

RISQS Audit Protocol

CDM Module

Document no.: RISQS-AP019- CDM

Revision	Author	Checked by	Approved by	Date approved	Reason for revision
01	Phil Smith	RSSB Assurance Team	G Scott	July 20	Initial issue
02	Paul Haynes	RSSB Assurance Team	C Rulton	14/06/21	New logo only
03	Phil Smith	Martin Littlewood	Tony Howard	10/01/23	Separation of types of evidence

					for verification, audit or assessment
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Preface

This protocol is designed to assess a supplier's management system requirements for discharging duties detailed within the Construction Design and Management Regulations 2015.

Audits take place upon initial entry to the scheme, on a periodic basis and where there are relevant changes to the Organisation's information within RISQS. Auditors and Auditees (i.e., organisation subject to audit) are required to familiarise themselves with the content of the audit and its requirements, prior to the audit commencing.

Scope

The protocol applies to organisations whose activities fall within the definition of construction work within the Construction (Design and Management) Regulations 2015.

Guidance notes

All questions within this module will be raised by the Auditor, where a requirement within a question is not applicable, the supplier will be required to provide the justification which will be recorded within the audit report. Where suitable justification is not provided then a non-conformance may be raised against a requirement.

Suppliers will be able to appeal any findings raised by following the appeals and complaints process in the document RISQS Scheme Rules (RISQS-SD-002).

Assessment Requirements

As part of RISQS' commitment to ensuring efficient auditing and advantageous assurance levels, the assessment will cover two parts:

- The first part 'A process for...' is a review of the documented procedures and processes that are required to assist a supplier in their delivery of a safe efficient service to the rail industry.
- The second part 'Evidence of...' is an evidential based audit to assess the implementation or use of the processes and procedures described in first part.

1.0 Construction (Design and Management) Regulations 2015 - Responsibilities

1.1 Management of Legal and Other Requirements

The supplier shall provide evidence that demonstrates they are aware of the responsibilities and requirements of the Construction (Design and Management) Regulations 2015. The arrangements shall include:

- a) A process for:
 - i. reviewing and communicating the requirements of the Regulations to employees that are involved in the planning, designing, or carrying out of construction activities
 - ii. reviewing and communicating the requirements of any applicable standards that apply to the services to be provided (such as BS 5975:2019, BS1139)
 - iii. identifying the subcontractors required to support a project and ensuring they have awareness of their responsibilities under the Regulations before assigning any works
 - iv. identifying the structure and communication channels between all parties involved in a CDM project (identify where there is either a single or multiple clients on the project)
 - v. demonstrating an understanding of the other duty holders' responsibilities identified within the Construction (Design and Management) Regulations 2015. Specifically, around the following requirements:
 - notifying and communicating with the relevant enforcement agency (HSE, ORR)
 - displaying the F10 on notifiable projects
 - the documentation required (CPI, CPP, H&S file) and the controlling responsibilities
 - the input requirement into the health and safety file from all parties involved in the project (where applicable)
 - the need for surveys to be conducted, communicated, and reviewed by all interested parties (i.e., asbestos survey)
 - providing information on hazards that may affect the health and safety of others whom they engage to do work.

- b) Evidence of:
 - reviewing the Regulation citation and all associated guidance documents as part of their management of Legal requirements
 - reviewing the Infrastructure Manager's Standard requirements for project delivery and implementing the requirements into the Organisation's own processes (i.e., CDM, temporary works)
 - the appointment of responsibility for compliance with all Regulatory requirements
 - communicating the requirements of the Regulations to employees (through guidance's, briefings, or training event) and performing regular updates/ refreshers
 - recent project structures which identify the key support companies that are involved; ensuring they are familiar with their responsibilities under the Regulation.

1.2 Construction (Design and Management) Regulations 2015 (CDM) duties confirmed

(Suppliers will only need to meet the requirements of the duty responsibility for which they hold)

The supplier shall provide evidence which demonstrates their understanding of the management responsibilities for the duty they are discharging under the Construction (Design and Management) Regulations 2015. The arrangements shall include:

Where the supplier acts as a Client:

- a) A process for:
- i. appointing other duty holders and how they ensure the right knowledge, skills, experience, and capability is assured
 - ii. providing relevant information to other duty holders
 - iii. checking that the Principal Designer and Principal Contractor carry out their duties
 - iv. allocating sufficient time and resources (including welfare arrangements)
 - v. ensuring pre-construction information and the construction phase plan is in place before works begin
 - vi. ensuring the health and safety file is prepared by the Principal Designer
 - vii. obtaining the H&S file at project completion and making it available for anyone that requires it thereon
 - viii. notifiable projects have been notified to the relevant authority and displayed on site.

Where the supplier acts as a Principal Designer:

- b) A process for:
- i. planning, managing, monitoring, and coordinating health and safety in the preconstruction phase of a project
 - ii. identifying, eliminating, or controlling foreseeable risks
 - iii. checking designers carry out their duties
 - iv. preparing and providing relevant information to other duty holders
 - v. liaising with the Principal Contractor to assist in the planning, management, monitoring, and coordination of the construction phase
 - vi. setting up, maintaining, and providing information on the H&S file
 - vii. assisting in extra duties appointed to them by the Client.

Where the supplier acts as a Designer:

- c) A process for
- i. preparing, modifying and co-ordinating designs, including:
 - systems used and document control arrangements
 - design interfaces
 - third party reviews
 - submission
 - managing modifications after the design has been issued
 - communicating changes to relevant personnel
 - ii. ensuring compliance with Regulatory requirements (i.e., Workplace Regs)
 - iii. meeting the relevant infrastructure requirement delivering to (i.e., NWR, TFL)
 - iv. eliminating, reducing, or controlling foreseeable risks that may arise during construction, maintenance, and use of a building on completion
 - v. providing information to other members of the project team to help them fulfil their duties
 - vi. ensuring all temporary work designs are risk categorised and independently checked

- vii. controlling and authorising designs that are prepared or modified outside of the UK
- viii. ensuring pre-construction information (PCI) is reviewed which will enable the project team to identify and manage risks to health and safety.

Where the supplier acts as a Principal Contractor:

- d) A process for:
 - i. planning, managing, monitoring, and coordinating the construction phase of a project
 - ii. liaising with the Client and the Principal Designer
 - iii. preparing the construction phase plan
 - iv. providing resources to satisfy the work requirements
 - v. organising cooperation between contractors and coordinating their work
 - vi. providing site inductions
 - vii. site security to prevent unauthorised access
 - viii. consulting workers about Health and Safety
 - ix. providing welfare facilities
 - x. the controlled issue of method statements, risk assessments, work package plans and task briefings to staff and their suppliers (as applicable)
 - xi. the validation and checking of their Contractors method statements, risk assessments, work package plans and task briefings (as applicable)
 - xii. ensuring pre-construction information (PCI) is reviewed which will enable the project team to identify and manage risks to health and safety.

Where the Supplier acts as a Contractor:

- e) A process for:
 - i. planning, managing, and monitoring construction work under their control so that it is carried out without risks to health and safety
 - ii. providing adequate resources to satisfy the work requirements
 - iii. coordinating their activities with others in the project team (for projects involving more than one contractor)
 - iv. preparing a construction phase plan (for single-contractor projects)
 - v. the controlled issue of method statements, risk assessments, work package plans and task briefings to staff and their suppliers (as applicable)
 - vi. the validation and checking of their contractor's method statements, risk assessments, work package plans and task briefings (as applicable)
 - vii. ensuring pre-construction information (PCI) is reviewed which will enable the project team to identify and manage risks to health and safety.

- f) Evidence of:
 - i. the supplier discharging their duties in compliance with the Construction Design Management Regulations 2015, taking into consideration:
 - the suppliers confirmed responsibilities
 - specific projects and the relevant documentation (WPP, CPP, H&S file)
 - information shared (inductions, briefings, RAMS, notifications)
 - cooperation from all in the gathering and submission of information for the H&S file
 - interface management
 - systems utilised to support duty delivery
 - responsibilities and controls applied to high-risk activity.

1.3 Design Management and Control

(NOTE: This question applies to all organisations who manage and control designs as part of their services but do not hold the status of Designer under the CDM Regulations).

The supplier shall provide evidence that demonstrates arrangements are in place to manage and control designs within the organisation. The arrangements shall include:

- a) A process for:
 - i. co-ordinating and controlling designs within the business
 - ii. managing any modified and re-issued designs
 - iii. ensuring reviews have been undertaken to ensure they meet Regulatory and Standard requirements
 - iv. ensuring designs have been reviewed by competent individuals at the correct interfaces
 - v. designs have been authorised by individuals in-line with standard and contract requirements
 - vi. communicating any changes required, made and any new risk identified.
- b) Evidence of:
 - i. the system used for design control
 - ii. evidence of the controls applied where there is evidence of a design being superseded (including communication to the workforce to ensure superseded designs are not used).

2.0 CDM General Requirements

2.1 Safe Movements within a Construction Site

(NOTE: where a requirement in this question is not applicable, the supplier shall provide justification to the Auditor and be recorded within the report)

The supplier shall provide evidence that demonstrates they are providing/provided with safe routes throughout a construction site. The arrangements shall include:

- a) A process for:
 - i. establishing and implementing suitable and sufficient safe access, egress, traffic routes, emergency routes and emergency exits on a construction site
 - ii. reviewing the continued suitability of all access, egress, traffic routes, emergency routes and emergency exit points and reporting any defects/issues to responsible persons
 - iii. providing or obtaining awareness of the access, egress, traffic routes, emergency routes and emergency exit arrangements, and the reporting process should any defects/issues arise
 - iv. preventing access where the arrangements do not meet the requirements
 - v. ensuring enough workspace is provided to perform the works required (considering the work equipment and methodology to be applied)
 - vi. ensuring suitable and sufficient provisions for maintaining safe routes throughout a construction site, including auditable and visual warnings, signage, barriers, and gates.

- b) Evidence of:
- i. the access, egress, traffic routes, emergency routes and emergency exit arrangements on recent projects
 - ii. the access, egress, traffic routes, emergency routes and emergency exit arrangements for any planned works
 - iii. communication of site arrangements for safe access, egress, traffic routes, emergency routes and emergency exit, and the reporting process for any default identified
 - iv. obtaining, reviewing, and briefing employees on the access, egress, traffic routes, emergency routes and exit arrangements where implementation is the responsibility of another
 - v. communication of workspace requirement prior to engaging in construction activities.

2.2 Construction Site - Working Environment

(NOTE: where a requirement in this question is not applicable, the supplier shall provide justification to the Auditor and be recorded within the report)

The supplier shall provide evidence that demonstrates they are providing/provided with a safe working environment. The arrangements shall include:

- a) A process for:
- i. establishing and implementing provisions and controls to ensure a safe working environment. These shall include:
 - maintaining a state of cleanliness
 - a fenced perimeter with signs
 - fresh air
 - reasonable temperature
 - protection from adverse weather
 - prevention of protruding sharp objects
 - suitable and sufficient lighting
 - ii. communicating the arrangements provided
 - iii. obtaining, reviewing, and briefing employees on the provision where they are provided by another
 - iv. monitoring and measuring arrangements to ensure provisions continue to be suitable and sufficient
 - v. reporting issues/defects in the facilities/arrangements provided.
- b) Evidence of:
- i. provisions listed above being provided on site
 - ii. communication of the provisions to others
 - iii. obtaining, reviewing, and briefing employees on the arrangements
 - iv. monitoring of the arrangements provided.

2.3 Specialist Activity Controls

(NOTE: where a requirement in this question is not applicable, the supplier shall provide justification to the Auditor and be recorded within the report)

The supplier shall provide evidence that demonstrates arrangements are in place to ensure all reasonable practical steps are taken to prevent danger to any person. The arrangements shall include:

- a) A process for:
- i. identifying and appointing competent persons for specialist activities (i.e., for temporary works)
 - ii. implementing and maintaining a temporary works register

- iii. ensuring any temporary works and supports are designed, safely installed, and can withstand foreseeable loads, and include:
 - a design and installation methodology that incorporates erection, safe use, maintenance and dismantling on site
 - consideration of prevention controls to avoid any new or existing structure collapsing, becoming unstable or left in a state of weakness or instability
 - iv. ensuring explosives are stored, transported, and used safely and securely
 - v. planning and undertaking demolitions and dismantling of structures ensuring it prevents or reduces the risk of danger
 - vi. planning, installing, and maintaining cofferdams and caissons, ensuring suitable design and construction to allow workers to gain shelter or escape if water or materials enter it
 - vii. planning excavations to prevent or reduce the risk of danger
 - viii. planning all energy distribution installations so that they are suitably located, periodically checked, and clearly indicated
 - ix. ensuring a risk from electrification is mitigated, either work is directed away from the risk or isolation arrangements are put in place
 - x. risk assessing and implementing control measures for all specialist services being provided by the organisation
 - xi. ensuring inspections are performed on all support structure, materials, or equipment in-line with the Regulations:
 - at the start of the shift when the work is to be carried out
 - after any event likely to have affected the strength or stability of the work/structure/area
 - xii. ensuring coordination of activities around specialist services and adequate provision of site supervision
 - xiii. ensuring compliance with the Infrastructure Managers requirements when undertaking any specialist activity, ensuring appropriate sign off where it is required.
- b) Evidence of:
- i. risk assessments produced for any specialist activity either delivered previously or intended to be delivered for future projects (or both if applicable)
 - ii. communication of the risk controls to affected parties
 - iii. coordination and supervision arrangements around all specialist activities
 - iv. the organisation reviewing the control measures for effectiveness
 - v. temporary works register
 - vi. formally appointing a Temporary Works Coordinator, a Temporary Works Supervisor and a Designated Individual and they are competent to hold the position
 - vii. inspections on any temporary or supporting structure delivered in-line with the requirement of a) xi
 - viii. specialist activity designs being risk categorised and approved before being introduced into a project
 - ix. compliance with the Infrastructure Manager standards that are relevant to the activities being performed, ensuring relevant authority sign off has been completed where required.

2.4 Emergency Arrangements for Construction Activities

The supplier shall provide evidence that demonstrates arrangements are in place to ensure suitable and sufficient steps are taken to prevent, so far as is reasonably practicable, the risk of injury to a person carrying out construction activities arising from fire, explosion, flooding, or any substance liable to cause asphyxiation. The arrangements shall include:

- a) A process for:
- i. ensuring all construction activities are assessed for the risk of fire, explosion, flooding, and asphyxiation
 - ii. implementing control measures to mitigate the risks identified
 - iii. ensuring suitable and sufficient fire-fighting equipment, fire detection and alarm systems are in place
 - iv. ensuring control measures and warning systems are tested regularly and suitably maintained
 - v. appointing and training responsible persons to use fire-fighting equipment on a construction site
 - vi. the evacuation of a construction site which factors in:
 - the type of work being undertaken and the size of the location
 - number of persons likely to be present
 - equipment being used
 - the physical and chemical properties of any substances and materials on site.
- b) Evidence of:
- i. site risk assessments that identify the control measures for the risk of fire, explosion, flooding, and asphyxiation (where applicable)
 - ii. project evacuation plans being maintained
 - iii. communication evidence of the risk assessment control measures and evacuation plan
 - iv. fire-fighting equipment, fire detection and alarm system provisions being applied to sites
 - v. testing and inspection regime for provisions on each project site
 - vi. training of staff in the use of fire-fighting equipment.