

COMPANY HEALTH AND SAFETY MANAGEMENT AUDIT

AUDIT — COMPANY

The company system on Plan, Do, Check, Act — scored, with critical items

KD-AUD-CM-002 Rev A0

The audit of the company's health and safety management system, structured on Plan, Do, Check, Act — the approach HSE HSG65 (3rd edition, 2013) moved to from its earlier POPMAR model (policy, organising, planning, measuring performance, auditing and review). MHSWR 1999 reg 5 requires every employer to make and give effect to arrangements for the effective planning, organisation, control, monitoring and review of its preventive and protective measures, recorded where five or more are employed; HSWA 1974 s.2(3) requires the written policy. The auditor samples the evidence — chosen by the auditor, not handed over by the business — and scores what it shows. ISO 45001:2018 is the international standard for occupational health and safety management systems; a business building a system to it may use this audit, but a score here confirms nothing about conformity with that standard or certification to it. The arrangements audited are the KD-HSA family and KD-POL-001; the site audit is KD-AUD-SA-001; the annual review this feeds is KD-HSA-PR-020. Written for Great Britain; Northern Ireland has its own health and safety legislation.

1 THE AUDIT

BUSINESS AUDITED		DATE	AUDITOR	DIRECTOR PRESENT	
EMPLOYEES	JOBS SAMPLED		PASS MARK %	IMPROVE MARK %	LAST AUDIT — DATE AND %

2 HOW TO SCORE — READ BEFORE THE AUDIT

Score every item against the evidence named under it. Where the item is about conditions, look at the thing itself — the edge, the excavation, the lead — not the paperwork about it: HSE HSG65 (3rd edition, 2013) is blunt that paperwork on its own is not a good performance measure.

- 2 — in place, working, and evidenced on the day.
- 1 — in place, but with a gap that puts nobody in immediate danger (a record a day late, a sign missing, one person without a signature).
- 0 — not in place, not working, or no evidence that it is.
- N/A — does not apply here today (no excavation open). N/A is not a score: leave it out of the count and write the reason in the finding box.
- Percentage = the total of the scores ÷ (2 × the number of items scored) × 100, rounded down to a whole number.
- CRITICAL items are scored 2 or 0 only. A 0 on any critical item fails the audit, whatever the percentage: the director is told the same day, and the gap is closed before the work it affects continues — record who closed it and when in the result section.
- Anything found that puts a person in immediate danger — under any item, critical or not — is made safe or the work stopped at once, and recorded in the result section.
- Every 0 and every 1 becomes an action with an owner and a date on a KD-INS-AR-019 sheet kept for company findings — head it "Company / head office" — and the sheet and action number go in the finding box. Suggested risk rating on that register: a critical 0 = H, any other 0 = M, a 1 = L — adjust to the finding.

The critical items here are the ones where a gap is itself a serious breach that must be put right the same day: employers' liability insurance not in force, no risk assessment for work going on now, lifting equipment in use without a current thorough examination, and reportable events not being identified and reported. A 0 on any of them fails the audit and the director is told the same day.

3 PLAN — POLICY AND ORGANISATION

ITEM — AND THE EVIDENCE TO LOOK AT	SCORE	WHAT WAS SEEN · ACTION NO. · WHY N/A
3.1 A written health and safety policy — statement, organisation and arrangements — signed at the top of the business and revised as often as appropriate. <i>Look at: HSWA 1974 s.2(3); KD-POL-001 — the signature and its date</i>		
3.2 The policy has been brought to the notice of every employee. <i>Look at: KD-POL-001 section 5 against the current payroll</i>		
3.3 Health and safety responsibilities are given to named people, with deputies, and the names are current. <i>Look at: KD-HSA-RO-001 — ask two people what their duties are</i>		
3.4 Competent health and safety assistance is appointed, with enough time and means for the size of the business and its risks. <i>Look at: MHSWR 1999 reg 7; the adviser's appointment or contract, and what they did this year</i>		
CRITICAL — SCORE 2 OR 0 · A 0 FAILS THE AUDIT		
3.5 Employers' liability insurance is in force with an authorised insurer. <i>Look at: Employers' Liability (Compulsory Insurance) Act 1969 s.1; the policy schedule or certificate, and its expiry date</i>		
3.6 The employers' liability certificate is displayed at each place of business where the employees it covers work. <i>Look at: Employers' Liability (Compulsory Insurance) Regulations 1998 reg 5; the office wall and the site cabins</i>		
3.7 The arrangements for planning, organisation, control, monitoring and review are in place — and recorded, where five or more are employed. <i>Look at: MHSWR 1999 reg 5; the KD-HSA sheets, signed</i>		
SECTION TOTAL	OUT OF	SECTION %
		CRITICAL ITEMS SCORED 0

4 PLAN — RISK ASSESSMENT AND PLANNING

ITEM — AND THE EVIDENCE TO LOOK AT

SCORE

WHAT WAS SEEN · ACTION NO. · WHY N/A

CRITICAL — SCORE 2 OR 0 · A 0 FAILS THE AUDIT

4.1 Suitable and sufficient risk assessments exist for the work the business is doing now, and are revised when the work changes.

Look at: MHSWR 1999 reg 3; three current jobs chosen by the auditor, not by the business

4.2 Method statements are specific to the site and the task, not a generic set with the name changed.

Look at: the same three jobs; KD-HSA-RA-002

4.3 High-risk work is identified and planned in advance — work at height, lifting, excavations, hot works, asbestos, temporary works, live services — with permits where the system requires them.

Look at: KD-HSA-WH-010, KD-HSA-PE-011, KD-HSA-AS-013, KD-HSA-FE-014; the permit register KD-SYS-RG-012

4.4 The substances the work uses and creates are assessed — including the dusts it makes.

Look at: KD-HSA-CS-012; KD-INS-CO-017

4.5 Emergency arrangements — fire, first aid, rescue — are planned for each site and for the premises.

Look at: KD-HSA-FE-014, KD-HSA-FA-015; one site's fire plan KD-FIRE-FP-002

4.6 The business's own premises — office, yard, workshop — have a risk assessment and a fire risk assessment.

Look at: the assessments and their dates

SECTION TOTAL

OUT OF

SECTION %

CRITICAL ITEMS SCORED 0

5 DO — COMPETENCE AND TRAINING

ITEM — AND THE EVIDENCE TO LOOK AT

SCORE

WHAT WAS SEEN · ACTION NO. · WHY N/A

5.1 Training needs are set by role, and the training matrix is current with expiries chased before they pass.

Look at: KD-HSA-TC-004; KD-SITE-TC-004 — three people chosen at random

5.2 Supervisors and managers hold health and safety training suited to their role.

Look at: the certificates for each supervisor and manager

5.3 New starters are inducted into the business, and every site induction is recorded.

Look at: the business induction record for the last three starters; KD-CDM-IN-009

5.4 Toolbox talks are planned and delivered, with signatures.

Look at: the KD-TBT records for the last three months

5.5 Young persons are assessed before they start, and new starters and new or expectant mothers are assessed where the business has them.

Look at: MHSWR 1999 reg 3(4); KD-HR-YP-005 and KD-HR-NM-004 assessments; KD-HSA-YN-018; new starters KD-SITE-NS-006

5.6 Plant operators are assessed and authorised for each machine they operate.

Look at: KD-PLT-OA-011

SECTION TOTAL

OUT OF

SECTION %

6 DO — CONSULTATION AND COMMUNICATION

ITEM — AND THE EVIDENCE TO LOOK AT

SCORE

WHAT WAS SEEN · ACTION NO. · WHY N/A

6.1 The workforce is consulted on health and safety — directly or through representatives — and the records show it.

Look at: KD-HSA-CC-006; KD-CDM-WC-011

6.2 There is a known way for a worker to raise a concern, and concerns get an answer.

Look at: KD-SITE-SO-011 cards and the replies; ask two workers

6.3 Health and safety is an item at company and site meetings, with actions owned.

Look at: KD-SITE-MT-032 minutes

6.4 Information reaches people with limited English or literacy.

Look at: translated briefings, interpreters, pictorial signs — what actually exists

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SECTION TOTAL

OUT OF

SECTION %

7 DO — SUBCONTRACTOR CONTROL

ITEM — AND THE EVIDENCE TO LOOK AT

SCORE

WHAT WAS SEEN · ACTION NO. · WHY N/A

7.1 Subcontractors are checked for skills, knowledge, experience and organisational capability before they are appointed.

Look at: CDM 2015 reg 8(3); KD-SUB-PQ-001 and KD-CDM-SK-008 for three current subcontractors

7.2 Subcontractor insurance and accreditation are current, and expiries are chased.

Look at: KD-SUB-IE-004

7.3 Health and safety conditions go out with every order.

Look at: KD-SUB-HS-002 against three orders

7.4 Subcontractor RAMS are checked and accepted before the subcontractor starts.

Look at: KD-SITE-RR-007

7.5 Subcontractor performance is scored at completion, and the approved list is kept current.

Look at: KD-SUB-PR-005; KD-SUB-AR-003

SECTION TOTAL

OUT OF

SECTION %

8 DO — PLANT, EQUIPMENT, PPE AND HEALTH

ITEM — AND THE EVIDENCE TO LOOK AT

SCORE

WHAT WAS SEEN · ACTION NO. · WHY N/A

CRITICAL — SCORE 2 OR 0 · A 0 FAILS THE AUDIT

8.1 Lifting equipment and accessories the business owns or hires have current thorough examination reports.

Look at: LOLER 1998 reg 9; KD-INS-LE-003

8.2 Plant and equipment is maintained and checked before use, and defective items are quarantined.

Look at: KD-HSA-PE-011; KD-PLT-DQ-012; service records

8.3 PPE is issued and replaced, and RPE wearers are face-fit tested.

Look at: KD-INS-PE-030; KD-OH-RP-004

8.4 Health surveillance is provided where the risk assessments call for it.

Look at: KD-OH-HS-001; the provider's invoices

SECTION TOTAL

OUT OF

SECTION %

CRITICAL ITEMS SCORED 0

9 CHECK — MONITORING

ITEM — AND THE EVIDENCE TO LOOK AT

SCORE

WHAT WAS SEEN · ACTION NO. · WHY N/A

9.1 Sites are inspected at the planned frequency and the actions are closed.

Look at: KD-INS-WS-010 and KD-INS-AR-019 on two sites

9.2 Site audits follow the programme, and the results reach a director.

Look at: KD-AUD-AP-003; the last three KD-AUD-SA-001 reports

9.3 Directors visit sites and record what they saw.

Look at: KD-HSA-MA-007; the visit notes

9.4 Statutory inspections and examinations are tracked with due dates.

Look at: the scaffold, excavation, lifting equipment, LEV and portable appliance registers in the KD-INS range

9.5 Monitoring looks ahead as well as back — active measures such as inspections and audits, not only accident figures.

Look at: HSE HSG65 (3rd edition, 2013) on active and reactive monitoring; what the director is shown each month

SECTION TOTAL

OUT OF

SECTION %

10 CHECK — INCIDENT REPORTING AND INVESTIGATION

ITEM — AND THE EVIDENCE TO LOOK AT

SCORE

WHAT WAS SEEN · ACTION NO. · WHY N/A

CRITICAL — SCORE 2 OR 0 · A 0 FAILS THE AUDIT

10.1 Reportable injuries, diseases and dangerous occurrences are being identified and reported under RIDDOR: a named person decides, and every injury has a decision recorded.

Look at: the KD-SITE-RD-028 decisions against the accident book for the last twelve months; the HSE report references

10.2 The record of each reportable event is kept for at least three years.

Look at: RIDDOR 2013 reg 12(2); the records for the last three years

10.3 Accident book entries are complete and kept securely.

Look at: KD-SITE-AB-025

10.4 Near misses are reported and recorded — the numbers show the system is used.

Look at: KD-SITE-NR-026, counted by month

10.5 Incidents are investigated for immediate, underlying and root causes, with actions owned and closed.

Look at: KD-SITE-IV-027 for the last three incidents

10.6 Lessons reach the workforce — a toolbox talk, a revised RAMS or arrangement.

Look at: the talk record or the revision that followed each investigation

SECTION TOTAL

OUT OF

SECTION %

CRITICAL ITEMS SCORED 0

11 ACT — REVIEW

ITEM — AND THE EVIDENCE TO LOOK AT

SCORE

WHAT WAS SEEN · ACTION NO. · WHY N/A

11.1 The policy and every arrangement have had their annual review within the last twelve months, with each change — or "no change" — recorded.

Look at: KD-HSA-PR-020

11.2 Objectives are set for the year, owned and dated, and last year's are closed.

Look at: KD-HSA-PR-020 sections 4 and 5

11.3 Findings from audits, inspections and investigations have changed RAMS, arrangements or training.

Look at: two findings traced through to the change they caused

11.4 Enforcement notices, insurer surveys and client audit findings are acted on and closed.

Look at: the notices or reports, and the close-out

11.5 The findings of the review are reported to the workforce.

Look at: HSE HSG65 (3rd edition, 2013); the briefing or notice

SECTION TOTAL

OUT OF

SECTION %

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12 RESULT

TOTAL SCORE	OUT OF	PERCENTAGE	CRITICAL ITEMS SCORED 0	PASS MARK (FROM SECTION 1)	LAST AUDIT %

PLAN % (SECTIONS 3–4)	DO % (SECTIONS 5–8)	CHECK % (SECTIONS 9–10)	ACT % (SECTION 11)

PASS — no critical item scored 0, and the percentage is at or above the pass mark
 IMPROVE — no critical item scored 0, but the percentage is below the pass mark and at or above the improve mark
 FAIL — one or more critical items scored 0 (whatever the percentage)
 FAIL — the percentage is below the improve mark

ITEM NO.	WHAT WAS FOUND	IMMEDIATE ACTION TAKEN	BY WHOM	WHEN

GOOD PRACTICE SEEN

ACTIONS RAISED ON KD-INS-AR-019	ENTERED ON KD-AUD-AP-003 (LINE)	REPORT SENT TO DIRECTOR (DATE)	RE-AUDIT BY

13 SIGNATURES

Auditor — I carried out this audit on the date stated and the scores are what I saw:

PRINTED NAME	ROLE	COMPANY	SIGNATURE	DATE	TIME

Director — I have received these findings:

PRINTED NAME	ROLE	COMPANY	SIGNATURE	DATE	TIME

R REVISION HISTORY

Every revision of this document, and every review that found nothing to change. The revision on the front of this sheet is the one you are holding — check kubitdocs.com for the current one before use.

Rev	Date	Class	What changed	Authorised by
D0	2026-09-12	first-issue	First issue.	— not yet approved —
A0	2026-09-12	review	Approved for issue by the author. Content unchanged from the reviewed draft; the draft status strip is removed. No independent third-party review has been carried out.	Author — director, UK principal contractor, SMSTS. Not an independent review.

Class: first-issue · material (the law, a control, a field or the scope changed — past buyers are notified) · editorial (wording or layout only) · review (checked, nothing changed) · withdrawal. Revision prefix D = draft, not approved and not for sale; A = approved for issue by the person named, on the date shown.