



Audit Tool – Safety Systems The Wolfe Group©

Instructions

This audit tool has been designed to support organisations to audit their Safety Systems. It aims to be a particular support around supporting organisations in complying with regulatory standards.

It is of fundamental importance that the results of any audit carried out are discussed within the Management Team and / or the Quality Committee of the organisation. Any deficits with regard to meeting best practice / legislative requirements should be addressed in an action plan and further audit should take place within a reasonable timeframe to ensure that the action plan has been effectively implemented.

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For any queries with regard to this audit tool or our range of quality and audit or training supports please contact: -

Head Office
The Wolfe Group
The Tannery
Thomastown
Co. Kilkenny
Ireland

Telephone: (00 353) 56 7793793

E-Mail: info@thewolfegroup.ie

Web: www.thewolfegroup.ie

The Tannery, Ladywell, Thomastown, Co. Kilkenny
T. 00353 56 779 3793 | info@thewolfegroup.ie
www.thewolfegroup.ie
Company Reg. No. 469192
Directors: Joe Wolfe, Nicola Wolfe





Audit Tool – Safety Systems

The Wolfe Group©

Name of Service.....

Date of Audit.....

Name of Auditor (s).....

Signature of Auditor.....

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Audit Question	Method of testing / prompt questions	Findings / compliance	Action required to ensure compliance (please complete)	Person responsible for same and deadline date
1. Adverse Events Is the system for adverse events reporting and monitoring effective?	<p>Are the forms for reporting adverse events available to staff? (Check service areas)</p> <p>Are staff aware of where these forms are? (Interview staff)</p> <p>Are the forms completed fully? (Check a range of forms)</p> <p>Are the forms completed in accordance with the system requirements and forwarded in a timely manner to the appropriate person? (Check a range of forms)</p> <p>Has the line manager / person responsible for monitoring these forms reviewed them? (Check a range of forms)</p> <p>Are the forms audited on a regular basis to ensure follow up action specified has occurred? (Look for evidence of audit report)</p> <p>Do you have regular summary reports / records on adverse events that demonstrate learning from analysis of same? (Look for evidence of report)</p> <p>Do the reports get circulated to Board level for discussion? (Check board minutes for evidence of discussion)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>		

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<p>2. Fire Safety</p> <p>Are your systems for fire safety effective?</p>	<p>Is there a fire safety folder / register in each area (check for presence of same)</p> <p>Does the folder contain: -</p> <ul style="list-style-type: none"> Records of fire drills (at least 2 a year, one of which should be at night) Records of fire equipment testing (up to date) Records of all staff being trained Records of up to date personal evacuation plans <p>Are staff aware of the procedure to follow in the event of a fire? (interview a number of staff)</p> <p>Is the fire equipment and building in accordance with regulations? (check environment, check for presence of fire fighting equipment, check for signage re: fire exits, assembly points etc.)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>		

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3. Risk Assessment and Management Are your systems for assessing and managing risk effective?	<p>Do you have an up to date policy on risk assessment / management? (Check policy)</p> <p>Do you have an up to date risk register? (Check for presence of same)</p> <p>Are staff aware of the process to follow in relation to the risk register? (interview staff)</p> <p>Are Risk Assessment forms completed fully? (Check a range of forms)</p> <p>Has the line manager / person responsible for monitoring these forms reviewed them? (Check a range of forms)</p> <p>Are the forms audited on a regular basis to ensure they are completed to a high quality? (Look for evidence of audit report)</p> <p>Do you have regular summary reports / records on risk that demonstrate learning from analysis of same? (Look for evidence of report)</p> <p>Do the reports get circulated to Board level for discussion? (Check board minutes for evidence of discussion)</p> <p>Do the Board review the risk register? (Check board minutes for evidence of same)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>		

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<p>4. Safe Staff</p> <p>Is your staff workforce appropriately recruited, inducted, trained, supervised and appraised?</p>	<p>Are your H.R. files up to date and do they have all the information in them required by regulation? (Check for audit of H.R. files)</p> <p>Do you have clear records of induction for all staff?</p> <p>Do you have a training needs analysis, conducted annually?</p> <p>Do you have a written training plan, based on the training needs analysis?</p> <p>Does the plan cover all mandatory training?</p> <p>Does the plan include training based on the core needs of the people using the service?</p> <p>Do you have up to date records of individual staff supervision in all areas?</p> <p>Do you have up to date records of regular staff appraisal?</p> <p>Do you have terms of reference for all your various staff and management meetings?</p> <p>Are there clear minutes for all meetings?</p> <p>Do the minutes demonstrate clear progression on issues from meeting to meeting?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>		

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<p>5. Child and Adult Protection</p> <p>Are your systems effective with regard to child / adult protection?</p>	<p>Have you a policy? (Check policy is present, available and not more than 2 years old)</p> <p>Have all staff signed off on the policy (check for records of same)?</p> <p>Are the key elements of the policy known to all staff? (Interview a range of staff)</p> <p>Are the key elements of the policy known to people that use the service and / or their families? (Interview a range of users of the service and / or families)</p> <p>Have you a designated person?</p> <p>Have they received training relevant to their role? (check records)</p> <p>Have all staff received training? (check records)</p> <p>Are staff aware of the process to follow in relation to when an allegation is raised? (interview staff)</p> <p>Are reporting forms completed fully? (Check a range of forms)</p> <p>Has the policy being followed in relation to screening / investigating allegations? (Check a range</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>		

	<p>of forms)</p> <p>Have investigations being closed out properly? (track a number of files of investigations)</p> <p>Are abuse files audited on a regular basis to ensure they are completed to a high quality? (Look for evidence of audit report)</p> <p>Do you have regular summary reports that demonstrate learning from analysis of cases? (Look for evidence of report)</p> <p>Do the reports get circulated to Board level for discussion? (Check board minutes for evidence of discussion)</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>		
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