

Health & Safety Assessment Guidance

Health & Safety Assessment

Question	Assessment Standard
Health and Safety Policy	
<p>Policy</p> <p>Please provide a copy of the company Health and Safety policy statement and responsibilities section.</p>	<p>Supporting Information:</p> <p>The Health and Safety Policy should be:</p> <ul style="list-style-type: none"> • In the correct company name (As listed on the CHAS 2013 Ltd application) • Dated within the last 12 months • Approved by the appropriate company director / responsible person • Lists the persons with Health and Safety responsibilities and sets out the responsibilities for H&S management throughout the organisation. <p><i>Listed below are some useful links:</i></p> <p>HSE.GOV.UK link for policy: Prepare a health and safety policy - HSE</p>
<p>Arrangements</p> <p>Please provide the arrangements section of the company Health and Safety policy.</p>	<p>Supporting Information:</p> <p>The arrangements section of the Health and Safety policy should include but not limited to the following:</p> <ul style="list-style-type: none"> • Accident reporting including RIDDOR, first aid and work related ill health • Training • Information, instruction & supervision • Communication • Risk assessment • Monitoring • Emergency procedures • Asbestos • COVID -19 <p><i>Listed below are some useful links:</i></p> <p>HSE.GOV.UK link for policy: https://www.hse.gov.uk/simple-health-safety/policy/policy-statement-template.pdf https://www.hse.gov.uk/pubns/indq449.pdf</p>
Occupational Health	
<p>Please provide your arrangements or a copy of your policy which covers the management of Occupational Health issues including mental health, fatigue and employee well-being.</p>	<p>Supporting Information:</p> <p>The policy or arrangements should include:</p> <ul style="list-style-type: none"> • Measures to raise awareness of these issues such as posters and toolbox talks • How the workforce can access help and support if suffering from these issues

	<ul style="list-style-type: none"> How the workforce is trained to handle these issues such as access to accredited mental health first aid training. <p>Guidance can be found here: Building Mental Health in Construction Best Practice Hub (ccsbestpractice.org.uk) Human factors/ergonomics - Fatigue (hse.gov.uk)</p>
Behavioural Management	
Please provide details or a copy of your Behavioural Management or Behavioural Safety Programme.	<p>The supporting evidence must confirm that there are documented arrangements in place for a behavioural management or behavioural safety programme.</p> <p>Guidance can be found here: Human factors: Behavioural safety approaches - an introduction (hse.gov.uk)</p>
Enforcement Actions	
Have any enforcement notices (Prohibition or Improvement) or prosecutions in relation to Health and Safety been taken by HSE or Local Authority against you or your company in the last five years?	<p>Supporting Information:</p> <p>Details of any enforcement notices (Prohibition, Improvement or Crown) or prosecutions served on your company in the last five years by the HSE or Local Authority.</p> <p>The remedial actions which have been taken to prevent a reoccurrence.</p> <p>A prosecution or notice will not debar the business from registration but a failure to declare one could - please note that CHAS will check the HSE public register of convictions.</p> <p>https://resources.hse.gov.uk/notices/</p>
Accident Reporting and Investigation	
Please provide arrangements for the recording, investigating, and reporting to the authorities of any accidents, incidents, near-misses, or dangerous occurrences.	<p>Supporting Information:</p> <ul style="list-style-type: none"> Documented arrangements for the recording, reporting and accidents (Including RIDDOR reportable accidents). Records of all RIDDOR-reportable and other incidents for at least the last three years including remedial actions to prevent a reoccurrence. Records of any other accidents within the last three years including the remedial actions to prevent a reoccurrence. <p>The accident statistics for the last three years incorporating the following categories:</p>

	<ul style="list-style-type: none"> • Deaths • Specified Injuries • Over 3 days incapacitated • Over 7 days Incapacitated • Injuries to non-workers • Occupational Diseases • Dangerous Occurrences • Gas Incidents
Fleet Operations / Management Scheme	
Is your company part of any fleet operations/management scheme?	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Fleet Operator Recognition Scheme (FORS) for each depot that has been assessed. • Van Excellence • Truck Excellence • Van Compliance Scheme • Construction Logistics and Community Safety (CLOCS). <p>If the company does not operate a fleet or commercial vehicles or is not required to be part of a scheme, then N/A can be selected.</p>
Competent Advice – Corporate and Construction	
Please provide the contact details of your internal Health and Safety advisor or consultant (if they are external) along with a sample of advice they have provided in the last 12 months.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Details of the competent Health and Safety internal / external advisor. • A copy of their CV. • Health and Safety qualifications which could include but not limited to IOSH Managing Safely, NEBOSH Level 3 or equivalent, NCRQ, NVQ etc. • A completed sample of Health and Safety advice which has been provided and is dated within the last 12 months. <p>The source of advice could include:</p> <ul style="list-style-type: none"> • Competent employee • Safety group • Trade association • Consultant who provides H&S information and advice.
Drug and Alcohol Policy	
Please provide your drug and alcohol policy.	<p>Supporting Information:</p> <p>This information may also be provided as part of the H&S policy or through another document.</p>

	<p>The drug and alcohol policy must include as a minimum:</p> <ul style="list-style-type: none"> • What preventative measures your company takes to ensure employees do not attend site under the influence of alcohol and/or drugs? • Addresses items such as testing requirement, frequency, substances tested for and management of test results. • Whether the policy addresses post-incident and/or reasonable cause drug and alcohol testing. • Whether the policy addresses a return-to-duty testing process and unannounced testing programmes for employees following a policy violation and/or substance abuse treatment.
<p>Training and Information</p>	
<p>Please provide a training matrix which lists your workforce, and has been completed or reviewed within the last 12 months.</p> <p>The matrix should include trade, specialist, Health and Safety, induction training, refresher and Continual Professional development.</p>	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Headline training records which could include Trade and specialist qualifications. • Evidence of a H&S training culture including records, certificates of attendance and adequate H&S induction training. • Programmed refresher training. • Evidence of an active CPD programme. • Example of 'toolbox talk' type training. <p>Evidence of relevant training as required by H&S legislation or approved code of practice e.g. asbestos awareness training. This may include Mental Health Awareness training and/or a toolbox talk awareness.</p> <p>Note: The information should be dated within the last 12 months.</p>
<p>Individual Qualifications and Experience</p>	
<p>Please provide evidence of competency for your selected work categories.</p> <p>This should include trade specific, Health and Safety and specialist qualifications for the managers, supervisors, employees and other workforce to confirm they have the relevant skills, knowledge and experience to carry out activities which the organisation is likely to undertake.</p>	<p>Supporting Information:</p> <p>Construction Management NVQs, Site Managers Safety Training Scheme (SMSTS), Site Supervisors Safety Training Scheme (SSSTS), NEBOSH Construction Certificate, IOSH Managing Safely etc.</p> <p>Trade Specific Qualifications: for site workers which could include City & Guilds, NVQs, CiTB specific sectors cards, CSCS,</p>

	<p>CCDO, CISRS, CPCS, NPORs, Gas Safe, ECS etc</p> <p>Specialist equipment training: Appointed Person, Banksman & Slinger, PASMA, IPAF, etc. Health & Safety: Asbestos awareness, CDM Awareness, Working at height, Manual handling, Confined Space, COSHH (Inductions, Toolbox Talks etc.).</p> <p>Principal Contractors: (Must have SMSTS or equivalent) SMSTS, Construction Management NVQs level 5&6, NEBOSH or equivalent.</p> <p>Principal Designer: Qualifications to confirm the organisation has the operational capability to manage construction from both a health & safety, design and project management perspective.</p> <p>Design Organisations: Qualification relevant to expertise e.g. HND, Degree Professional Institution Membership (RiBA, ICE, APS, IstructE).</p>
<p>Monitoring, Audit and Review</p>	
<p>Please provide details of how you monitor, audit and review the company procedures and Health and Safety performance.</p>	<p>Supporting Information could include:</p> <p>A worked example of one of the following but not limited to:</p> <ul style="list-style-type: none"> • Site Inspections • Internal Audits • External Audits • Equipment Inspections (pat testing, calibration, harness inspections, ladder inspections etc.). • Vehicle Inspections (Plant vehicle inspections, Lifting tackle inspections etc.). <p><i>If you have less than 5 employees, you can provide the text below on a company letterhead, signed and dated –</i></p> <p><i>We are a small company with an effective number of under 5 employees and although we carry out visual checks and inspections to ensure our policies and procedures are maintained we do not maintain a documented record.</i></p>

Subcontractors and Subconsultants	
<p>Please provide your arrangements for managing bona-fide subcontractors. Support your arrangements with a completed bona fide sub-contractor's questionnaire and evidence to demonstrate that you have monitored their performance.</p>	<p>Supporting Information:</p> <p>Written procedures or arrangements that describe how Bona-fide sub-contractors are assessed for competence and monitored when on site.</p> <p>Bona-fide Subcontractor audit/ site inspection checklist or completed Job Sheet from within the past 12 months.</p> <p>A copy of a completed Bona-fide contractor assessment form with accompanying documentation (Qualifications, signed method statements, risk assessments, tool box talks etc.).</p> <p>Note: All information must be dated within the last 12 months.</p>
Risk Assessment leading to a Safe System of Work	
<p>Please provide evidence of Method Statements, Risk Assessments/ RAMS/ SSoW, COSHH assessments carried out for a specific project, relevant to the trade and work categories you are being assessed against.</p>	<p>Supporting Information:</p> <ul style="list-style-type: none"> Completed Method Statements, Safe Systems of Works (SSoW), RAMS (relevant to each work category being assessed). The documentation being provided could include a description of the task and the methodology, along with the supervision, training, qualifications and emergency procedures to ensure the work is being completed in a safe manner by suitably qualified persons. Risk Assessments relevant to the hazards associated with the tasks being completed along with adequate control measures. COSHH assessments relevant to the substances used by the organisation (Do not supply MSDS Sheets in isolation). <p>Note: All information must be dated within the last 12 months.</p>
Workforce Involvement	
<p>Please provide your procedures and supporting evidence for involving your employees/workforce in the planning and implementation of Health and Safety measures.</p>	<p>Supporting Information:</p> <ul style="list-style-type: none"> Safety Minutes Tool Box talks (Completed attendance sheets) Safety Alerts Signed and completed induction sheets

	<ul style="list-style-type: none"> • Risk Assessments (Signed sheets of receipt) • RAMS (Signed Attendance sheets). <p>If you have less than 5 employees, may use the text below on a company letterhead, signed and dated –</p> <p><i>We are a small company with an effective number of under 5 employees and although we communicate regularly with our workforce on matters relevant to health & safety we do not maintain documented records.</i></p> <p><i>Our communication includes, verbal morning briefings, tool box talks and updates on working practices and procedures.</i></p> <p><i>Note: Information must be dated within the last 12 months.</i></p>
<p>Co-operation and Co-ordination</p>	
<p>Please provide your arrangements and supporting evidence for co-operating and co-ordinating your work with others (including other suppliers, notably contractors, clients)</p>	<p>Supporting information:</p> <ul style="list-style-type: none"> • Method Statement (Signed Sheets). • Risk assessments (Signed Sheets). • Project team meeting minutes or notes. • Two way email communication with suppliers etc. • How the organisation co-ordinates its work with other interested parties. <p><i>Note: Information must be dated within the last 12 months.</i></p>
<p>Welfare Provision</p>	
<p>Please provide arrangements and supporting evidence to ensure onsite welfare facilities are available for your employees/suppliers /other workforce.</p>	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangements to confirm how the organisation ensure adequate welfare facilities are available for the employees and/or those under the control of the organisation, such as washing, toilet, rest and changing facilities, and somewhere clean to eat and drink during breaks. • For construction sector principal contractor organisations: Evidence of compliance to Schedule 2 of the CDM 2015 Regulations. • Welfare arrangements listed within the Health & Safety Policy, CPP and method statement.

		Note: Information must be dated within the last 12 months.
Contractor		
<i>Only applicable if construction work is done</i>		
CSCS / Partner Scheme: Does all your workforce (including those who are self-employed), who are working on construction sites undertaking a recognised construction occupation, hold CSCS or CSCS partner scheme cards? If Yes, please provide the number/percentage of people engaged in the organisation who hold an appropriate skill specific CSCS card.	Supporting Information: If you do not hold CSCS or CSCS partner scheme cards then, please explain why. Please specify if you undertake one or more of the following construction occupations and are currently unable to obtain a CSCS card: <ul style="list-style-type: none"> • Ground Specialist • Physical Security Equipment Installer • Smoke Outlet Panel Installer • Structural Bonding Operative • Surface Treatment Specialist • Systems Integrator. 	
Principal Contractor		
<i>Only applicable If the company undertakes Principal Contractor' duties under the Construction (Design and Management) Regulations.</i>		
Please provide your arrangements for planning, managing, monitoring and coordinating Health and Safety in the construction phase, including communication with the client, principal designer and contractors and support this with practical evidence.	Supporting information: An explanation of the arrangements in place for planning, managing, monitoring and co-ordinating health and safety in the construction phase, including communication with the client, principal designer, contractors and other relevant duty holders. Along with a worked example which could include: <ul style="list-style-type: none"> • Pre-construction Meeting Minutes. • Construction Phase Meeting Minutes. • Project review meeting minutes. • Health & Safety review meeting minutes. • Email communication with the Client, Designers and Principal Designer. Note: The information should be dated within the last 12 months.	
Please provide your arrangements for preparing, reviewing and maintaining, construction phase plans (CPPs) and support this with practical evidence.	Supporting Information: <ul style="list-style-type: none"> • Arrangements and procedure to ensure pre construction information is collected and addressed in the CPP. • A recently completed Construction Phase Plan (CPP) relevant to the work categories selected for assessment. The CPP could include the following areas: <ul style="list-style-type: none"> • Site Security 	

	<ul style="list-style-type: none"> • Site induction • Supervision • Communication • Qualification • Hazards • Welfare etc. <p>Note: The information should be dated within the last 12 months.</p>
Please provide evidence of how you organise co-operation between contractors and others, and co-ordinate the work.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Notes of meetings and other discussions, • Examples of exchanges of safety information, • Previous agreements on issues which affect other site users such as emergency arrangements/procedures, deliveries, traffic routes, design interfaces and the like. • Please provide evidence of concise, practical examples, relevant and proportionate to the type of activity likely to be carried out. <p>Note: The information should be dated within the last 12 months.</p>
Please provide your arrangements in place for ensuring relevant and suitable site inductions and support this with practical evidence.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangements in place for provision of site inductions. Evidence could include previous site inductions and attendance sheets. • Please provide evidence of concise, practical examples, relevant and proportionate to the type of activity likely to be carried out. <p>Note: The information should be dated within the last 12 months.</p>
Please provide your arrangements for preparing and providing information for the Health and Safety file.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • The arrangements or documented procedure for collecting and preparing the relevant information for the health & safety file. • An explanation which describes the hand over procedure for the health & safety file when all relevant information has been collected. <p>Note: The information should be dated within the last 12 months.</p>

Designer	
<i>Only applicable If the company undertakes Designer duties under the Construction (Design and Management) Regulations.</i>	
Take account of pre-construction information.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • The arrangement or documented procedure to ensure the Client is aware of their duties under the Construction (Design & Management) Regulations 2015 before any design work is started. • CDM manual. • Completed Pre-Construction Information (PCI). <p>Note: The information should be dated within the last 12 months.</p>
Ensure co-operation and co-ordination of design work within the design team, clients and other designers or contractors.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Pre-construction meeting minutes. • Pre-Project meeting minutes. • Email communication between the Design team and the Client identifying duties and responsibilities. <p>Note: The information should be dated within the last 12 months.</p>
Ensure hazards are eliminated in the design process and any remaining risks are controlled.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangements or a procedure to ensure co-operation and co-ordination of design work within the design team and with other designers/contractors and address the general principles of prevention when preparing or modifying a design with the first aim to eliminate risks or, if that is not possible, to reduce or control the risks. • Design risk registers explaining how risks have been mitigated or controlled. • Design Risk Assessments used to identify the hazards and evaluate the risk that may arise from the design. • Design Drawings highlighting design loads, design parameters, hazards and any other relevant accompanying notes. • Ensures that any structure which will be used as a workplace will meet the relevant requirements of the Workplace (Health, Safety and Welfare) Regulations 1992. <p>Note: The information should be dated within the last 12 months.</p>

Manage design change (including changes made by others) within your company.	<p>Supporting Evidence:</p> <ul style="list-style-type: none"> • Arrangements or a procedure which describes how design changes and variations are managed. <p>Note: The information should be dated within the last 12 months.</p>
Ensure the client is aware of their duties.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • The arrangement or documented procedure to ensure the Client is aware of their duties under the Construction (Design & Management) Regulations 2015 before any design work is started. Documented CDM Arrangements Pre-construction meeting minutes Pre-Project meeting minutes Email communication between the Design team and the Client identifying duties and responsibilities CDM manual. <p>Note: The information should be dated within the last 12 months.</p>
Principal Designer	
<i>Only applicable If the company undertakes Principal Designer duties under the Construction (Design and Management) Regulations.</i>	
Ensure co-operation and co-ordination of design work within the design team, clients and other designers or contractors.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangement or documented procedure for communicating with the Client and assisting them in meeting their duties under the Construction (Design & Management) Regulations 2015 before any design work is started. • Documented CDM Arrangements • CDM Manual. • Pre project meeting minutes. • Pre-construction meeting minutes. • Email communication with the Client. <p>Note: The information should be dated within the last 12 months.</p>
Ensure hazards are eliminated in the design process and any remaining risks are controlled.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangements or a procedure to ensure co-operation and co-ordination of design work within the design team and with other designers/contractors, • and address the general principles of prevention when preparing or modifying a design with the first aim to

	<p>eliminate risks or, if that is not possible, to reduce or control the risks.</p> <ul style="list-style-type: none"> • Design risk registers explaining how risks have been mitigated or controlled. • Design Risk Assessments used to identify the hazards and evaluate the risk that may arise from the design. • Design Drawings highlighting design loads, design parameters, hazards and any other relevant accompanying notes. • Ensures that any structure which will be used as a workplace will meet the relevant requirements of the Workplace (Health, Safety and Welfare) Regulations 1992. <p>Note: The information should be dated within the last 12 months.</p>
Manage design changes (including changes made by others) within your company	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangements or a procedure which describes how design changes and variations are managed. <p>Note: The information should be dated within the last 12 months.</p>
Ensure the client is aware of their duties.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • CDM manual. • Email / letter informing the client of their CDM duties. <p>Note: The information should be dated within the last 12 months.</p>
Supply pre-construction information to designers, principal contractors and contractors.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangements and documented evidence to ensure successful liaison with the principal contractor during projects. • Meeting minutes. • Example of safety information being exchanged. • Examples of discussions and emails exchanging project information. • Project review meetings. • Notes of meetings and other discussions. • Examples of exchanges of safety information. <p>Note: The information should be dated within the last 12 months.</p>
Ensure that designers comply with their duties and co-operate with each other.	<p>Supporting Information:</p>

	<ul style="list-style-type: none"> • Arrangements and documented evidence to ensure successful liaison with the designers. • Meeting minutes and other discussions. <p>Note: The information should be dated within the last 12 months.</p>
Liaise with the principal contractor for the duration of appointment.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangements and documented evidence to ensure successful liaison with the principal contractor. • Meeting minutes.
Manage and prepare the Health and Safety file.	<p>Supporting Information:</p> <ul style="list-style-type: none"> • Arrangements for preparing and issuing the H&S file. • Email or other evidence demonstrating issuing of safety file. <p>Note: The information should be dated within the last 12 months.</p>