

Monitoring, Audit, Inspection & Review policy

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Contents

1. Introduction	3
2. Scope	3
3. Legal Requirements	3
4. Responsibilities	3
4.1. University Responsibilities	3
4.2. Deans and Directors	3
4.3. Managers	4
4.4. Employees	4
4.5. Health & Safety Team	4
5. Types of Monitoring	4
5.1. Safety Review	4
5.2. Health and Safety Management Audits	5
5.3. Other Specific Audits	5
5.4. Inspection	6
5.4.1 Inspection of work places and work activities.	6
10. Information, Instruction & Training	8
11. Records	9
Appendix A – Typical topics to be included in an H&S Plan	10

1. Introduction

The purpose of monitoring, auditing and reviewing health and safety management is to measure and monitor of the health and safety management system performance against pre-determined plans and standards.

Monitoring, auditing and review will enable the organisation to identify the need for remedial action and opportunities for improving performance. By doing so, the University will be able to identify, avoid or mitigate risks and to ensure the health and safety of all those to whom it owes a duty of care.

2. Scope

This policy is applicable to all services within the University.

3. Legal Requirements

These arrangements will be carried out in full compliance with all relevant health and safety at work legislation. The legislation applicable includes the following:

- Health and Safety at Work Act 1974
- Management of Health and Safety at Work Regulations 1999

4. Responsibilities

4.1. University Responsibilities

The University has, through the Health & Safety Policy Statement, made the commitment to continuously improve the effectiveness of the health and safety management system.

Senior management shall review the organisation's health and safety management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. Reviews will consider both pro-active and reactive data and shall include audit performance, assessing opportunities for improvement and the need for changes to the health and safety management system, including the policy and objectives.

4.2. Deans and Directors

It is the responsibility of Deans and Directors to ensure that:

- This policy is brought to the attention of all staff to whom it may relate;
- The Health and Safety (H&S) activities (audits/inspections/training/incident investigation, etc) are completed within their areas.
- H&S performance is reviewed within each area, e.g. completion of identified actions from audits and inspections, incident trends.
- Key performance management information is supplied to the Health & Safety Committee on request.

4.3. Managers

It is the responsibility of all managers to ensure the following;

- Ensure that the areas in their control are inspected in line with set schedule in the H&S plan or an audit schedule. Where safety representatives are elected to represent staff, they should be invited to be part of the inspection team.
- Co-operate with any health and safety audits/inspections undertaken by others in their area.
- Consider and agree with the person undertaking the audit/inspection the findings and any remedial actions needed.
- Ensure all agreed actions are completed in an appropriate and timely way as agreed.
- Set up arrangements to monitor and review health and safety performance in their own area of responsibility.

4.4. Employees

All employees shall:

- Co-operate with the employer with regard to monitoring and auditing.

4.5. Health & Safety Team

The Health & Safety team shall:

- Develop and maintain a programme of audits to independently monitor the levels of compliance with University and legislative requirements.
- Assist Schools and Departments in developing of the H&S plan and oversee relevant activities.
- Provide reports to the relevant groups e.g. performance boards, senior management team groups with relevant management information, including audit performance.
- Provide summaries of the overall level of compliance with health and safety requirements to the Health & Safety Committee.

5. Types of Monitoring

5.1. Safety Review

A formal and recorded evaluation of the safety performance of a School or Department. This should be undertaken by the Senior Management in Schools and high-risk Departments, supported by the Health and Safety team at the corresponding H&S Committee meetings. See Section 9 for additional details.

The output should be a report highlighting successes and any areas for improvement and can include actions for the following year's Health and Safety Plan. During these reviews following aspects of H&S performance are monitored:

- Examining notifiable accident reports, accident statistics and trends and make recommendations to relevant parties (e.g. Senior management, managers and Performance Groups) for corrective action;
- Monitoring the completion and adequacy of risk assessments undertaken across the School/Department;
- Monitoring the effectiveness of the safety content and numbers attending staff & student training;
- Monitoring the effectiveness of health and safety communication and employee engagement in the School/Department;
- Examining the findings of safety audits and inspections;
- Monitor plans to implement actions identified as necessary;
- Monitoring any measures introduced within the School that may substantially affect the health and safety of staff, including the introduction of new technologies;

Monitor the adequacy of measures introduced to control significant risks within the School/Department.

Each department needs to plan health and safety improvements and monitor the implementation of that plan. The H&S Plan will include any University priorities agreed at the local/university Health & Safety Committee, areas needing improvement identified in audit reports and from any previous School health and safety review. Plans for longer periods than a year are recommended, but these should be reviewed and updated annually. Departments are encouraged to embed this within the existing planning activities and a list of suggested items is included in Appendix A.

65.2. Health and Safety Management Audits

The Health & Safety team conduct audits of all Schools or Departments on a risk-based cycle.

This is a systematic evaluation of how health and safety is managed on a particular site which is aligned with HSG 65, ISO 45001 and follows USHA HASNET methodology.

See Health and Safety Audit webpages for Health and Safety Management Auditing Strategy and Audit Schedule: <https://staff.londonmet.ac.uk/employment-support/health-and-wellbeing/health-and-safety/health-and-safety-audit/>

5.3. Other Specific Audits

Although the auditing strategy of the University is generally premises based, from time to time the need will arise to carry out an in depth check of a specific health and safety subject, in a corporate or more tightly defined area of the University. This may arise in several ways such as:

- Concerns raised as a result of health and safety management audits;
- Through routine re-active monitoring (such as accident, assaults or sickness statistics);
- Because of a change in the legal standards;
- As a result of a request from the Health & Safety Committee.

The aim of these audits is to identify strategic issues in order to give early warning of potential safety management failures (such as lack of resources, poor planning or failures in procurement or risk assessment processes). In this way it aims to avoid accidents, ill health and liabilities to the University. These audits may involve external auditors. In addition, external auditors will be involved in regular reviews of the University H&S management system to:

- Verify that the standards applied are still valid;
- Seek an independent assessment of the effectiveness of the system and its implementation

Results of these audits will always be reported back to the Health & Safety Committee.

5.4. Inspection

The purpose of planned inspections includes the detection of hazards and unsafe conditions as part of an accident prevention programme. For this to be successful planned inspections must be intrinsically linked to a corrective action process that identifies and prioritises the actions to be taken to eliminate or reduce the risks associated with the findings within acceptable time frames. This could involve changes to the workplace and working practices and/or maintenance, repair, replacement of plant and equipment.

As well as identifying hazards and unsafe conditions the process can also be used for highlighting good practices. Additional benefits of carrying out planned inspections include:-

- The enhancement of safety performance
- The identification of accident potential.
- Inspections and an effective corrective action process can contribute to improving the quality of the work environment and work efficiency.
- Planned inspections can identify potential failures in safety critical equipment and may reduce costs by early detection of deterioration of plant and equipment
- The inspection process involves employees in the health and safety management of their workplace and equipment.
- Conducting planned inspections contributes towards meeting legal requirements

5.4.1 Inspection of work places and work activities.

In general, Schools and Professional Services Departments are responsible for carrying out safety inspections of the work areas which they manage. Shared areas are generally managed by Estates, in cooperation with the main users of those areas.

There are several types of inspection that are employed at London Met:

Planned periodic area inspection

Schools and Departments are empowered to conduct inspections of Offices and Classrooms without the need to involve the Health & Safety Team in each visit.

The frequency of the inspections of all hazardous areas (workshops, labs, plant rooms etc), should be identified in the annual H&S Plan. As guidance the frequency of inspection of high-risk areas should be based on any licencing or regulatory requirements, risks & hazards present.

Initially when inspections are carried out there are likely to be a high number of issues to report and monthly inspections could be considered, but, with continual improvement, the frequency could be reduced.

Planned inspection must be carried out by a responsible person identified in the H&S plan, may or may not be accompanied by the Schools H&S Advisor, DSLOs and Union representatives. This may involve the use of checklist which acts as an aide-memoir and a record for identifying unsafe conditions and/or unsafe actions. Note that alternative formats may be used for inspections, providing they are comprehensive.

Where area inspection is required by licence or regulation this shall be conducted by local managers, DSLO's with assistance from the Schools H&S Advisor.

Management inspection

All Schools and high-hazard Department shall conduct at least one management inspection per year of areas under their management. The frequency may be greater in schools with many hazardous areas or a substantially large number of low hazard areas and should be identified in the annual H&S plan. This inspection should be conducted by the Dean / Head of School with assistance from DSLO's and Schools H&S Advisor.

Management inspections, while planned may be announced or unannounced to the local users, at the discretion of the Dean / Head of School / Department

Unplanned / follow up inspection

An unplanned inspection should also be carried out following any accident or serious incident. This type of inspection may also be carried by Union representatives, the Health and Safety Team and/or managers.

Trade Union Inspections

While Union Safety Representatives would be normally invited to the planned management inspections, they also have a legal right to inspect the workplace areas they cover independently, provided they give reasonable notice in writing. They also have the right to carry out an inspection if there has been a notifiable accident, disease or dangerous occurrence.

With the agreement of the Trade Unions these inspections will be coordinated with the H&S Team.

Start / end of day inspections & routine weekly checks

Routine check are characteristic for high-risk areas such as laboratories and workshops. For example, opening or lock up checks, eye wash / infrequently used outlet flushing. These should be identified in risk assessment and/or local rules including who is responsible for carrying out checks.

Routine condition inspection

Inspection of conditions of areas where the condition may change through the working day to present an increased risk.

This should be identified in risk assessment including who is responsible for carrying out checks. Action identified during this type of inspection should be taken immediately to correct / report / made safe any issues identified at the time of inspection, and daily log / sign of sheet should be maintained.

Inspection of equipment

This guidance does not describe the statutory inspection process which will normally be carried for the University by external contractors. This section provides guidance on the inspections of equipment carried out in the following circumstances:-

- Pre-use inspections

The purpose of pre-use inspections is to identify any damage or defect in the equipment, to identify if it requires any maintenance or repair to ensure it is safe to use and to check if any dates for examination and testing of the equipment have expired. This type of inspection is normally carried out by the person using the equipment e.g. the driver of the vehicle; the person operating the lifting equipment or the person using the chainsaw.

- A part of general inspection

As part of general inspection process or other type of inspection of a work activity e.g. checking cabling during a computer workstation installation.

Checklists can be used to assist those carrying out the inspection to remind them what to look for, to initiate corrective actions where necessary and to record their findings. Pre-use inspection checklists should be specific to the equipment, tool, vehicle or machine. If help is required in generating the checklist please contact Health and Safety Team.

10. Information, Instruction & Training

All staff are expected to complete their health and safety training in line with the health and safety training matrix. See the [H&S Training Policy](#) for more details.

Audits should be led by a suitably competent person. Normally someone with health and safety training and experience plus auditor training such as lead auditor for ISO 9001 or ISO 45001 or similar.

Minutes from the Health & Safety Committee should be circulated and available to all staff. Generally, this is completed by email to Deans and Directors.

11. Records

Records of performance groups meeting, inspection reports and audit data should be retained in line with the University's' document retention policy.

Appendix A – Typical topics to be included in an H&S Plan

- Risk Assessments – topics and review dates
- Training Matrix
- Training Completion
- Induction Completion
- Inspection Results and action tracker
- Audit Results and action tracker
- Health Surveillance Needs and arrangements
- New Projects
- Outstanding Issues (from previous Reviews)
- Appointments to Safety Roles
- Departmental H&S Meeting Terms of Reference and Minutes
- Business Continuity Plans
- Equipment Records (PPMs, Reactive Maintenance, Servicing, Statutory Inspections etc.)