#### Annex A to Section 9 : Health and Safety Annex

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| **Q Ref.** | **Question** | **Example of the type of information in support of responses, which will be taken into account in assessment** | **YES** | **NO** |
| **S9-Q1** | **S9-Q1-1a)** Have you, within the last twelve months, successfully completed a  prequalification application undertaken by an assessment provider able to demonstrate that its information gathering process is equivalent to that of PAS 91. | N/A |  |  |
|  | **S9-Q1-1b)** Have you, within the last twelve months, successfully met the assessment requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum | N/A |  |  |
|  | **S9-Q1-1c)** Do you hold a certificate of compliance with BS OHSAS 18001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard,1 e.g. accredited by UKAS. | N/A |  |  |
| **S9-Q2** | **Are you able to show that you have an organization/ unit/ team which is responsible for ensuring effective health and safety (H&S) management?** | *Evidence of periodically reviewed general H&S policy, signed and dated by a senior person within the organization. The H&S policy should also contain the organization and arrangements. These should be relevant to the*  *anticipated nature and scale of activity to be undertaken, and set out responsibilities for H&S management at all levels in the organization.* | n | n |
| **S9-Q3** | **Are you able to show your arrangements for ensuring that your H&S measures are effective in reducing/ preventing work-related incidents, occupational ill-health and accidents?** | *Details of the arrangements for H&S management*  *that are relevant to the anticipated nature and scale of activity to be undertaken, and how these arrangements are communicated to workers.* |  | n |
| **S9-Q4** | **Do you have ready access to competent H&S advice/assistance?** | *Evidence of how your organization has ready access to competent H&S advice, for both general health and safety and, for CDM duty holders,*  *construction-related health and safety. Access to competent in- house advice, in whole or part, is usually preferred. It is essential that H&S advisor(s) are able to provide general H&S advice and that, for CDM duty holders (from the same source or elsewhere) advice on relevant construction H&S issues is accessible as required.)* |  |  |
| **S9-Q5** | **Do you have a process for providing your employees/other workforce with training and other information appropriate to the activities that your organization is likely to undertake?** | *Evidence that your organization implements relevant training arrangements to ensure that employees/other workforce have sufficient skills and understanding to discharge their various duties. This should include refresher training on relevant good H&S practice and, for CDM contractors and principal contractors, Construction Phase Plans (CPP) may*  *be used to show how information is disseminated or communicated on-site.* |  |  |
| **9-Q6** | **Do your employees/other workforce have H&S and other relevant knowledge, experience and skills**  **to carry out activities that your organization is likely to undertake?** | *Evidence that your employees/other workforce have suitable knowledge, experience and skills for the activities assigned to them, unless there are specific situations where they need to work under competent control and/or supervision (e.g. apprentices and other trainees).* |  |  |
| **S9-Q7** | **Do you check, review and, where necessary, improve your H&S performance?** | *Evidence that your organization has an effective, ongoing system for monitoring H&S procedures, and for periodically reviewing and updating that system as necessary.* |  |  |
| **S9-Q8** | **Do you have procedures for involving your employees/other workforce in**  **the planning and implementation of**  **H&S measures?** | *Evidence that your organization implements a*  *means of consulting with its*  *employees/other workforce*  *on H&S matters and how*  *comments, concerns or*  *complaints submitted by*  *employees/other workforce*  *are taken into account.* |  |  |
| **S9-Q9** | **Do you routinely record and review accidents/incidents and undertake follow-up action?** | *Evidence that your organization maintains records of all RIDDOR- reportable and other incidents for at least the last three years.*  *Evidence that your organization has an effective system for reviewing significant incidents, and recording any resulting action taken (including*  *your response to any H&S enforcement activity).* |  |  |
| **S9-Q10** | **Do you have arrangements for ensuring that your suppliers also**  **apply H&S measures that are**  **appropriate to the activities that your**  **organization is likely to undertake?** | *Evidence that your organization implements*  *arrangements for ensuring*  *and monitoring H&S skills,*  *knowledge and experience,*  *and performance,*  *throughout your entire*  *supply chain, appropriate*  *to the work likely to be*  *undertaken.* |  |  |
| **S9-Q11** | **Do you operate a process of risk assessment, capable of supporting safe systems of work?** | *Evidence that your organization implements procedures for carrying out relevant risk assessments and for developing*  *and implementing safe systems of work (“method*  *statements”).*  *Please provide indicative examples, which must include: the identification and control of any significant occupational health (not just safety) issues, appropriate*  *to the work likely to be undertaken.* |  |  |

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| **S9-Q12** | **CDM duty holder related question selection:**  The questions asked in **S9-Q13 to S9-Q22** (in conjunction with questions **S9-Q2** to **S9-Q11**) are appropriate for particular construction duties and have been colour coded accordingly to assist identification. Please indicate below which duty (or duties) best describes your organization’s activity and then only provide responses to the questions colour coded to the duty (or duties) you have selected.  ***NOTE*** *The questions refer to duty holders under the Construction (Design and Management) Regulations 2015, which defines the scope of “construction” activity. If your organization potentially fills more than one role (e.g. “Design and Build”), please provide responses to the questions applying to all relevant duty holder roles (e.g. Designer and Principal Contractor)* | | |
| **CDM DUTY HOLDER ROLE(S) IDENTIFIED**  ***Please respond “yes” or “no” to each role identified below*** | | |
| ***NOTE 1*** *If none of the duty holder roles identified below are relevant, you do not need to respond to any of questions* ***S9-Q13 to S9-Q22***  ***NOTE 2*** *Principal contractors will also need to respond to questions applicable to contractors, and principal designers will also need to respond to questions applicable to designers* | **YES** | **NO** |
| **S9-Q12-a)** Contractor/principal contractor*(respond to grey shaded questions* ***S9-Q13 to S9-Q16)*** |  |  |
| **S9-Q12-b)** Principal contractor *(in addition to* ***S9-Q13*** *to* ***S9-Q16 also***  *respond to yellow shaded question* ***S9-Q17****)* |  |  |
| **S9-Q12-c)** Designer/principal designer *(respond to red shaded questions* ***S9-Q18*** *to* ***S9-Q19)*** |  |  |
| **S9-Q12-d)** Principal designer *(in addition to* ***S9-Q18*** *to* ***S9-Q19 also***  *respond to green shaded questions* ***S9-Q20*** *to* ***S9-Q22****)* |  |  |

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| **Q Ref** | **Question** | **Example of the type of information in support of responses, which will be taken into account in assessment.** | **YES** | **NO** |
| **S9-Q13**  Contractor/ principal contractor | **Do you have arrangements for co- operating and co-ordinating your work with others (including other suppliers, notably contractors)?** | *Describe how co-operation and co-ordination of*  *the work is achieved in practice, and how any other organizations are involved in drawing up method statements, etc. including response to emergency situations. This should include how input from your suppliers will be taken into account, and how external comments, including any concerns or complaints, will be responded to. This may include CPPs.* |  |  |
| **S9-Q14**  Contractor/ principal contractor | **Do you have arrangements for ensuring on-site welfare for your employees/other workforce?** | *Describe how you ensure suitable welfare facilities for your employees/other workforce are in place before starting work on site, whether provided by a site-specific arrangement with others, or your own measures. This may include CPPs.* |  |  |
| **S9-Q15**  Contractor/ principal contractor | **Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?** | *Examples of actual knowledge, skills and experience within your organization. This may include:*  *NEBOSH Construction Certificate; membership of Association for Project Safety; membership of Institution of Construction Safety; SSSTS; SMSTS (e.g.*  *provided in a skills matrix for key personnel)* |  |  |
| **S9-Q16**  Contractor/ principal contractor | **Do you review and develop your effectiveness in the contractor/ principal contractor role?** | *Evidence that your organization Implements an ongoing system for monitoring performance, including post-project review.* |  |  |

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| **S9-Q17**  Principal contractor | **Do you implement arrangements to meet the ‘principal contractor’ duties under the Construction (Design and Management) Regulations 2015?** | *Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal contractor. In particular, provide evidence of how you:*  ***S9–Q17-1*** *Plan, manage, monitor and coordinate H&S in the construction phase, including communication with the client, principal designer and contractors;*  ***S9–Q17-2*** *Prepare, review and maintain CPPs;*  ***S9–Q17-3*** *Organize co- operation between contractors and others, and coordinate the work;*  ***S9–Q17-9*** *Ensure relevant and suitable site inductions;*  ***S9–Q17-5*** *Provide information for the H&S file.* |  |  |

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| **S9-Q18**  Designer/ principal designer | **Do you implement arrangements to meet the ‘designer’ duties under the Construction (Design and Management) Regulations 2015?** | *Evidence showing how you address* ***S9-Q18-1*** *to* ***S9-Q18- 9*** *below.*  *Provide relevant examples showing how risk was reduced through design.* |  |  |
|  |  | ***NOTE*** *Emphasis should be on practical, proportionate measures that address significant risks arising from designs for relevant*  *construction, not on lengthy*  *documentation about generic risks.* |
|  |  | ***S9-Q18-1*** *Check that the client is aware of their duties* |
|  |  | ***S9-Q18-2*** *Ensure that you and your workforce have the necessary skills, knowledge and experience to discharge their legal duties under CDM 2015?* |
|  |  | *Provide relevant evidence of:* |
|  |  | * *your CPD programme and/ or examples of training and development plans (which may include in- house training).* |
|  |  | * *your relevant qualifications,*   *e.g. membership of a professional institution such as CIAT; CIBSE; ICE or RIBA.* |
|  |  | * *how you maintain your technical knowledge and understanding of construction design.* |
|  |  | ***S9-Q18-3*** *Ensure significant risks are eliminated by design, taking account of the principles of prevention and show how construction and lifecycle risks are eliminated or controlled (with*  *reference to buildability,*  *maintainability and use).* |
|  |  | ***S9-Q18-9*** *Effectively manage design changes, with regard to ensuring H&S during and post-completion.* |

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| **S9-Q19**  Designer**/ principal designer** | **Do you review and monitor your design performance, notably in relation to H&S?** | *Evidence that your organization implements an ongoing system for monitoring H&S design procedures and for reviewing and updating that system as necessary,*  *e.g. through project design review (during and post- completion).* |  |  |
| **S9-Q20**  Principal Designer | **Do you implement arrangements to meet the “principal designer” duties under the Construction (Design and Management) Regulations 2015?** | *Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal designer. In particular, evidence of how you:*  ***S9–Q20-1*** *Help the client to meet its duties under CDM 2015*  ***S9–Q20-2*** *Gather, prepare, communicate and coordinate information, including design information, with other duty holders during the pre-construction phase*  ***S9–Q20-3*** *Plan, manage and monitor health and safety-related information, including*  *design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or*  *controlling foreseeable risks;*  ***S9–Q20-9*** *Ensure designers carry out their duties, including oversight and*  *co-ordination within the design team and with other designers/contractors;*  ***S9-Q20-5*** *Liaise with the principal contractor;*  ***S9–Q20-6*** *Prepare and provide relevant information to other duty holders, including the H&S file.* |  |  |

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| **S9-Q21**  Principal designer | **Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?** | *Examples of actual skills, knowledge and experience. This may include validated CPD, and typical additional qualifications.*  *For example, a member of the registers administered by the Association for Project Safety or the Institution*  *of Construction Safety (formerly known as the CDM co-ordinator’s register), or the ICE construction health and safety register.* |  |  |
| **S9-Q22**  Principal designer | **Do you review and develop your effectiveness in the principal designer role?** | *Evidence that your organization implements, an ongoing system for monitoring performance, including post-project review.* |  |  |