

Audit Readiness Checklist

Overview

This checklist is designed to help managers and health and safety leads prepare for internal and external health and safety audits. It ensures that key documentation, practices, and knowledge are in place and demonstrable.

How to use this checklist

Use this checklist as a self-audit tool in the weeks leading up to a scheduled audit or inspection. It is also suitable as a periodic readiness check, even when no formal audit is imminent. Review each section, tick off completed items, and make notes on any gaps or improvements required.

Checklist

Documentation

- H&S policy signed and dated

Notes:

- Latest risk assessments (RA) reviewed and accessible

Notes:

- Training records available (IOSH, toolbox talks, induction)

Notes:

- Maintenance logs and statutory inspections (e.g., LOLER, PUWER)

Notes:

Evidence of Implementation

- Completed safety walk records

Notes:

- Incident reports and follow-up actions

Notes:

- Meeting minutes (safety committees, H&S board reviews)

Notes:

- PPE issuance records

Notes:

Site Readiness

- Emergency plans displayed and drilled

Notes:

- COSHH controls in place and substances labelled

Notes:

- First aid kits stocked and signage visible

Notes:

Staff Interviews

- Are staff aware of their responsibilities?

Notes:

- Can they describe how to report a hazard or incident?

Notes:

- Have supervisors attended Managing Safely?

Notes:

Final notes

Regularly revisiting this checklist can help embed a continuous audit-ready culture and reduce the stress of formal inspections.

Employer Health & Safety Requirements Checklist

For Managers, Senior Leaders & HSE Professionals

Overview

This checklist is designed to help UK employers and responsible persons evaluate their organisation's compliance with core health and safety legislation and best-practice standards. It supports due diligence by helping identify gaps, drive improvements, and demonstrate visible leadership in safety.

It is particularly suitable for:

- Directors and senior leaders
- Health and safety managers and compliance leads
- HR and operations professionals with safety responsibilities

How to use this checklist

- Review each requirement in the checklist and assess your current level of compliance.
- Use the notes section beside each item to record: evidence, responsible persons, and any required actions.
- Revisit the checklist quarterly or as part of your internal audit cycle.
- Use this in management meetings, internal audits, or pre-external inspections.

Recommended: Pair this checklist with audit findings, incident records, and your organisation's risk register.

1. Legal Compliance

Requirement	Status (✓/X)	Notes / Actions
Has your organisation appointed competent health and safety advisors?		
Is your Health & Safety Policy current, signed by leadership, and communicated to all staff?		
Are suitable and sufficient risk assessments in place, covering all activities and updated regularly?		
Do you have effective arrangements for first		

aid, fire safety, and emergency preparedness?		
Is your organisation complying with RIDDOR reporting and other statutory requirements?		

2. Training & Competence

Requirement	Status (✓/X)	Notes / Actions
Have all staff received appropriate training (e.g. IOSH Working, Managing, or Leading Safely)?		
Is refresher or update training scheduled and tracked?		
Are training records stored centrally and monitored for compliance?		
Are key personnel (e.g. first aiders, fire wardens) trained and certified?		

3. Monitoring & Review

Requirement	Status (✓/X)	Notes / Actions
Are scheduled safety inspections and internal audits carried out?		
Are incidents and near misses investigated, with root causes and corrective actions tracked?		
Is safety performance reviewed at senior or board level regularly (e.g. quarterly)?		
Are learnings from incidents communicated across teams?		

4. Worker Engagement

Requirement	Status (✓/X)	Notes / Actions
Are employee safety representatives or committees established and active?		
Are staff consulted on health and safety issues, e.g. through briefings or surveys?		
Is there a process for anonymous reporting of safety concerns or near misses?		

5. Leadership & Culture

Requirement	Status (✓/X)	Notes / Actions
Do senior leaders visibly promote health and safety in their behaviours and		

communications?		
Are there health and safety KPIs or objectives assigned to senior leaders or managers?		
Are health and safety values embedded in company culture, onboarding, and reviews?		

Final notes

This checklist is not a substitute for a full legal compliance review, but it is an effective tool for internal monitoring and leadership engagement. For further guidance or accredited IOSH training tailored to your team, contact Phoenix Health & Safety.

Incident Investigation Step-by-Step Guide

Overview

This guide is designed to support managers, supervisors, and health and safety professionals in conducting structured and objective investigations following workplace incidents. It reflects best-practice methodologies aligned with IOSH guidance and promotes a culture of learning, not blame.

How to use this guide

Follow the steps in this guide immediately after an incident has occurred. Use it in conjunction with your organisation's incident report form and investigation template. Each step helps ensure nothing critical is missed and that the root causes are thoroughly examined.

Investigation steps

1. Secure the scene – Ensure the safety of all involved, prevent further harm, and preserve evidence.
2. Collect information – Interview witnesses, gather documents, take photographs, and check equipment or locations.
3. Establish the facts – Build a timeline of events and a clear narrative of what happened and when.
4. Analyse causes – Apply root cause analysis techniques such as the 5 Whys or the Fishbone Diagram to uncover underlying issues.
5. Identify improvements – Focus on system-level changes, rather than individual blame. Consider training, processes, and equipment.
6. Report and follow up – Document your findings, assign corrective actions, and monitor their completion.

Tip: Remain objective. Investigations should promote a just culture, focusing on improvement, not punishment.

Final notes

Keep records of all investigations and review recurring themes across incidents. Use findings to inform future risk assessments, training needs, and preventive strategies.

Incident Investigation Template

Overview

This template provides a structured tool for capturing and analysing workplace incident data. It is designed to support managers, health and safety leads, and responsible persons in conducting effective investigations that identify root causes, improve safety, and prevent recurrence.

How to use this template

Complete each section as thoroughly as possible. Use this form to document initial observations, immediate responses, detailed findings, root cause analysis, and corrective actions.

Attach any supporting materials (photos, witness statements, relevant policies). Share with relevant departments or authorities as needed.

1. Basic Information

- Date/time of incident:
- Location:
- People involved:

2. Initial Report

- Type of incident:
- Description of what happened:
- Injuries/damage:

3. Immediate Actions Taken

- First aid administered:
- Area secured:
- Notifications made:

4. Investigation Details

- Witness statements:
- Photographic evidence:

- Relevant documentation reviewed:

5. Root Cause Analysis (RCA)

- Immediate cause:

- Underlying causes:

- Systemic issues:

6. Corrective Actions

Action	Person responsible	Deadline	Status

Final notes

Ensure the report is signed off by a competent person or senior manager. Keep this document securely stored in your H&S records. Follow up on all corrective actions until completed. Use trends from incident investigations to inform training, policy changes, or preventive measures.

Risk Assessment Step-by-Step Guide

Purpose:

This guide provides a clear, practical process for managers, supervisors, and health and safety representatives to conduct effective workplace risk assessments. It aligns with the Health and Safety Executive (HSE) 5-step model and supports compliance with UK legislation and best-practice standards.

Who this is for:

- Line managers and team leaders
- Health and safety officers
- Supervisors and safety representatives
- Compliance and operations managers

How to use this guide

This document is designed to be used alongside the Risk Assessment Template provided in the Phoenix H&S Resource Pack. Each step walks you through what to do, what to consider, and how to ensure your assessment is thorough and compliant.

We recommend reading the guide fully before starting your first assessment and keeping it handy as a reference.

Step-by-step process

Step 1: Identify the hazards

- Walk around the workplace and observe the task or environment.
- Speak with workers to understand risks they see.
- Review past incidents, near-misses, and safety inspections.
- Consider all types of hazards: physical, chemical, ergonomic, biological, psychosocial, etc.

Step 2: Decide who might be harmed and how

- Include all individuals affected: employees, contractors, temporary workers, visitors, the public.
- Think about vulnerable groups such as young workers, lone workers, expectant mothers, etc.
- Record how they could be harmed by each hazard.

Step 3: Evaluate the risks and decide on precautions

- Assess likelihood (1–5) and severity (1–5) to generate a risk rating.
- Use a risk matrix to prioritise high risks.
- Consider if existing controls are sufficient.
- Decide on further measures to reduce risk "so far as is reasonably practicable."

Step 4: Record your findings and implement them

- Use the Risk Assessment Template to document:
 - What the hazards are
 - Who might be harmed and how
 - Existing controls
 - Additional controls needed
 - Responsible persons and deadlines
- Make sure the controls are actioned and communicated to staff.

Step 5: Review and update the risk assessment

- Set a review date (e.g. annually or after a change).
- Update sooner if:
 - There's an incident or near-miss
 - Work processes, equipment, or materials change
 - New staff join or legislation updates

Final notes

- Always involve the workforce in the risk assessment process. They often have valuable insight into how tasks are carried out and where improvements are needed.
- Avoid generic assessments - ensure each one is tailored to the specific task or environment.
- Keep risk assessments accessible and clearly communicated to those affected.

For support with risk assessment training, consider [IOSH Managing Safely](#) or [IOSH Working Safely](#) courses available through Phoenix Health & Safety.

Risk Assessment Template

Overview

This risk assessment template is designed to help managers, team leaders, and health & safety professionals carry out structured, effective risk assessments. It aligns with the HSE's 5-step approach and supports compliance with relevant UK regulations.

How to use this template

Use this form to document the assessment of hazards related to specific tasks or processes in your workplace. For each step, involve employees where appropriate, and ensure assessments are reviewed periodically, after incidents, or following significant operational changes.

1. Assessment Information

- Task/Process:
- Assessor:
- Date:
- Review Date:

2. Hazard Identification

Step in Task	Hazard	Who Might Be Harmed	Existing Controls

3. Risk Evaluation

Use a risk matrix to calculate Risk Rating (Likelihood x Severity).

Hazard	Likelihood (1–5)	Severity (1–5)

4. Additional Controls

Hazard	New Controls Needed	Responsible Person	Due Date

5. Sign-off

- Assessor Signature:
- Manager Approval:

Final notes

Ensure that completed risk assessments are easily accessible and communicated to affected staff. Update this document whenever tasks, staff, equipment, or environments change.