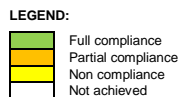


Imperial College London

CORRECTIVE ACTION REPORTS (CAR)

DEPARTMENT OF _____

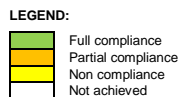
Author
1-31-2017



LEADERSHIP: A1 - HEALTH AND SAFETY POLICY

TO BE COMPLETED BY DEPARTMENT

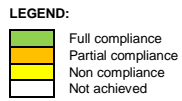
INDICATOR	AUDIT FINDING	HOW WILL DEPARTMENT ADDRESS THIS?	BY WHEN?
BASIC LEVEL OF ASSURANCE <small>All basic indicators must be green before the next assurance level can be attained</small>			
1.1.1 A code of practice (CoP) exists and is up to date.			
1.1.2 The CoP is communicated to relevant persons including staff and students.			
1.1.3 The CoP is signed by the senior manager (if at an institutional level this should be the most senior manager).			
1.1.4 The CoP contains a commitment to compliance with relevant health and safety legislation.			
1.1.5 The CoP contains a commitment to the provision of a safe and healthy working environment.			
1.1.6 The CoP makes a commitment to the prevention of injury and ill health in the workplace.			



LEADERSHIP: A2 – MANAGEMENT COMMITMENT AND ENGAGEMENT

TO BE COMPLETED BY DEPARTMENT

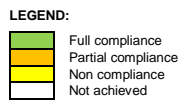
INDICATOR	AUDIT FINDING	HOW WILL DEPARTMENT ADDRESS THIS?	BY WHEN?
BASIC LEVEL OF ASSURANCE <small>All basic indicators must be green before the next assurance level can be attained</small>			
2.1.1 Managers are aware of their responsibilities and legal duties.			
2.1.2 Managers can demonstrate an understanding of the hazards present in the work area for which they are responsible.			
2.1.3 If there are examples of health and safety issues arising, managers have supported the development of a solution in a timely manner.			
2.1.4 Managers attend a meeting or forum at which health and safety issues are discussed.			
2.1.5 Managers provide adequate resources where additional controls are identified through risk assessment or following revisions to guidance and standards.			



LEADERSHIP: A3 – RISK PROFILE

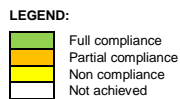
TO BE COMPLETED BY DEPARTMENT

INDICATOR	AUDIT FINDING	HOW WILL DEPARTMENT ADDRESS THIS?	BY WHEN?
BASIC LEVEL OF ASSURANCE <small>All basic indicators must be green before the next assurance level can be attained</small>			
3.1.1 The Head of the Function can describe the significant hazards present within their function.			
3.1.2 The hazards recognized by the Head of the Function are consistent with those dealt with in section D10 (hazard and risk register).			



LEADERSHIP: A4 – OBJECTIVE SETTING (Notation in *purple* indicates audit topic; for 2017, it is College Driving Code of Practice.)
TO BE COMPLETED BY DEPARTMENT

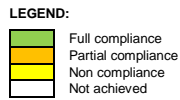
INDICATOR	AUDIT FINDING	HOW WILL DEPARTMENT ADDRESS THIS?	BY WHEN?
BASIC LEVEL OF ASSURANCE <small>All basic indicators must be green before the next assurance level can be attained</small>			
4.1.1 Health and safety objectives are set. <i>Driving policy and COP circulated to staff and discussed at H&S committee; actions recorded, prioritised.</i>			
4.1.2 Managers with health and safety objectives know and understand them. <i>All staff and line managers who drive or direct others to drive to other campuses and workplaces, or use their vehicle for business purposes, understand the insurance and risk assessment requirements.</i>			



LEADERSHIP: B5 – CRITICAL INCIDENT MANAGEMENT

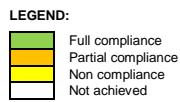
TO BE COMPLETED BY DEPARTMENT

INDICATOR	AUDIT FINDING	HOW WILL DEPARTMENT ADDRESS THIS?	BY WHEN?
BASIC LEVEL OF ASSURANCE <small>All basic indicators must be green before the next assurance level can be attained</small>			
5.1.1 The findings of risk assessments have led to the identification of potential critical incidents.			
5.1.2 Critical incidents have been recognized and are known.			
5.1.3 Staff are aware of the action to take if an emergency occurs.			



LEADERSHIP: B6 – PROCEDURES FOR IMMEDIATE RESPONSE TO BE COMPLETED BY DEPARTMENT

INDICATOR	AUDIT FINDING	HOW WILL DEPARTMENT ADDRESS THIS?	BY WHEN?
BASIC LEVEL OF ASSURANCE <small>All basic indicators must be green before the next assurance level can be attained</small>			
6.1.1 There are procedures to deal with critical incidents in the area.			
6.1.2 There is equipment available to deal with any identified emergencies.			
6.1.3 Staff have been trained to respond to emergencies.			



LEADERSHIP: B7 – PROCEDURES FOR RECOVERY TO BE COMPLETED BY DEPARTMENT

INDICATOR	AUDIT FINDING	HOW WILL DEPARTMENT ADDRESS THIS?	BY WHEN?
BASIC LEVEL OF ASSURANCE <small>All basic indicators must be green before the next assurance level can be attained</small>			
7.1.1 There are procedures for recommencement of work following an emergency.			
7.1.2 Arrangements are in place to notify staff of the procedures for recovery.			
7.1.3 There is a method of recording the nature of the emergency and the outcomes.			