**National Health and Safety Function, Workplace Health and Wellbeing Unit,**

**National HR Directorate**

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|  | **Audit Form** | | | |  |
| **Ref:AUD:005:003** | **Ref: Safety Committees Audit Tool** | | | | |
| **Issue date:** | September 2018 | **Revised:** | September 2019 | **Review:** | September 2020 |
| **Author(s):** | National Health and Safety Function (Audit and Inspection Team) | | | | |
| **Note:** | As part of the National Health and Safety Function the Audit and Inspection Team have been tasked with developing a suite of health and safety audit tools relevant to each level of management within the HSE.  Section 26 (1) of the Safety, Health and Welfare at Work Act, 2005 requires Employers to consult with his or her employees, their safety representatives or both as appropriate about establishing arrangements to secure co-operation on safety, health and welfare in the workplace.  In accordance with Section 26, of the Safety, Health and Welfare at Work Act, 2005 and the HSE’s governance arrangements a Safety Committee is established at local level to include balanced representation between management, employees and Safety Representatives. In smaller facilities the role and function of the Safety Committee are incorporated into and clearly defined in the Terms of Reference of Team Meetings.  The main purpose of the local health and safety committee is to provide a forum that facilitates employee participation on the steps taken to safeguard their safety, health and welfare within the workplace. | | | | |

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| **Date:** |  |
| **Location:** |  |
| **Interviewees:** |  |
| **Type of Service:** |  |
| **Total staff complement in this service:** |  |
| **Chairperson of Safety Committee:** |  |

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| --- | --- | --- |
| **Auditor name** *(Print):* | 1. | 2. |
| **Signature:** | 1. | 2. |

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| **Audit Score:** |  | **Date:** |  |
| **Last Audit Score:** |  | **Last Audit Date:** |  |
| **Trace No:** |  | | |

**Safety Committee Audit for Health Service Executive**

The audit tool is divided into four sections:

1. **Accountability – 1 Question**
2. **Membership – 1 Question**
3. **Management of committee – 9 Questions**
4. **Performance - 4 Questions**

**Appendix 1 – Quality Improvement Plan**

**Appendix 2 – Notes on Usage**

**Appendix 3 - Document Changes**

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| **A. Accountability:** **National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees** | | | | | | | | | | | | | | |
|  |  |  |  | |  | | |  | | | | **N/A** | **Score** | **Comments** |
| A | **I** |  | 1. Is the Chairperson accountable to one of the following? *(Max 100 marks)* | | **Executive Quality and Safety Committee or**  **equivalent** | | | | **100 marks** | |  |  |  |  |
| **O** |  | **Most senior person within**  **the Service** | | | | **100 marks** | |  |
| **D** | √ | **Neither** | | | | **0 marks** | |  |
| **B. Membership:** **Schedule 4 of the Safety, Health and Welfare at Work Act, 2005: National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees** | | | | | | | | | | | | | | |
| B | **I** |  | 1. Does the membership of the committee include the following? | | **Senior Manager** | | **20 marks** | | |  | |  |  |  |
| **O** |  | **Department Heads** | | **20 marks** | | |  | |
| **D** | √ | **Safety Representative(s)** | | **20 marks** | | |  | |
| **Administration support** | | **20 marks** | | |  | |
| **Support Service representative such as Occupational Health professional, Health & Safety Professional, Quality & Risk Professional or access to one of these as required** | | **20 marks** | | |  | |
| **None** | | **0 marks** | | |  | |
| **C. Management of Committee: Section 26, of the Safety, Health and Welfare at Work Act, 2005:** **National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees** | | | | | | | | | | | | | | |
| **C** | **I** |  | | 1. Are terms of reference available for the safety committee? | **NO** | **YES** | | | | | |  |  |  |
| **O** |  | | **0 marks** | **100 marks** | | | | | |
| **D** | √ | |  |  | | | | | |
| **C** | **I** |  | | 1. Are terms of reference reviewed annually? | **NO** | **YES** | | | | | |  |  |  |
| **O** |  | | **0 marks** | **100 marks** | | | | | |
| **D** | √ | |  |  | | | | | |

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| **C** | **I** |  | | | 1. Do the terms of reference include the following?   *Please note for the purpose of this audit we are looking for these points but reference should be made to Appendix 2: Sample Terms of Reference, National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees for further information that should be included in a terms of reference.* | **Objectives** | **20 marks** | |  | |  | |  | |  |
| **O** |  | | | **Roles and Responsibilities** | **20 marks** | |  | |
| **D** | √ | | | **Membership** | **20 marks** | |  | |
| **Accountability and Reporting Relationships** | **20 marks** | |  | |
| **Frequency of Meetings** | **20 marks** | |  | |
| **None** | **0 marks** | |  | |
| C | **I** |  | | | 1. Has the committee set a quorum?   *The quorum for a meeting of a safety committee shall be such number, being not less than3, (Schedule 4 Safety, Health and Welfare at Work Act, 2005)* | **NO** | **YES** | | | |  | |  | |  |
| **O** |  | | | **0 marks** | **100 marks** | | | |
| **D** | √ | | |  |  | | | |
|  | **I** |  | | | 1. Do meetings take place every three months? | **NO** | **YES** | | | |  |  | |  | |
| **O** |  | | | **0 marks** | **100 marks** | | | |
| **D** | **√** | | |  |  | | | |
|  | **I** |  | | | 1. Are meetings scheduled for one hour only? | **NO** | **YES** | | | |  |  | | |  |
| **O** |  | | | **0 marks** | **100 marks** | | | |
| **D** | **√** | | |  |  | | | |
| C | **I** |  | | | 1. Does the Agenda for each meeting include the following fixed items?   *Please note for the purpose of this audit we are looking for these points but reference should be made to National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees for further information that should be included in an agenda.* | **Review of Accidents/Incidents/Near Misses and Occupational illness** | **20 marks** | | |  |  | |  | |  |
| **O** |  | | | **Training** | **20 marks** | | |  |
| **Key Performance Indicators** | **20 marks** | | |  |
| **Representations** | **20 marks** | | |  |
| **D** | **√** | | | **Risk Assessments** | **20 marks** | | |  |
| **None** | **0 marks** | | |  |
| C | **I** |  | | | 1. Do the times at which the meetings of the safety committee are held ensure the attendance of the majority of the membership? | **NO** | **YES** | | | |  | |  | |  |
| **O** |  | | | **0 marks** | **100 marks** | | | |
| **D** | √ | | |  |  | | | |
|  | **I** | |  | | 1. Is the agenda circulated in advance of each meeting accompanied by supporting documentation, as appropriate? | **NO** | **YES** | | | |  |  | |  | |
| **O** | |  | | **0 marks** | **100 marks** | | | |
| **D** | | √ | |  |  | | | |
| **D. Performance: National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees** | | | | | | | | | | | | | | | |
| D | **I** | |  | 1. Does the committee compile reports that are submitted to the Executive Quality and Safety Committee or equivalent? | | **NO** | | **YES** | | |  |  | | |  |
| **O** | |  | **0 marks** | | **100 marks** | | |
| **D** | | √ |  | |  | | |
| D | **I** | |  | 1. Does the Safety Committee have clearly identified quality indicators and outcomes that are measured to ensure that the committee is performing effectively?   Examples:   * Number of meetings per year * Percentage attendance of members * Percentage of items closed out | | **NO** | | **YES** | | |  | |  | |  |
| **O** | |  | **0 Marks** | | **100 Marks** | | |
| **D** | | **√** |  | |  | | |
| D | **I** | |  | 1. Does the Safety Committee have a process in place for recording risks identified by the committee on a local risk register? | | **NO** | | **YES** | | |  | |  | |  |
| **O** | |  | **0 Marks** | | **100 Marks** | | |
| **D** | | **√** |  | |  | | |
| D | **I** | |  | 1. Does the Safety Committee have a process in place for escalation of risks to the Quality and Safety Committee or equivalent? | | **NO** | | **YES** | | |  | |  | |  |
| **O** | |  | **0 Marks** | | **100 Marks** | | |
| **D** | | **√** |  | |  | | |

**Scoring**

|  |  |  |  |
| --- | --- | --- | --- |
| **Section** | **Number of Not Applicable Questions** | **Score for section** |  |
| **A** |  |  | **Total number of questions : 15 -**  **AAS/MAS x 100/1** |
| **B** |  |  |
| **C** |  |  |
| **D** |  |  |
| **Total** |  |  |  |

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| **Auditor name *(Print):*** | 1. | 2. |
| **Signature:** | 1. | 2. |
| **Date:** |  |  |

**Example**

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| **Section** | **Number of Not Applicable Questions** | **Score for section** |  |
| **A** | **0** | **100** | **Total number of questions : 15**  **Subtract number of n/a questions = 1**  **15-1 = 14**  **Maximum Audit Score = 1500 (15 x 100)**  **Actual Audit Score = 800**  **Score in % = AAS/MAS x 100/1 i.e. 800/1500x 100/1 = 53%** |
| **B** | **1** | **100** |
| **C** | **0** | **400** |
| **D** | **0** | **200** |
| **Total** | **1** | **800** | **53%** |

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| **APPENDIX 1 – QUALITY IMPROVEMENT PLAN** | | | | | | |
| **Section No** | **Question No** | **Area of Non Compliance** | **Corrective Action to be taken** | **Responsible Person** | **Timeframe** | **Review of implementation of Action** |
| **A. Accountability:** **National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees** | | | | | | |
| **A** | **1** | There is no documentation to indicate that the Chairperson of the committee is accountable to either the Executive Quality and Safety Committee or other  equivalent committee or the most senior person in the service. | Documentation is required to indicate that the chairperson of the committee is accountable to either the Executive Quality and Safety Committee or other  equivalent committee or the most senior person in the service. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** | **Section to be completed by responsible manager when corrective action is closed out.** |
| **B. Membership:** **Schedule 4 of the Safety, Health and Welfare at Work Act, 2005: National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees** | | | | | | |
| **B** | **1** | The committee membership does not include   * A Senior Manager * Department Heads * Safety Representative(s) * Administration support * Support Service representative such as Occupational Health professional, Health & Safety Professional, Quality & Risk Professional or access to one of these as required   *(Amend as appropriate)* | The committee membership should include:   * A Senior Manager * Department Heads * Safety Representative(s) * Administration support * Support Service representative such as Occupational Health professional, Health & Safety Professional, Quality & Risk Professional or access to one of these as required   *(Amend as appropriate)* | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C. Management of Committee: Section 26, of the Safety, Health and Welfare at Work Act, 2005:** **National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees** | | | | | | |
| **C** | **1** | Terms of reference are not available for this committee. | Terms of reference are required for this safety committee. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C** | **2** | Terms of reference are not reviewed and dated within the last 12 months. | Terms of reference should be reviewed within the last 12 months. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C** | **3** | The term of reference does not include the following:   * Objectives * Roles and Responsibilities * Membership * Accountability and Reporting Relationships * Frequency of Meetings   *Please note for the purpose of this audit we are looking for these points but reference should be made to Appendix 2: Sample Terms of Reference, National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees for further information that should be included in a terms of reference.* | The term of reference should include the following:   * Objectives * Roles and Responsibilities * Membership * Accountability and Reporting Relationships * Frequency of Meetings | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C** | **4** | The committee does not have a quorum.  *The quorum for a meeting of a safety committee shall be such number, being not less than*  *3, (Schedule 4 Safety, Health and Welfare at Work Act, 2005)* | A quorum is required for this committee. In accordance with Schedule 4, Safety, Health and Welfare at Work Act, 2005 the quorum should be not less than 3 members. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C** | **5** | Committee meetings do not take place every three months. | Committee meetings should be scheduled every three months. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C** | **6** | Meetings are scheduled for in excess of one hour. | Meetings should be scheduled for in one hour only. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C** | **7** | The agenda for each meeting does not include:   * A review of Accidents/Incidents/Near Misses and Occupational illness * Training * Key Performance Indicators * Representations * Risk Assessments   *(Amend as appropriate)*  *Please note for the purpose of this audit we are looking for these points but reference should be made to National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees for further information that should be included in an agenda.*  *<https://www.hse.ie/eng/staff/safetywellbeing/healthsafetyand%20wellbeing/guidanceforestablishinglocalhealthandsafetycommittees.pdf>* | The agenda for each meeting should include:   * A review of Accidents/Incidents/Near Misses and Occupational illness * Training * Key Performance Indicators * Representations * Risk Assessments   *(Amend as appropriate)*  *Refer to Appendix 3 Sample Agenda. National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees.*  [*[https://www.hse.ie/eng/staff/safetywellbeing/healthsafetyand%20wellbeing/guidanceforestablishinglocalhealthandsafetycommittees.pdf](#_Hlk523754457" \s "1,13892,14171,0,, HYPERLINK \"https://www.hse.ie/)*](https://www.hse.ie/eng/staff/safetywellbeing/healthsafetyand%20wellbeing/guidanceforestablishinglocalhealthandsafetycommittees.pdf) | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C** | **8** | It would appear from the attendance records for this committee that the majority of the committee membership cannot attend/are not attending. | A review of the time at which the meetings of the safety committee are held should be undertaken to ensure the current time is convenient to ensure the attendance of the majority of the membership. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **C** | **9** | The agenda is not circulated in advance of each meeting. | The agenda should be circulated in advance of each meeting accompanied by supporting documentation, as appropriate. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **D. Performance: National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees** | | | | | | |
| **D** | **1** | The committee does not compile reports that are submitted to the Executive Quality and Safety Committee or equivalent. | The committee should compile reports that are submitted to the Executive Quality and Safety Committee or equivalent. This is important in order to ensure safety management issues are reported to the appropriate safety governance structures within the hospital/ service.  *Refer to Appendix 4 for Sample Report Template. National Health and Safety Function, Guideline Document: Health and Safety Consultation – Guidance for the establishment of local Health and Safety Committees.* | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **D** | **2** | The Safety Committee does not have clearly identified quality indicators and outcomes that are measured to ensure that the committee is performing effectively. | Establish clearly identifiable quality indicators and outcomes that are measured to ensure that the committee is performing effectively.    Examples:  • Number of meetings per year  •Percentage attendance of members  •Percentage of items closed out | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **D** | **3** | The Safety Committee does not have a process in place for recording risks identified by the committee on a local risk register. | Establish a process for recording risks identified by the committee on a local risk register. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |
| **D** | **4** | The Safety Committee does not have a process in place for escalation of risks to the Quality and Safety Committee or equivalent. | Establish a process for escalation of risks to the Quality and Safety Committee or equivalent. | **Hospital/Service Manager**  **Chairperson of Committee** | **Immediate** |  |

**Appendix 2 – Notes on Usage**

* Complete all sections.
* Questions are marked out of 100. Some with single yes/no responses, and some divided into individual marks per response.
* Verification is obtained by also ticking one of the boxes marked “IOD” i.e. Interview, Observation, Documentation.
* The auditor should calculate the audit score as a percentage.

This is explained by a worked example as follows:

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| Number of questions in audit: 15  Maximum Audit Score (**MAS)**  Total Number of Questions (15) x Maximum Score (100) = 1500 (15 x 100)  Actual Audit Score **(AAS)** (Sum of the total scores for each question)  Audit Score as a percentage = **AAS/MAS x 100/1**  **Note**: Where a question in a section is not applicable, it will not be given a score. |

**Example:**

In the above case; if there were only 10 questions applicable (instead of 15) then the maximum audit score (MAS) would be 1000 (10x100)

Audit score as a percentage would then = actual audit score /maximum audit score x 100/1

* The scoring for the audit provides a benchmark against which further audits can be compared.
* To demonstrate an acceptable level of compliance a benchmark score of 85% - 100% should be achieved.
* A template quality improvement plan is provided in Appendix 1.
* Scores achieved on each audit are colour coded to assist managers and hospital management to implement a plan for improvement. See Table below:

|  |  |
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| Traffic light system for audits. | |
| 85-100% | Compliant – Repeat self audit/ peer audit on annual basis as determined by hospital/service |
| 51- 84% | Follow up by hospital/service. Repeat self audit/peer audit 6/12. |
| 26-50 % | Immediate action by hospital –repeat self audit at 3 months - repeat audit by Audit and Inspection team at 6/12 |
| 0-25% | Critical – Immediate action by hospital/service - Repeat audit by Audit and Inspection Team at 3/12 |

**Appendix 3**

**Document Changes**

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| **Superseded Document** | **Safety Committee Audit Tool (September 2018) Ref: 005:002** |
| **Changes to Ref: Ref: 005:002** | * Front Page: First two paragraphs removed * Section A, Question 1, Max 100 marks added * Section C, Question 7, the word *other* removed * Appendix 2 – Notes on Usage, Traffic Light system changed in line with other Level 1 and Level 2 audit tools * Appendix 3 - Document Changes added |