



Committee Approver	Operations Committee
Stakeholder Consultation	
Date Approved	23 February 2023
Classification	Policy (sitting as an appendix to H&S Policy)
Title	Monitoring, Audit and Review Policy
Revision Date	January 2023
Revised by	Director of Business Support Health & Safety Advisor
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Related Documents	H&S Policy
Location of Electronic Copy	F:/LIVE POLICIES

## 1. Policy Statement

Viewpoint strive to ensure continual improvement of our Health and Safety Management system. To allow the system to remain successful, it is necessary to continually monitor the arrangements which have been put in place. Ongoing monitoring will allow Viewpoint to identify where issues exist, take remedial action and ensure continual improvement.

## 2. Purpose

The purpose of this policy is to outline the processes by which Viewpoint monitors the effectiveness of the Health and Safety Management system. The policy will ensure:

- Routine safety inspections are carried out and remedial action taken as required;
- A programme of system audits are planned and carried out;
- Documentation is kept current and in line with legislation;
- Safety records are accessible and kept in a logical manner for required timescales, allowing Viewpoint to evidence good practice.

### 2.1. Safety Inspections

Viewpoint has developed a series of inspections to ensure continued health and safety on site. These involve a systematic overview of work systems, the working environment, premises, plant and equipment.

#### The purpose of our safety inspections

- Viewpoint, recognising that accidents may be caused by the absence of adequate management controls and that most accidents can be prevented, have introduced housekeeping and safety inspections as part of a risk control programme.
- By scrutinising areas of the workplace, hazards will be identified and by doing so, it will be possible to reduce the risk of accidents within the organisation.

#### Ongoing Housekeeping Inspections

- General good housekeeping is the responsibility of all employees.
- Housekeeping inspections will be performed by an identified person, dependent upon the work location in question.
- The workplace will be viewed on a routine basis to check that equipment and procedures are as they should be and that there are no exposed

hazards. It is suggested that the inspection be carried out on a monthly basis.

- A safety inspections checklist and report form should be used to assist the person doing the inspection, which considers most aspects of safety relevant to the environment being inspected.
- Any non-conformance can be reported directly to the person who can respond and influence the required action.
- All completed checklists are filed, records will include evidence of rectified non-conformances.

### **Safety Inspections / in-house audits**

- This is a formal inspection, planned in advance, and undertaken by appropriate staff members, depending upon the work location.
- The frequency of the safety inspections will be determined by the work location.
- This frequency may be changed depending on findings of the inspection and other relevant factors such as the onsite accident record.
- All completed checklists should be filed, records will include evidence of rectified non-conformances.

## **2.2. Safety Audit**

Viewpoint carries out audits to allow a systematic, objective and critical evaluation of how well the Health and Safety Management System is performing.

### **The purpose of our H&S Audits**

- Viewpoint wishes to ensure that all the key elements of Health & Safety management that have been put in place, are continually reviewed, are current and are evaluated.
- To ensure the key elements of Health & Safety such as policy, organisation, planning and safety systems are audited on a regular schedule.
- To ensure documented procedures comply with existing legislation, so far as is reasonably practicable.
- To provide objective evidence that the system is working in accordance with the laid down procedures.

## **Audit process**

- Viewpoint will ensure that all safety systems and procedures recorded in the Safety Manual are regularly audited to ensure that the high standards expected are being maintained.
- Safety Audits will consider all aspects of safety and records will be kept such that any non-compliances and recommendations can be actioned upon.
- Audits will also be performed by an external auditor who will plan, perform and report the audit. This may involve site-based and/or remote auditing and may require the electronic sharing of information / evidence, email communication and video conferencing.
- The time period between audits will depend on the system under scrutiny, the resources available and the general Health & Safety performance of Viewpoint but a maximum period of 2 years between formal external audits will be sought.
- Where additional confidence in safety performance is required, the external auditing programme may be supplemented by internal 'spot audits', whereby specific topic areas are selected and reviewed / audited by an internal team to address the level of compliance with defined policies and procedures.

In addition, Viewpoint may at times be subject to third party inspection and monitoring by enforcing agencies, including Health and Safety Executive, Local Authority Environmental Health, Care Inspectorate and the Fire Service.

### **2.3. Review of Documentation**

An essential part of Viewpoint's ongoing improvement includes periodic formal reviews of health and safety documentation. These reviews are necessary to ensure our policies, procedures and risk assessments are kept up to date and developed, any deficiencies are identified and that the lessons of experience are incorporated.

The review will be a planned, documented process and will consider information obtained from the active and reactive monitoring processes. Lessons learned will be incorporated to allow a full review of the adequacy of the documents and the effectiveness of their implementation.

### **2.4. Safety Records**

It is essential that Viewpoint is able to fully document and evidence safety records.

### The purpose of our records

To ensure that all records produced in conjunction with and concerning safety matters will be properly collated and recorded.

To ensure that when records are requested by the enforcing authorities, e.g. the Fire and Rescue Service, the records can be easily found and presented.

### Process for keeping accurate records

- Many of Viewpoint's policies, in accordance with specific regulations or "good practice", require the keeping of records, files, assessment reports, checklists etc.
- The nominated staff member will keep a filing system, which will permit logical filing and thus, easy retrieval of such records, in line with the relevant procedure.
- The nominated staff member will be responsible for ensuring records are kept up-to-date and for identifying requirements for reviews/refresher training etc.
- The filing system will include the following records (across several Viewpoint teams):
  - i) Fire Safety Log Book (containing Evacuation procedures, alarm, detector, emergency lighting and extinguisher tests).
  - ii) Risk Assessments – including but, not limited to General, Fire, Legionella, Loneworking, DSE, Manual Handling, COSHH, New and Expectant Mothers, Young Persons, Working at Height, Stress and Occupational Driving.
  - iii) Electrical Appliances and Fixed Electrical Installations – Inventory and Testing Records.
  - iv) Accident and Near Miss Register and Records.
  - v) Personal Protective Equipment – Distribution and Maintenance Register.
  - vi) Training.
  - x) Safety Inspections.

- xi) Safety Audit.
- xii) Gas Safety Records.

- Where records are not held in the central filing system for any reason, precise details of the actual filing location will be entered in the central filing system. This will allow an auditable trail of all relevant records to be maintained, hence permitting easy access to all Health & Safety related information.

## **2.5. Health and Safety Reports**

Regular reports on health and safety management, showing progress against specific plans, established performance criteria and annual health and safety objectives, are provided to the Health and Safety Consultative Group and Viewpoint's Operational Committee, for their review and discussion. These reports include monitoring of accidents, incidents and near misses as indicators of performance and to highlight areas of concern.

Data is analysed to identify underlying causes and trends, and used to implement any required changes. Damage to property and other health and safety management system failures, such as poor safety performance, are reported to the relevant committee and can also be considered an essential part of a system of continual improvement.

Key performance indicators (KPIs) are set annually alongside health and safety objectives, to drive performance in any identified area.

## **3. Legislation/related policies**

Health & Safety at Work etc. Act 1974

Successful Health & Safety Management - HS(G) 65

Workplace (Health, Safety and Welfare) Regulations 1992, as amended

Management of Health & Safety at Work Regulations 1999, as amended

## **4. Scope**

This Policy applies to all procedures, processes and systems of work related to Viewpoint's health and safety management system.

## **5. Roles and Responsibilities**

## **Board**

The role of Viewpoint's Board is to ensure that this policy, as well as any associated policies, are regularly reviewed, as required, or in accordance with the usual cycle of policy review.

The Board will, in fulfilling its function, ensure that it complies as necessary with this policy, and the associated policies, procedures and documentation which support it.

## **Executive and Leadership Teams**

The role of the Executive and Leadership Teams is responsibility for ensuring that this policy, and the associated policies, procedures and documentation which support it, are implemented within Viewpoint. The Executive and Leadership Teams shall also ensure that relevant managers and team members familiarise themselves with this policy, and the associated policies, procedures and documentation which support it, as well as undertaking any associated training.

## **Staff**

All staff are responsible for ensuring that they familiarise themselves with this policy, and the associated policies, procedures and documentation which support it, as well as undertaking any associated training.

## **6. Monitoring & Evaluation**

To ensure this policy remains current and effective it will be reviewed every 3 years or where a need is identified by monitoring methods, for example through audits, inspections or accident investigations.