

LA AUDIT ASSISTANCE SURVEY: Pre-survey checklist

The items below will be asked about during the Audit Assistance Survey. This document can be used as a checklist to help prepare and to reduce time taken on the day of the survey.

For an Excel Version of this sheet please email schools.auditsurveys@ealing.gov.uk

Information Requested During Survey:

School or Centre Suppliers:

The name of the company that the school or centre engage, not the sub-contractor. **The survey will be pre-populated with suppliers from 2019, so you only need to note those which have changed.**

Support Surveyor:		if applicable
Mechanical:		
Legionella Testing:		
Drinking Water Quality Tests:		
Electrical:		
Lifts:		if applicable
Fire Alarm:		
Portable Fire Equipment:		
Intruder Alarm:		if applicable
CCTV Maintenance:		if applicable
Access Control:		if applicable
Grounds Maintenance:		if applicable
Cleaning:		
Catering:		
Playground Equipment:		if applicable
PE Equipment:		if applicable
Insurance:		

LA AUDIT ASSISTANCE SURVEY: Pre-survey checklist

Compliance Section:

Below are the questions asked in relation to compliance and best practice. Not all questions will be applicable for every site.

Document dates will be requested where applicable so please have files/folders ready for the surveyor.

Bold question numbers indicate a weighted question i.e. given a higher score than others. A typical example is question 1.02 which will be worth appr. 2% rather than the standard appr. 1%. **Blue text** indicates a change.

Asbestos	Yes, No or n/a	Date
1.01 Does the Sch/Centre have a management (formerly type 2) asbestos survey?		
1.02 Does the Sch/Centre have an asbestos management plan including asbestos register?		Annual review
1.03 Is the management plan reviewed when new surveys or asbestos removals take place?		Annual review
1.04 Are the Sch/Centre aware that a 'refurbishment and demolition survey' should be carried out for some types of works?		
1.05 Are all staff and contractors made aware of asbestos locations (via management plan)?		
1.06 Does the Sch/Centre have a trained, nominated 'Responsible Person'? If yes, who is it?		
Legionella	Yes, No or n/a	Date
2.01 Does the Sch/Centre have an up to date Legionella Risk Assessment?		2 years (review)
2.02 Are there written precautions for controlling the risk? Who does what, how often and preferably, where?		
2.03 Does the Sch/Centre have a dedicated Water Safety or Legionella Logbook? Including precautions, water testing, temperature checks, any other recommended actions and remedial works if applicable.		
2.035 Have high priority recommendations in the Legionella Risk Assessment been completed or planned?		
2.04 Are records of thermostatic mixing valve (TMV) maintenance held on site? Can include removal and cleaning. Follow manufacturer instructions.		Annual
2.05 Does the Sch/Centre have records of monthly temperature readings for sentinel taps, sentinel TMVs or sentinel locations? TMVs must have inlets checked if they are sentinel.		Monthly
2.055 Does the Sch/Centre have a list of hot and cold sentinel locations and is it checked when temperature readings are taken?		Not a scoring question
2.06 Does the Sch/Centre have a trained, nominated 'Responsible Person'? If so who is it?		
COSHH	Yes, No or n/a	Date
3.01 Does the Sch/Centre have a regularly reviewed COSHH risk assessment? Or collection of risk assessments.		Annual review
3.02 Are substances suitably stored and labelled? e.g. Locked store room(s) with COSHH register/data sheets.		
3.03 Has the Sch/Centre a nominated a trained, competent person(s) for COSHH? If so who is it?		

LA AUDIT ASSISTANCE SURVEY: Pre-survey checklist

Roof Safety and Maintenance		Yes, No or n/a	Date	
4.01	If the Sch/Centre has harness anchor bolts or roof fall arrest systems; are they maintained in accordance with manufacturer recommendations?			Annual
4.02	Does the Sch/Centre have records of general roof maintenance including checking of gutters, gullies rooflights etc? No set frequency.			No set frequency
4.03	Does the Sch/Centre have a roof access procedure or relevant risk assessments and safe systems for working at height?			Annual review
General		Yes, No or n/a	Date	
5.01	Does the Sch/Centre have a system for completing and recording premises inspections to identify health & safety, security and maintenance issues?			No set frequency
5.02	Does the Sch/Centre have an adequate system for reporting and tracking defects and breakages?			No set frequency
5.03	Does the Sch/Centre have records of inspection for play and gymnasium equipment? (Annual inspections by a specialist contractor (for some Ealing insured schools the insurance dept can or do arrange).			Annual
5.04	Does the Sch/Centre have a system for organising and managing risk assessments for site management activities? e.g. retrieving items from roof, lone working, display screen (DSE), manual handling.			No set frequency
5.05	If the Sch/Centre has a kiln installed, do they have records of regular maintenance?			Annual
5.06	Are records of maintenance for laboratories, home economics and/or workshops held on site? Including safety isolation and servicing.			Annual
5.07	Does the Sch/Centre regularly check operation of pull cord alarms? e.g. in disabled toilets			No set frequency
5.08	Is appropriate hazard and advice signage in place? e.g. Hot water, drinking water, electricity, hazard signs, no entry.			No set frequency
5.09	Is the Sch/Centre aware that they should inform Ealing Council if they plan to make alterations to council buildings? For maintained schools.			Not a scoring question
Accidents and First Aid		Yes, No or n/a	Date	
6.01	Has a first aid risk assessment or equivalent been carried out and adequate training and provisions supplied?			Annual review
6.02	Are records of accidents and near misses kept and are staff aware of the recording procedures?			
Lifting Equipment Installation(s)		Yes, No or n/a	Date	
7.01	If the Sch/Centre has operational lifts, dumb waiters or hoists, are maintenance log card/book(s) on site and used correctly?			6 months
7.02	Are the lifts or hoists maintained in accordance with manufacturer recommendations and records kept?			6 months
7.03	Have any defects identified by the lift maintenance been corrected and documented?			
7.04	If the Sch/Centre has any lifts or lifting equipment, is there a procedure and training for emergency situations such as the failure of the lift whilst occupied?			

LA AUDIT ASSISTANCE SURVEY: Pre-survey checklist

Site Attendance/Visitors		Yes, No or n/a	Date
8.01	Does the Sch/Centre have a site attendance system or book for visitors and contractors?		
8.02	Is it used correctly? (Did Surveyor sign in on the survey day?) This question cannot be updated in the update period.		
Site Specific Critical Incident Plan		Yes, No or n/a	Date
9.01	Does the Sch/Centre have a critical incident plan? (bomb scares, floods, security incidents etc)		Annual review
9.02	Has the plan been brought to the attention of all relevant employees?		
Fire Procedures		Yes, No or n/a	Date
10.01	Does the Sch/Centre have an annually reviewed Fire Risk Assessment (FRA)?		Annual review
10.02	Have the recommendations of the Fire Risk Assessment been reviewed and appropriate actions been taken?		
10.03	Does the Sch/Centre have site specific emergency (fire) evacuation plan (including personal emergency evacuation plans for individuals who may require additional assistance)?		Annual review
10.04	Is appropriate advisory signage in place including emergency exit signs and assembly points?		
10.05	Does the premises have a fire alarm logbook? Required in BS5839-1:2017		Not a scoring question
10.06	Is there an up to date copy of the 6 monthly specialist contractor fire alarm maintenance records on site? BS5839-1:2017		6 monthly
10.07	Has the fire alarm been regularly tested (weekly) and records kept? BS5839-1:2017		Weekly
10.08	Are records of annual fire extinguisher maintenance held on site? Service sheets should identify which items were checked/faulty/replaced.		Annual
10.09	Does the Sch/Centre have current records of inspections of fire doors (inspection of seals, door leaf condition, closing and release mechanisms, gaps between leaf and frame)? BS9999 2017		6 monthly
10.10	If the Sch/Centre has a sprinkler system installed, is the system maintained correctly and a log of maintenance kept? Also likely to be monthly, quarterly and annual maintenance. BS EN 12845:2015		6 monthly
10.11	If the Sch/Centre has a sprinkler system installed, does a suitably trained person complete and record the weekly checks? This may include water motor alarm test, water and air pressure checks, pump starting test and diesel engine restarting test. BS EN 12845:2015		Weekly
10.12	Have fire/emergency evacuation drills taken place?		Each term
10.13	Are a sufficient number of staff trained to deal with emergency evacuations and have roles been defined? i.e. Incident controllers, fire marshals.		
Security Systems		Yes, No or n/a	Date
11.01	Does the Sch/Centre have records of intruder alarm maintenance?		6 monthly
11.02	Does the Sch/Centre have records of access control system maintenance?		Annual
11.03	Does the Sch/Centre have records of CCTV systems maintenance?*		Annual
11.04	If the Sch/Centre has security panic alarms (hand held or push button), do they have records of testing?		Annual

LA AUDIT ASSISTANCE SURVEY: Pre-survey checklist

Emergency Lighting		Yes, No or n/a	Date
12.01	Does the Sch/Centre have emergency lighting test records on site? (Monthly short duration test usually by the Sch/Centre or contractor, all luminaires.) BS5266-8 BS EN 50172:2004		Monthly
12.02	Have emergency lighting installations been service/maintained by a specialist contractor? Full duration, all luminaires. BS5266-8 BS EN 50172:2004		Annual
12.03	Does the Sch/Centre have an emergency lighting logbook? Required in BS5266-8 BS EN 50172:2004.		
Heating and Hot Water Installations		Yes, No or n/a	Date
13.01	Does the Sch/Centre have records on site of main heating gas boiler(s) maintenance / servicing?		Annual
13.015	Does the servicing of gas boilers include safety checks of elements such as pipework, ventilation and gas tightness? Must be itemised on service sheets or separate paperwork.		
13.02	Does the Sch/Centre have records of remedial works or planned remedial works that resulted from the heating and hot water servicing?		
13.03	Does the Sch/Centre have records of hot water cylinder (calorifier) maintenance?		Annual
Gas Installations		Yes, No or n/a	Date
Does the Sch/Centre have records of gas appliance inspection and/or maintenance for:			
14.01	Standalone/domestic boilers and hot water heaters?		Annual
14.02	Design Technology, Science, Food Technology?		Annual
14.03	Catering? Gas safety inspection.		Annual
14.04	Caretaker's dwelling? Annual gas safety certificate.		Annual
Air Conditioning & Ventilation Systems		Yes, No or n/a	Date
15.01	Does the Sch/Centre have a record of regular inspections & maintenance for air conditioning units that comply with F-Gas regulations?		Annual
15.02	Have air conditioning systems with an output greater than 12kW been inspected by an energy assessor?		5 years
15.03	Are records of general ventilation maintenance (e.g. supply and extract fans, air handling units) available?		Annual
15.04	Are records of kitchen extract maintenance held on site? To TR19 standard. Largely cleaning but some systems may require other maintenance. CoSHH regs.		Annual
Electrical Installations		Yes, No or n/a	Date
16.01	Does the Sch/Centre have an Electrical Installation Condition Report? * Please see the note below.		No set frequency
16.02	Have the recommendations of the above testing been completed or are they planned for the next available opportunity (in particular C1 and C2 items)? Records of work, minor works certificate.		
16.03	In addition to formal periodic inspections, are routine checks carried out? (IET Guidance Note 3).		No set frequency

LA AUDIT ASSISTANCE SURVEY: Pre-survey checklist

Other Electrical Testing		Yes, No or n/a	Date
17.01	Does the Sch/Centre have a valid record of electrical appliance risk assessment and testing (including PAT)?		Annual or risk assessee
17.02	Does the Sch/Centre have a current record of annual lightning protection system testing?		Annual
Insurance and Thorough Inspections		Yes, No or n/a	Date
18.X	Does the Sch/Centre have correct information to access the HSB Haughton (insurance) document portal?		Not a scoring question
18.01	Does the Sch/Centre have insurance inspection records for boilers? Separate to maintenance inspections. May be required by insurance. Not statutory.		Annual
18.02	Does the Sch/Centre have thorough inspection records for pressure systems? Separate to maintenance inspections. Sometimes arranged by insurance department. PSSR regulations.		Annual
18.03	Does the Sch/Centre have a valid 'Written Scheme of Examination' for pressure systems? Sometimes arranged by insurance dept. PSSR regulations.		
18.04	If the Sch/Centre has lifts and/or lifting equipment and/or hoists FOR PEOPLE , have they had six monthly thorough inspections by a competent person? LOLER regulations. Sometimes arranged by insurance dept but school likely to be responsible.		6 months
18.05	If the Sch/Centre has lifting equipment for goods or items OTHER THAN people , have they had annual thorough inspections by a competent person? LOLER regulations. Sometimes arranged by insurance dept but school likely to be responsible.		Annual
18.07	Are records of thorough inspections of fume cupboards on site? Separate to maintenance. CoSHH regulations. LEV inspection.		14 months
18.08	Have remedial actions from thorough/insurance inspections been reviewed?		Not a scoring question
Energy Monitoring & Sustainability (Not a scoring section)		Yes, No or n/a	Date
19.01	Is the Sch/Centre aware of their requirements for Display Energy Certificates?		
19.02	Does the Sch/Centre monitor energy usage (meter readings on a monthly basis, AMRs etc) ?		
19.03	Are there any sources of sustainable energy generation (i.e. Solar, Heat Pumps, Wind turbines etc.)? (If yes please enter details below including installation date)		
19.04	Does the school know how much energy their PV/solar panels are producing? And if not, do they know how to get the information?		
19.05	Are there any energy saving initiatives currently in operation at the Sch/Centre? (If yes please enter details below)		
Swimming/Hydrotherapy Pools		Yes, No or n/a	Date
20.01	If the Sch/Centre has a pool, do they have a documented pool risk assessment?		Annual
20.02	If the Sch/Centre has a pool, do they have documented pool specific emergency procedures?		Annual
20.03	Is there a named nominated competent person for dealing with the pool water treatment? If yes who is it?		
20.04	Is appropriate personal protective equipment (PPE) available for persons dosing the pool water?		
20.05	Does the Sch/Centre document and undertake daily and weekly water quality testing?		
20.06	Are there appropriately documented COSHH assessments for the chemicals used for treating the pool water?		



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Questions highlighted in green:	Those items highlighted in green may be the responsibility of the school rather than the facilities or building management.
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Section 16 Note

** It's not always possible for the audit surveyor to ascertain compliance in this section due to the risk based guidance available. The current guidance for periodic testing (IET Guidance Note 3) suggests that frequency of formal inspections should be based on available information and history of the installation. It is recommended that schools ask their contractor how their maintenance regime complies with Guidance Note 3; this should be requested in writing.*

*** Electrical installations should not be left without any attention for the periods of years that are normally allowed between formal inspections. Therefore, supplementary routine checks should be completed at appropriate frequencies. These checks need not being carried out by an electrically skilled person.*

School Notes:
