

## Section 3A Manual Handling Audit Tool

### Introduction

The purpose of the audit tool is to ensure that participating organisations can demonstrate compliance with the principles and guidance in the Scottish Manual Handling Passport Scheme (SMHPS). Although participation in the SMHPS is not compulsory, implementation of the guidance contained in it may be taken into account by health and safety inspectors when seeking demonstrations of compliance with the relevant legal requirements.

The audit tool may be used to audit the whole organisation or an individual service. The audit should be conducted by a competent person from within the organisation with knowledge of manual handling (MH), or by an External or Internal Auditor appointed by the organisation. If a competent auditor with no knowledge of MH is conducting the audit, a person from the organisation knowledgeable in MH should be present. The requirement to complete audits of Section 1, 2 and / or 3 of the audit tool is dependent on the nature of the audit and the circumstances in which it is being undertaken. For example, an audit of the training department by a competent person from within the organisation might only involve completion of the audit tool for Section 2, whereas the audit tool for all 3 Sections might be appropriate for an audit of the organisation by an External Auditor.

### Administration details

1. Organisation	NHS Board Exemplar		Date of Audit	01/07/2017		
2. Type of Audit (please tick one)	(i) external audit	<input type="checkbox"/>	(ii) internal audit	<input checked="" type="checkbox"/>	(iii) local (organisation)	<input type="checkbox"/>
a) Audit organisation (if external):	N/A					
b) Name of auditor:	Person identified by Organisation to undertake audit	Signature:				
c) Designation of Knowledgeable Person:	Organisations M&H knowledgeable person					
d) Name of Knowledgeable Person:	Auditor and knowledgeable person may be the same	Signature:				
3. Scope of audit (Please tick one)	(i) Organisation	<input checked="" type="checkbox"/>	(ii) Part of Organisation	<input type="checkbox"/>	(iii) Local Department	<input type="checkbox"/>
If 3ii (Part of Organisation) or 3iii (Local Department), please give details:	N/A					

## Audit tool for Scottish Manual Handling Passport Scheme

1	<b>The organisation has documented management arrangements in place to adequately control the risks from manual handling (MH) activities and there is management commitment and support to implement the MH strategy</b>		
1.1	The organisation has their MH management arrangements documented and this complies with current legislation and guidance <b>Example of evidence:</b> <ul style="list-style-type: none"> <li>• Current MH policy or procedure including key elements outlined in SMHPS policy framework</li> </ul> <p style="text-align: right;"><i>Reference section 1.1 and 1.2</i></p>	<b>Compliance</b>	<b>Comments</b>
1.2	The MH management arrangements are communicated at all levels. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Organisational/ local induction</li> <li>• Training</li> <li>• Intranet/locally held policies</li> <li>• Quarterly / annual reports to Board Level / Senior Management Teams</li> <li>• Health and Safety Committee</li> <li>• Risk Management Committee</li> <li>• Confirmed in discussion with employees</li> </ul> <p style="text-align: right;"><i>Reference section 1.1</i></p>	Yes	Evidence 1 - Policy provided on Organisations internet webpages - Policy communicated through H&S committees and operational management distribution list for dissemination - Arrangements communicated via various training modalities including elearning, foundation training, coaching etc
		Yes	Evidence 1 - Moving and Handling Policy approved by appropriate organisational forum and Senior Manager / Director  <b>The evidence documentation referred to here, is attached separately in the 'Evidence Record' form.</b>

<b>2 The organisation identifies competent individuals to undertake key MH roles</b>			
<b>2.1</b>	Person(s) undertaking key MH roles at strategic, organisational and / or local level are identified  <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>MH management arrangements identify responsible person(s)</li> <li>The roles are clearly defined through eg job description, role profiles or procedural arrangements</li> </ul> <p style="text-align: right;"><i>Reference section 1.1, 1.2 and 3B.2</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 1, see section 5 Evidence 2 - Job descriptions of central M&H Team
<b>2.2</b>	Person(s) undertaking key MH roles meet the relevant competency criteria detailed in Section 3B.2  <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>System in place for ensuring competence of those undertaking key MH roles as detailed in Section 3B.2</li> </ul> <p style="text-align: right;"><i>Reference section 1.1 and 3B</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 3 - Mapping of Job Roles to SMHPS Competencies and identified evidence against each
<b>3 The organisation allocates sufficient resources to implement, develop and deliver the MH education strategy in line with the MH management arrangements</b>			
<b>3.1</b>	There is access to sufficient MH practitioners to deliver the MH strategy.  <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>MH management arrangement documentation</li> <li>Job descriptions / role profiles</li> <li>The strategy is being delivered timeously</li> <li>Evidence of workplace MH practitioners eg link workers, key workers</li> </ul> <p style="text-align: right;"><i>Reference section 1.1, 1.2 and 1.7</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 1, see section 6 and 2

<b>3.2</b>	<p>There is a maximum ratio of 1 trainer to 8 trainees (or 2:16) for practical people handling sessions and 1 to 10 for inanimate load handling sessions.</p> <p><b>Examples of evidence:</b></p> <ul style="list-style-type: none"> <li>• Trainer notes</li> <li>• Training procedure / risk assessments</li> <li>• Attendance sheets</li> <li>• Training programmes / course plans</li> </ul> <p style="text-align: right;"><i>Reference section 1.4</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 1 - see section 6 Evidence 4 - Analysis of training records
<b>3.3</b>	<p>Sufficient and appropriate equipment and training resources are provided to support the SMHPS training requirements.</p> <p><b>Examples of evidence:</b></p> <ul style="list-style-type: none"> <li>• Appropriate training venue</li> <li>• Equipment inventory and LOLER documentation</li> <li>• MH management arrangement documentation / training records</li> </ul> <p style="text-align: right;"><i>Reference section 1.1 and 1.4</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 5 - Equipment inventory

<b>4</b>	<b>The organisation has systems in place to assess the risks arising from MH activities and to identify control measures</b>		
<b>4.1</b>	<p>A clear documented process for recording MH risk assessments and outcomes</p> <p><b>Examples of evidence:</b></p> <ul style="list-style-type: none"> <li>• Management arrangements describing MH risk assessment process</li> <li>• MH risk assessment documentation in place and meets minimum criteria in section 3C</li> <li>• Completed risk assessments and resultant safe systems of work</li> </ul> <p style="text-align: right;"><i>Reference section 1.1, 1.2 and 3C</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 1, see sections 3, 4.5, 5.3 and appendix 2

4.2	<p>There is clear delegation of MH risk assessment responsibilities</p> <p><b>Examples of evidence:</b></p> <ul style="list-style-type: none"> <li>• Management arrangements identify delegated responsibilities</li> <li>• System in place for ensuring competence of those undertaking MH risk assessment roles as detailed in Section 3B.2</li> </ul> <p style="text-align: right;"><i>Reference section 1.1, 1.2 and 3B.2</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 1 - see section 5

<b>5</b>	<b>The organisation has systems to identify learning needs of employees including a suitable and sufficient education programme to address needs identified</b>		
5.1	<p>A suitable and sufficient education programme as informed by the SMHPS has been developed.</p> <p><b>Examples of evidence:</b></p> <ul style="list-style-type: none"> <li>• MH education strategy</li> <li>• Education programme for those undertaking key MH roles at local level eg MH risk assessors</li> <li>• Training course plans / bookings on internal training course management systems</li> </ul> <p style="text-align: right;"><i>Reference section 1.1</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 1 - See section 6 Evidence 6 - M&H Education overview
5.2	<p>The organisation has an established process in place to ensure that new start employees do not undertake any higher risk handling activities until it has been identified whether they have undertaken foundation training.</p> <p><b>Examples of Evidence:</b></p> <ul style="list-style-type: none"> <li>• Process identified within management arrangements</li> <li>• Induction record documentation (eg appendix 8)</li> <li>• Training records</li> </ul> <p style="text-align: right;"><i>Reference section 1.1 and 1.4</i></p>	Yes	Evidence 1, see section 6.3 Evidence 7 - Induction Checklist

<b>5.3</b>	Systems to identify learning needs of employees. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Appropriately completed risk assessments</li> <li>• Audit reports</li> <li>• MH competency assessments / self assessments</li> <li>• Evidence of advice sought and actions taken</li> </ul> <p style="text-align: right;"><i>Reference section 1.1 and 1.4</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 8 - Competency assesment record form Evidence 9 - Competency assessment criteria Evidence 10 - Self assessment record form
<b>5.4</b>	The organisation ensures that contracted external training providers (where used) meet the SMHPS standards. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Contractual / service level agreement</li> <li>• Documentary evidence from training provider</li> </ul> <p style="text-align: right;"><i>Reference section 1.6</i></p>	N/A	Not Applicable - no external training providers used

<b>6</b>	<b>The organisation records training in line with the SMHPS</b>		
<b>6.1</b>	Employee's attendance at MH education is recorded. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Attendance Records</li> <li>• Course cancellation records</li> <li>• Failure to attend records</li> </ul> <p style="text-align: right;"><i>Reference section 1.5</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 11 - Traing attendance record form.
<b>6.2</b>	Training is planned and recorded with reference to the guidance outlined in the SMHPS. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Training records meet the minimum criteria of the SMHPS</li> <li>• Process for nominating employees onto training courses</li> <li>• System for recall and update training</li> <li>• Lesson plans and handouts</li> </ul> <p style="text-align: right;"><i>Reference section 1.5 and 3C</i></p>	Yes	Evidence 12 - Training record of course content

<b>6.3</b>	There is a system in place to monitor and feedback training attendance, non-attendance and non-achievement of the learning outcomes within the organisation <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Risk Management Committee minutes</li> <li>• Health and Safety Committee minutes</li> <li>• MH Committee minutes</li> </ul> <p style="text-align: right;"><i>Reference section 1.5</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 13 - SOP for course non-attendance / non-completion
<b>6.4</b>	The organisation retains evidence of trainees' attendance at foundation training modules to enable transfer of information between participating organisations: <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Electronic or paper passport documents</li> <li>• Reference to passport document within employee induction literature</li> </ul> <p style="text-align: right;"><i>Reference section 1.5 and 3C</i></p>	Yes	- Electronic record on Empower, can be provided on request

<b>7</b>	<b>The organisation has systems to audit, monitor and review MH incidents and practices</b>		
<b>7.1</b>	Suitable arrangements are in place to monitor practices within the workplace. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Appropriately completed risk assessments</li> <li>• Audit reports</li> <li>• MH competency assessments</li> <li>• Evidence of advice sought and actions taken</li> </ul> <p style="text-align: right;"><i>Reference section 1.1 and 1.7</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 6, 8 and 9

7.2	Adverse incidents that result as a consequence of MH tasks or activities are reported, investigated, reviewed, and appropriate action taken, with lessons learnt communicated.	Outcome	Comments
	<p><b>Examples of evidence:</b></p> <ul style="list-style-type: none"> <li>• Completed incident and RIDDOR reports</li> <li>• Investigation / lessons learnt reports</li> <li>• Unit / department / team meeting minutes</li> <li>• Health and safety committee minutes</li> <li>• Risk registers / action plans</li> </ul> <p style="text-align: right;"><i>Reference section 1.1 and 1.8</i></p>	Yes	Evidence 14 - Quarterly management report
7.3	<p>There is a support network within or available to the organisation for access by managers and employees which:</p> <ul style="list-style-type: none"> <li>• Supports MH education provided</li> <li>• Allows for monitoring of practice in the workplace</li> <li>• Allows for provision of advice for more complex handling situations</li> <li>• Enables employees to undertake safe practice</li> </ul> <p><b>Examples of evidence:</b></p> <ul style="list-style-type: none"> <li>• Identified competent person(s) employed by the organisation to provide MH support and advice</li> <li>• Identified competent external person/agency contracted by the organisation to provide MH support and advice</li> <li>• Evidence of competent workplace employees with enhanced MH skills / knowledge eg link workers, key workers</li> </ul> <p style="text-align: right;"><i>Reference section 1.1 and 1.7</i></p>	Yes	Evidence 1, section 5.5-7



<b>7.4</b>	A system is in place to audit and review the MH management arrangements and to ensure compliance with SMHPS guidance <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>Completed MH management arrangement audits</li> <li>Completed SMHPS Compliance Audits</li> <li>MH management arrangements outline process</li> </ul> <i>Reference section 1.1 and 1.8</i>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 15 - SMHPS completed audit form

<b>8</b>	<b>The organisation has provided foundation training that meets the aims &amp; learning outcomes specified within the SMHPS</b>		
<b>8.1</b>	Length of training is commensurate with time scales set against each module. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>Training plans meet minimum suggested module delivery time as per SMHPS</li> </ul> <i>Reference section 2.2 to 2.7</i>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 16 - Foundation training timetable
<b>8.2</b>	There is a process in place to ascertain individuals fitness to engage in the practical aspects of training prior to participating <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>Health questionnaires</li> <li>Annual health and safety report</li> <li>Training risk assessment</li> <li>Trainer training plans outlines this requirement</li> </ul> <i>Reference section 1.5 and 3C</i>	Yes	Evidence 12
<b>8.3</b>	Foundation training contains standard elements as per SMHPS modules, as appropriate to needs. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>Training / module plans / records</li> </ul> <i>Reference section 2.2 to 2.7</i>	Yes	Evidence 12

<b>9</b>	<b>The organisation has implemented a system of assessment of competence and / or formal refresher/update education where the MH risk assessment has identified MH education as a control measure.</b>		
<b>9.1</b>	Formal refresher/update education programme or competence assessment occurs at appropriate time intervals. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Organisation or local risk assessments</li> <li>• MH education strategy</li> <li>• Training records</li> </ul> <i>Reference section 2.8</i>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 6
<b>9.2</b>	Systems are in place to assist in the identification of specific gaps in an individuals knowledge / skills which influences the need for refresher / update education. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Self assessment documentation</li> <li>• Induction record</li> </ul> <i>Reference section 1.4 and 2.8</i>	Yes	Evidence 7, 8, 9 and 10
<b>10</b>	<b>The organisation has appropriate MH documentation that meets the minimum criteria identified in the SMHPS</b>		
<b>10.1</b>	The organisation's MH documentation meets the minimum criteria in the SMHPS. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• Attendance and/or Record of Training documentation</li> <li>• MH risk assessment documentation</li> </ul> <i>Reference section 3C</i>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 7, 8, 11 and 12 Evidence 17 - Passport booklet / Certificate of training Evidence 18 - Individual assessment forms

<b>10.2</b>	The documentation is completed accurately. <b>Examples of evidence:</b> <ul style="list-style-type: none"> <li>• A random sample of Attendance Records are audited</li> <li>• A random sample of Records of Training are audited</li> <li>• A random sample of MH risk assessments are audited as per organisational guidance</li> </ul> <p style="text-align: right;"><i>Reference section 3C</i></p>	<b>Outcome</b>	<b>Comments</b>
		Yes	Evidence 19 - audit template and SOP

### Scoring methodology

1. The assessors will indicate their assessment of compliance with each of the various 'Areas', by ticking 'Yes', 'No' or 'Partial'. Where more than one element of evidence has been reviewed each of these elements will contribute to the assessment mark for each area of assessment. A 'Not Applicable' mark (N/A) in Section 5.4 should be scored the same as for a 'Yes'.
2. The allocation of scores for each of the 'Areas' will then be made by the assessor, based on the assessments of compliance and the associated comments. The scoring will be: **Yes or N/A = 2 / Partial = 1 / No = 0**
3. On completion of the audit the scores should be transferred to the Scoring Table

### Scoring table

	Score	Max score	%		Score	Max score	%		Score	Max score	%		Score	Max score	%
<b>1</b>	4	4	<b>100</b>	<b>2</b>	4	4	<b>100</b>	<b>3</b>	6	6	<b>100</b>	<b>4</b>	4	4	<b>100</b>
<b>5</b>	8	8	<b>100</b>	<b>6</b>	8	8	<b>100</b>	<b>7</b>	8	8	<b>100</b>	<b>8</b>	6	6	<b>100</b>
<b>9</b>	4	4	<b>100</b>	<b>10</b>	4	4	<b>100</b>	<b>TOTAL</b>				<b>56</b>	<b>56</b>	<b>100</b>	

## Scoring guidelines for manual handling compliance audit

The table below gives guidance on identifying the overall 'Audit Response Score' as identified by the 'Total' percentage score:

Response	Score	Rationale
<b>Nil Compliance</b>	0%	<ul style="list-style-type: none"> <li>No compliance anywhere in the organisation with any of the requirements set by the criterion.</li> </ul>
<b>Partial - Low Compliance</b>	1 - 29%	<ul style="list-style-type: none"> <li>A low degree of organisation wide compliance with the requirements set by the criterion</li> <li>Demonstrable evidence that a start has been made towards compliance in some or all parts of the organisation</li> <li>Percentage of compliance based on professional judgement by competent persons as part of the self-assessment process</li> </ul>
<b>Partial - Moderate Compliance</b>	30 - 69%	<ul style="list-style-type: none"> <li>A moderate degree of organisation wide compliance with the requirements set by the criterion</li> <li>Demonstrable evidence that work is ongoing across most parts of the organisation to achieve compliance, though some directorates or departments may be in the very early stages of compliance</li> <li>Percentage of compliance based on professional judgement by competent persons as part of the self-assessment process</li> </ul>
<b>Partial - High Compliance</b>	70 - 99%	<ul style="list-style-type: none"> <li>Substantive organisation wide compliance with all requirements set by the criterion</li> <li>Demonstrable evidence that most parts of the organisation are meeting most of the requirements set by the criterion</li> <li>Only minor non-compliance requiring, in the main, minor action</li> <li>Percentage of compliance based on professional judgement by competent persons as part of the self-assessment process</li> </ul>
<b>Full Compliance</b>	100%	<ul style="list-style-type: none"> <li>Full compliance across the whole organisation with all requirements set by the criterion.</li> </ul>

The scoring of the audit is important to provide a robust indication of overall compliance for benchmarking purposes and for demonstrating improvement over time. At the same time, it is important to recognise that it is the action planning and implementation processes resulting from self assessment against the audit that dictates its success. Therefore, when auditors are presenting their reports recommendations should be provided identifying what actions are required.