

Chapter 39 – Assurance Checklist

Amendment record

This Annex has been reviewed by Directorate of Defence Safety (DDS) together with relevant subject matter experts and key safety stakeholders. Any suggestions for amendments to this chapter should in the first instance be directed to the Defence organisation's [Safety Centre/Team Group Mailbox](#) and with their approval, sent to DDS at: People-DDS-GroupMailbox@mod.gov.uk.

Version No	Date of publication	Reason for Review	Authority
1.0	18 Sep 25	New Annex to assist assurance.	DDS

This assurance checklist is not mandated, but it can provide helpful evidence to assist in the assurance and conformance against the policy direction within the related policy chapter. The assurance ratings are based on the [JSP 815 Safety Management System Framework](#), where information can be found as to what each assurance rating means.

Unit / Establishment / Site / Platform Name	Accountable Person	
Date	Assessor	
Policy Expectation	Observation	Action Plan
Policy Statement 1		
1. Is there a system or systems in place that complies with Defence policy for the retention of health and safety records?		
2. Is the information created or acquired by Defence staff in the course of their work, including health and safety records, held in accordance with JSP 441?		

3. Are records actively managed through their lifecycle?			
Overall	Rating	Observations	Action Plan
Policy Statement 1	Choose...		

Policy Statement 2	Observation		Action Plan
1. Are health and safety records retained for the retention periods set out in JSP 375, Vol 1, Chapter 39 - Annex A?			
2. Are the health and safety records that are retained locally accessible and not liable to deteriorate within the retention period?			
3. Are the health and safety records that are retained in an electronic format stored in accordance with JSP 441?			
Overall	Rating	Observations	Action Plan
Policy Statement 2	Choose...		

Policy Statement 3	Observation	Action Plan
1. Are health and safety records accessible to all personnel or agencies that have a legitimate and justified reason for access?		
2. Is there an effective method of retrieving and reading health and safety records?		
3. If health and safety records are held in a digital format, is the hardware and software available to allow suitable access to the data held and are the systems reviewed when new software and hardware is introduced to make sure the records remain accessible?		
4. Are suitable checks carried out before any information is released from a health and safety record to make sure the personnel, department, organisation or agency requesting the information or record, have a legitimate and justified reason for access?		
5. Where health and safety records are released is this done in compliance with the Data Protection Act 2018 and the Freedom of Information Act 2000?		

Overall	Rating	Observations	Action Plan
Policy Statement 3	Choose...		

Policy Statement 4	Observation		Action Plan
1. Do personnel make sure that the information given and recorded to protect their health and safety is accurate, to the best of their knowledge?			
2. Do personnel inform the record holder that corrections are required when they become aware that the information held has not been recorded accurately?			
3. Do personnel make sure that their commander or manager is informed when there are changes to the information held on them, for example, address, contact details and so on, in accordance with the “accuracy principle”, set out in Article 5(1)(d) of the UK GDPR?			
Overall	Rating	Observations	Action Plan
Policy Statement 4	Choose...		

	Rating	Observations	Action Plan
Overall Chapter Rating	Choose...		