

RISQS Audit Protocol

CDM Requirements

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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

Preface

This protocol meets the RISQS Committee and Infrastructure Manager Requirements for Prequalification.

The audit is intended to facilitate the validation of information submitted by Organisation's on to the RISQS platform at the prequalification stage and to assess additional areas of compliance as required by Infrastructure Managers and the RISQS Committee. 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.

Guidance notes

The questions and guidance notes within this document are applicable to organisations except for those questions and bullet points denoted (TfL requirement or NWR requirement) which apply only to organisations specifically limiting their scope of works to Network Rail Infrastructure.

The requirements within this protocol are applicable where the supplier discharges a duty defined within the Construction Design and Management Regulations 2015 (CDM).

Where a supplier is discharging a duty defined within the Construction Design and Management Regulations 2015 (CDM) on multiple infrastructures.

The guidance notes are indicative lists, but they are not exhaustive.

Assessment Requirements

The auditor shall verify that the organisation has fully documented arrangements in place for all the requirements.

Where no rail works have been undertaken in the last 12 months demonstration should be by way of non-rail projects to demonstrate CDM Duties have been discharged.

Assessment requirements

1. Management Systems

1.1 Management of Legal and Other Requirements

The Organisation shall demonstrate their mechanisms for discharging their duties and comply with the relevant requirements within the Construction (Design and Management) Regulations 2015: has an auditable RICCL code to discharge the duties. The arrangements shall include:

- a) that the F10 has been displayed to demonstrate that the relevant enforcing authority has been informed.
- b) that the Health & Safety File has been prepared and is being suitably controlled so that it is in place when the work has been completed.
- c) that specific surveys have been carried out, of particular note is asbestos surveys.
- d) that they are discharging their duty to provide information on hazards that may affect the health and safety of others whom they engage to do work.

2. Project Management

2.1 Compliance with Construction (Design and Management) Regulations 2015 (CDM)

The auditor shall verify that the supplier has fully documented arrangements in place to demonstrate their understanding and management of the duties they are responsible for discharging under the Construction (Design and Management) Regulations 2015. The arrangements shall include:

Where the supplier acts as a Client:

- a) appointing other duty holders
- b) providing relevant information to other duty holders
- c) checking that the Principal Designer and Principal Contractor carry out their duties
- d) allocating sufficient time and resources (including welfare arrangements)

Where the supplier acts as a Principal Designer:

- a) mechanisms for planning, managing, monitoring and coordinating health and safety in the preconstruction phase of a project
- b) identifying, eliminating or controlling foreseeable risks
- c) checking designers carry out their duties
- d) preparing and providing relevant information to other duty holders
- e) liaising with the principal contractor to assist in the planning, management, monitoring and coordination of the construction phase

Where the supplier acts as a Designer:

- a) preparing or modifying designs
- b) eliminate, reduce or control foreseeable risks that may arise during construction and the maintenance and use of a building once it is built
- c) provide information to other members of the project team to help them fulfil their duties

Where the supplier acts as a Principal Contractor:

- a) planning, managing, monitoring and coordinating the construction phase of a project
- b) liaising with the client and principal designer
- c) preparing the construction phase plan
- d) providing resources to satisfy the work requirements
- e) organising cooperation between contractors and coordinating their work

- f) providing site inductions
- g) site security to prevent unauthorised access
- h) consulting workers about Health and Safety
- i) providing welfare facilities

Where the Supplier acts as a Contractor:

- a) planning, managing and monitoring construction work under their control so that it is carried out without risks to health and safety
- b) providing adequate resources to satisfy the work requirements
- c) for projects involving more than one contractor, coordinating their activities with others in the project team
- d) for single-contractor projects, preparing a construction phase plan

2.2 Design Management and Control

The auditor shall verify that the supplier has fully documented arrangements in place to manage the design process within the organisation. The arrangements shall include:

- a) provide evidence of acting as designer and co-ordinating designs
- b) have arrangements in place for co-ordinating designs in respect of CDM requirements (e.g. designing to meet Workplace regs, consideration of future maintenance, coordination between design disciplines and passing information to subcontracted & specialist design teams)
- c) review design interfaces
- d) have a documented process for submission of designs
- e) have a formal process to show how changes are communicated to the client and where applicable sub- contractors
- f) have a process for third-party review to confirm designs are correct
- g) have a process for managing modifications after the design has been issued

2.3 Communication and Coordination

The auditor shall verify that the organisation has fully documented arrangements in place for the sharing of information on risk with interfacing organisations and confirming their employees are suitable briefed to achieve a co-ordinated approach to implementing risk control measures. The arrangements shall include but not limited to:

- a) the controlled issue of such as; method statements, risk assessments, work package plans and task briefings etc. to staff and their suppliers (as applicable)
- b) for the validation and checking of their contractors method statements, risk assessments, work package plans and task briefings (as applicable)
- c) to ensure pre-construction information (PCI) is in place which will enable the project team to identify and manage risks to health and safety
- d) the principles of L153 managing health and safety in construction (Design and Management) Regulations 2015
- e) identify where there is either a single or multiple client identified on the project
- f) communicating to the enforcing authority
- g) to ensure that they communicate clearly to other duty holders.