First aid boxes are stored in appropriate places and stocked with approved content.		Does regular monitoring take place?
13. Finger Trapping			
13.1	The hazards associated with finger trapping have been assessed, both for internal and external areas.		Reference should be made to the Council's Guide to Managing the Risks from Finger Trapping. How do these assessments take place and who is responsible?

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13.2	Necessary finger guards and preventative arrangements are in place and maintained.		How is this monitored?
14. Security/Safeguarding			
14.1	Pedestrian routes within the site are clearly defined and segregated from vehicles.		What segregation methods are adopted and who monitors their effectiveness?
14.2	There is clear signage directing visitors to the main reception with access into the school controlled.		How is access to the school controlled?
14.3	Access to low roofs is adequately restricted.		What methods are adopted to achieve this?
14.4	External storage/waste bins are secured and located away from buildings.		
15. Public Safety/Stakeholder Relationship			
15.1	There is a procedure that encompasses health and safety issues for dealing with formal and informal complaints received from external parties.		What are the procedures in place?
15.2	Parents are suitably informed of relevant school procedures e.g. pupil allergies/medicine, traffic restrictions, school supervision times.		How are parents informed of existing procedures or any necessary temporary alterations?
15.3	Management have arrangements in place to ensure (as far as is reasonably practicable) the safety of members of		

Key Aspect	C / PC / NC / NA	Prompts (Comments/action required)
the public, stakeholders and others who may be affected by school activities.		

Compliance Definitions – (Please highlight your PC and NC areas in amber and red and copy and paste them into the ‘Summary of Actions’ at the end of the checklist for ease of reference of what actions are outstanding) – This also has to be signed off by all parties if separated from this checklist.

C	Compliance. A judgement made that the activities undertaken and the results achieved fulfil necessary health and safety management criteria.
PC	Partial Compliance. A judgement made that the activities undertaken and the results achieved partially fulfil necessary health and safety management criteria. While further improvements may be made, the minimum requirements are being met.
NC	Non-Compliance. A judgement made that the activities undertaken and the results achieved do not fulfil necessary health and safety management criteria. This may be caused by lack of evidence to demonstrate that the requirements are being met, or failures by management and/or staff to follow procedures.
NA	Not Applicable. A judgement made that this criteria does not apply to this School.

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School Annual Self Evaluation Checklist

SUMMARY OF ACTIONS

Outstanding Key Aspect	C / PC / NC / NA	Description of Action Completed	Date of Completion and By Whom
<u>EXAMPLE ONLY</u>			
1.2	PC	It is signed by the Head Teacher/Chair of Governors and is up-to-date.	The Health and Safety Policy is regularly reviewed (monthly) and is signed by all relevant parties.
1.3	NC	It has been brought to the attention of all staff.	Staff signature sheet in place to evidence all staff are aware of the Health and Safety Policy.

Outstanding Key Aspect	C / PC / NC / NA	Description of Action Completed	Date of Completion and By Whom

Name: (Headteacher)	H Teacher	Signature:	<i>H Teacher</i>
Name: (Chair of Governors)	C Governors	Signature:	<i>C Governors</i>
Name: (Health & Safety Committee)	H S Committee	Signature:	<i>H S Committee</i>
COMPLETION DATE:	25/12/2016		

If necessary, further advice and support is available from the Health and Safety Team at Ty Elai by contacting them on: 01443 425531