

Annex 1 - Inspection topic pack, section 7: Inspector checklist

The Initial Enforcement Expectation (IEE) in the checklist is a guide only. Enforcement should be in accordance with current enforcement policy. The checklist is not intended to cover all work at height issues and inspectors should be aware of this during visits.

Questions identified with either **(IN or PN)** indicate Improvement Notice or Prohibition Notice

Risk Control Indicator 1		
Identification	YES	NO
Has the duty holder identified activities and precautions involving work at height. Has the hierarchy been considered when identifying such activities and precautions?		
Has the duty holder considered work at height conducted by peripatetic workers? Are appropriate precautions provided including arrangements for supervision and training in the use of equipment?		
Has the duty holder carried out a risk assessment and identified work at height activities and appropriate precautions, including work, which is incidental or ancillary to the main activity? (See template Notice 1) [NB: <i>Formal enforcement action should be taken where activities present a significant risk</i> (IN)]		

Fragile Surfaces		
Has the duty holder identified fragile surfaces on site (e.g. asbestos cement roof sheets, plastic sheets, roof lights, bridged materials in silos, crusted surfaces of sludge lagoons etc) and have suitable precautions been identified for any work on or near fragile surfaces and to prevent inadvertent access onto them?		
Is access to fragile surfaces prohibited except under controlled conditions (e.g. governed by a permit to work system)?		
How are fragile roofs/gutters cleaned?		
Work is being carried out on or near to fragile surfaces and guardrails, coverings or other suitable precautions have not been provided. (PN)		
Are warning signs fixed at the approach to fragile roofs when access is needed or foreseeable e.g. cleaning valley gutters? (PN)		

Risk Control Indicator 2		
Equipment		
General		
Does the duty holder have a system in place to ensure that appropriate access equipment is selected for working at height given the circumstances of the job? Risk assessment should consider factors such as the duration, complexity of the work, conditions of the surface etc. when selecting suitable work equipment.		
Have people who are expected to use work equipment received appropriate instructions and training in how to use it safely?		
Is work equipment appropriately inspected and maintained?		
Work at height is being carried out and there are no precautions against falling and there is a risk of a person falling a distance liable to cause personal injury. (PN)		
Evidence indicates work at or near open edges will be done where a person could fall a distance liable to cause personal injury e.g. at a mezzanine floor/storage area above an office. There are no precautions against falling from an edge. (IN)		

Edge Protection		
Guard rails, mid rails toe boards or similar barriers should be rigid enough to prevent a person or materials falling and their dimensions should comply with current standards		

Stairs		
Provided with robust handrails? (IN)		

General Scaffolds		
Erected, altered and dismantled by competent people?		
Provided with edge protection as listed above?		
Provided with fully boarded working platforms?		
Inspected by a competent person at least once per week?		

Tower Scaffolds		
Are there any tower scaffolds on site? (even if dismantled or hired)		
Have persons erecting and using towers had appropriate training?		
Are guardrails and toe boards provided?		
Is the height of the tower scaffold no more than 3 times the minimum base dimension? (or in accordance with the manufacturers instructions on height to base ratio) <i>[NB: the indicative base to height ratio should not be the sole basis of formal enforcement, see below]</i>		
Are wheels locked when in use and is the working platform empty when moved?		
Is safe access to the working platform provided? i.e. through internal trap doors		
If a tower has any of the following fault; no guard rails and toe boards; no safe working platform; height exceeds 3 times the base dimension and the manufacturers height v base dimension is not known and the tower is not tied to an adjacent structure; or the tower is not vertical; or a ladder is being used from the top of it. (PN)		

Mobile Elevating Working Platform (MEWP)		
Should be safe plant i.e. correct type for the job, provided with adequate guard rails, toe boards, thoroughly examined in the last 6 months, properly maintained and inspected.		
Should be used on a safe site i.e. firm level ground which is free from slopes, holes etc and can cope with the load and segregated from other site traffic to avoid collisions.		
Should have a safe operator who is trained and experienced.		
No segregation of MEWP, or part of it, seen working at height in a live highway e.g. street lighting work, bridge repair and there is a risk of vehicle impact. Poor on site segregation and unsafe practices seen e.g. driving at speed in vicinity of MEWP being used for work at height. (PN)		
Ground conditions poor or not considered so there is a risk of an overturn or collapse e.g. failure to establish strength of ducts, manhole covers, suspended floors or MEWP wheels or outriggers seen sinking into the ground (PN)		
No fall protection equipment provided or incompatible/inappropriate equipment used and unsafe practices seen e.g. climbing onto mid rails and or leaning over the edge to the extent that there is a risk of a fall. Inadequate anchorages in MEWP for fall protection. (PN)		
After dealing with immediate segregation issues as detailed above, safe system of work may be needed re segregation. (IN)		
No evidence of MEWP being thoroughly examined in the last 6 months, no defects visible (IN)		

Working Platforms on Fork lift Trucks		
Non-integrated platforms are acceptable for occasional, not routine use for work at height. Preference should be given to purpose built equipment for work at height such as tower/general scaffolding and MEWPS.		
Platform should be compatible with the truck.		
Platform should be secured to the forklift truck.		
Should have adequate edge protection as described above.		
Should be thoroughly examined every 6 months.		
Truck operators should be properly trained.		
If people are being raised or lowered on the forks or a pallet to access and work at height. (PN)		

Collective Safeguards for arresting Falls		
Nets and airbags should be positioned as close to the level at which persons are working so that any fall height is minimised		
Should be sufficient clearance below the net to avoid injury due to a collision with an obstruction if a person fell into the net.		
Nets should not have any gaps at their edges through which a person could fall.		
Nets should be securely anchored.		

Requirements for Personal Fall Protection Systems		

Personal fall protection systems should only be used if risk assessment demonstrates that the work can be done safely while using the equipment and the use of other, safer (collective) work equipment is not reasonably practicable.		
Users of personal fall protection systems should be trained.		
Components of personal fall protection systems ie harnesses, lanyards, ropes, connectors, anchorages etc should be compatible, identifiable and regularly inspected		
Fall arrest lanyards may need protection from sharp edges and there must be adequate clearance for the lanyard and energy absorber to deploy.		
Users must ensure inertia reel systems are anchored in accordance with manufacturer's instructions. (usually above the user). (Often such systems are not designed for anchorage at foot level)		
Users of Fall arrest systems should have a rescue plan in place.		
Where lanyards are in use and there is visual evidence of significant defects or damage (cuts, abrasion see INOG 367 for details of inspections to be carried out) (PN)		
Scaffolding (Not tower) is being erected/dismantled/alterd with no safety harness and associated equipment (PN)		
Harnesses and lanyards are used frequently and there is no inspection regime (See INDG 367) but no evidence of defects. (IN)		

Work Restraint		
Must ensure the wearer cannot reach a position in which a fall could occur <i>[PN if circumstances taking place]</i> (PN)		

Ladders		
Question whether ladders/step ladders are the most appropriate equipment for access or a place of work given the circumstances (including duration) of the job. Would it be safer to use other work equipment e.g. tower scaffold?		
Have workers been instructed in the safe use of ladders e.g. 1 metre out for every 4 metres up, and the need to secure?		
Are adequate precautions in place to stop a ladder from slipping or falling eg tied?		
Are ladders in good condition?		
Are ladders well maintained and inspected regularly?		
Portable leaning ladders are in use or are available for use and have defects such as splits in timber ladders, cracked welds at rung/stile connections on metal ladders, missing rungs, play between rungs and stiles, missing anti slip devices at the top and bottom, bent stiles at the bottom. (PN)		
Signs of damage or defects that are not likely to result in imminent risk of serious personal injury e.g. minor dents in rungs. (IN requires an individual ladder to be inspected or an inspection system to be implemented by a competent person) (IN)		
Ladders are in use for large jobs with unwieldy equipment or materials (e.g. replacing cast iron gutters) and persons could fall a distance liable to cause personal injury. (PN)		
Ladders are available for use for work where a person could fall a distance liable to cause personal injury and consideration has not been given to whether ladders are the most appropriate equipment for the work. (IN)		
Homemade ladders are in use and the duty holder cannot demonstrate compliance with an appropriate standard. (PN)		

Risk Control Indicator 3		
Contractors		
Does the duty holder use contractors (including for small scale work such as minor repairs, lighting maintenance, as well as large scale work like redecoration, construction/installation work)?		
Does the duty holder have appropriate arrangements for managing contractors in relation to H&S e.g. pre meeting, induction (site rules), establishing contacts, sign in sign out, segregation arrangements, periodic monitoring of their work etc.?		
Has the duty holder enquired about a contractor's competence to work at height? The following questions/examples will help.		
1. What experience do they have for work at height. Ask for examples of previous work. Does the duty holder ask for references that include comment on H&S?		
2. What equipment will they use? Seek evidence of training, inspection, and maintenance.		
3. Are safety method statements / risk assessments required from contractors? (Can be a useful tool to monitor the work)		
4. What are their arrangements for supervision while on site to ensure that 3 are followed during the work?		
5. Are they a member of a relevant trade association?		
Is the duty holder aware of CDM Regs?		

Contractors are used regularly for work at height and no procedures exist for managing contractors		
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Annex 2 – Risk Control Indicators

Risk Control Indicator 1	Identification of activities and precautions involving falls from height	Work in any place where there is a risk of a person falling a distance liable to cause personal injury, including maintenance, cleaning and repair, has been identified and workers instructed in precautions; access to fragile surfaces marked.
Risk Control Indicator 2	Selection, use and maintenance of equipment	Appropriate access equipment is provided. is well maintained and regularly inspected and used.
Risk Control Indicator 3	Systems for the procurement and control of contractors	Managers know how to screen potential contractors (in line with principles of CDM) and actively monitor their work.

Assessment scale

Each risk control indicator should be assessed against the following 1-4 scale. A score of 1 must satisfy all the appropriate criteria of the risk control indicator.

1	2	3	4
Full compliance in areas that matter	Broad compliance in areas that matter	Some compliance in areas that matter	Limited or no compliance in areas that matter